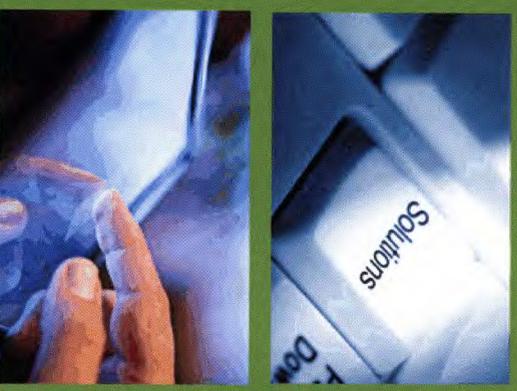
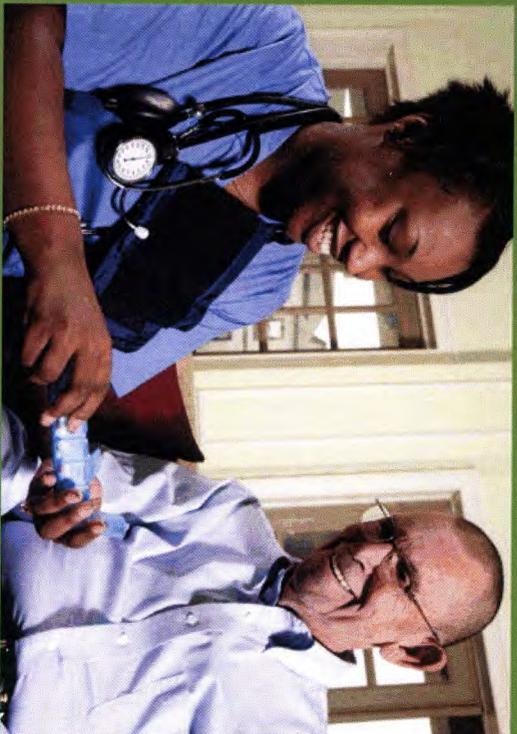


State of Nebraska Department of Health and Human Services – Electronic Visit Verification Solution

RFP 6113 Z1

TECHNICAL PROPOSAL - ORIGINAL

*Increasing the Capacity to Care
Improving the Process of Home Care*



October 7, 2019

Prepared by:

Jamie Richardson, Vice President, Payer Sales

516.484.4400 x4163

jrichardson@sandata.com

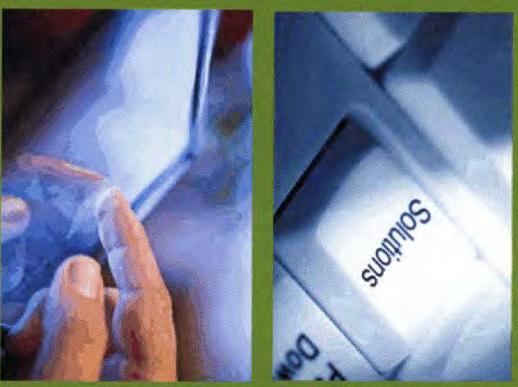
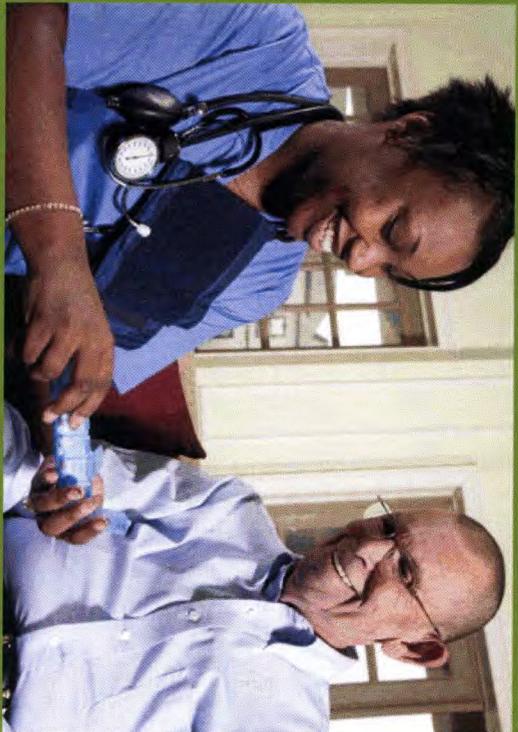
www.sandata.com

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1. Request for Proposal Form

Please refer to the following page for our signed Request for Proposal (“RFP”) for Contractual Services Form.

REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES FORM

BIDDER MUST COMPLETE THE FOLLOWING

By signing this Request for Proposal for Contractual Services form, the bidder guarantees compliance with the procedures stated in this Request for Proposal, and agrees to the terms and conditions unless otherwise indicated in writing and certifies that bidder maintains a drug free work place.

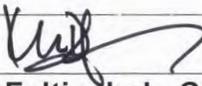
Per Nebraska's Transparency in Government Procurement Act, Neb. Rev Stat § 73-603 DAS is required to collect statistical information regarding the number of contracts awarded to Nebraska Contractors. This information is for statistical purposes only and will not be considered for contract award purposes.

_____ NEBRASKA CONTRACTOR AFFIDAVIT: Bidder hereby attests that bidder is a Nebraska Contractor. "Nebraska Contractor" shall mean any bidder who has maintained a bona fide place of business and at least one employee within this state for at least the six (6) months immediately preceding the posting date of this RFP.

_____ I hereby certify that I am a Resident disabled veteran or business located in a designated enterprise zone in accordance with Neb. Rev. Stat. § 73-107 and wish to have preference, if applicable, considered in the award of this contract.

_____ I hereby certify that I am a blind person licensed by the Commission for the Blind & Visually Impaired in accordance with Neb. Rev. Stat. §71-8611 and wish to have preference considered in the award of this contract.

FORM MUST BE SIGNED USING AN INDELIBLE METHOD (NOT ELECTRONICALLY)

FIRM:	Sandata Technologies
COMPLETE ADDRESS:	26 Harbor Park Drive Port Washington, NY 11050
TELEPHONE NUMBER:	516.484.4400
FAX NUMBER:	516.484.6084
DATE:	September 30, 2019
SIGNATURE:	
TYPED NAME & TITLE OF SIGNER:	Kenneth D. Faltischek, Chief Operating Officer

FORM A. BIDDER CONTACT SHEET

Please refer to the following page for completed Form A. Bidder Contact Sheet.

Sandata acknowledges receipt of the following Addendums:

- Addendum 1: Revised Schedule of Events
- Addendum 2: Questions and Answers
- Addendum 3: Schedule of Events

Form A
Bidder Contact Sheet
Request for Proposal Number 6113 Z1

Form A should be completed and submitted with each response to this RFP. This is intended to provide the State with information on the bidder's name and address, and the specific person(s) who are responsible for preparation of the bidder's response.

Preparation of Response Contact Information	
Bidder Name:	Sandata Technologies
Bidder Address:	26 Harbor Park Drive Port Washington, NY 11050
Contact Person & Title:	Jamie Richardson, Vice President, Payer Sales
E-mail Address:	jrichardson@sandata.com
Telephone Number (Office):	516.484.6084 x4163
Telephone Number (Cellular):	303.641.8941
Fax Number:	516.484.6084

Each bidder should also designate a specific contact person who will be responsible for responding to the State if any clarifications of the bidder's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Bidder Name:	Sandata Technologies
Bidder Address:	26 Harbor Park Drive Port Washington, NY 11050
Contact Person & Title:	Denise Tocco, Senior Vice President, Payer Sales
E-mail Address:	dtocco@sandata.com
Telephone Number (Office):	516.484.6084 x4160
Telephone Number (Cellular):	303.548.3678
Fax Number:	516.484.6084



2. Corporate Overview

The Corporate Overview section of the Requirements Proposal should consist of the following subdivisions:

A. BIDDER IDENTIFICATION AND INFORMATION

The bidder should provide:

- *the full company or corporate name*

Sandata Technologies, LLC ("Sandata")

- *address of the company's headquarters*

26 Harbor Park Drive
Port Washington, NY 11050

- *each principal location, and location(s) of primary systems*

Sandata's principle location is our headquarters office in Port Washington, New York. Sandata's primary systems are hosted in a hybrid model with some aspects located at our headquarters facility along with hosting in Amazon Web Services. We also maintain private United States-based, geographically dispersed data centers to support our backup and recovery process.

- *entity organization (corporation, partnership, proprietorship)*

Sandata is a limited liability company.

- *state in which the bidder is incorporated or otherwise organized to do business*

Sandata is organized in Delaware.

- *year in which the bidder first organized to do business*

Sandata was founded in 1978 as a scheduling, billing, payroll, and data processing company for the homecare industry. Over the past four decades, we have evolved from selling software solutions to home care agencies, to offering comprehensive electronic visit verification solutions for Payers and Providers.

- *total number of employees*

As of the date of this response Sandata has 248 employees.

- *organizational chart displaying the overall business structure*

Please refer to Figure 1, Sandata Corporate Organizational Chart for details of our overall business structure.

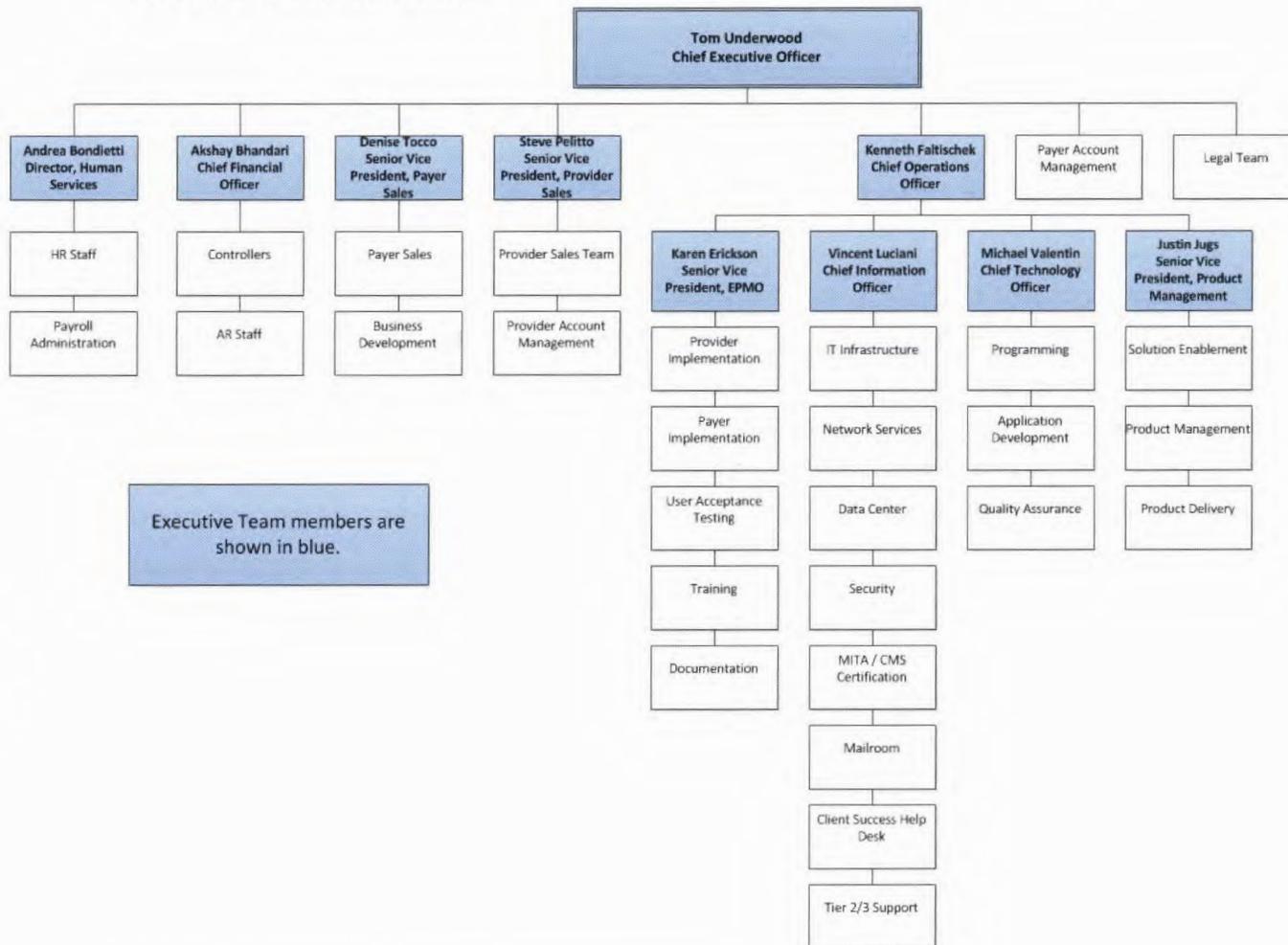


Figure 1. Sandata's Corporate Organizational Chart.

- *and whether the name and form of organization has changed since first organized.*

The business was originally formed in 1978 as a corporation - Sandsport Data Services Inc. Sandata has gone through various name changes and organizational forms over the years with the most recent being a restructure into an LLC in 2010.

If not publicly traded company (or a subsidiary of a publicly traded company), the names, affiliations, and city and state of each individual or company that owns five percent (5%) or more of the company or partnership.

CONFIDENTIAL INFORMATION STARTS HERE

[REDACTED]

[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]

CONFIDENTIAL INFORMATION ENDS HERE

B. FINANCIAL STATEMENTS

The bidder should provide financial statements applicable to the firm. If publicly held, the bidder should provide a copy of the corporation's most recent audited financial reports and statements, and the name, address, and telephone number of the fiscally responsible representative of the bidder's financial or banking organization.

If the bidder is not a publicly held corporation, either the reports and statements required of a publicly held corporation, or a description of the organization, including size, longevity, client base, areas of specialization and expertise, and any other pertinent information, should be submitted in such a manner that proposal evaluators may reasonably formulate a determination about the stability and financial strength of the organization. Additionally, a non-publicly held firm should provide a banking reference.

The bidder must disclose any and all judgments, pending or expected litigation, or other real or potential financial reversals, which might materially affect the viability or stability of the organization, or state that no such condition is known to exist.

The State may elect to use a third party to conduct credit checks as part of the corporate overview evaluation.

Sandata is a privately held company. We have provided the requested Financial Statements in Attachment 1b, Sandata Financial Statements. We request that our financial statements be exempt from public disclosure as outlined in Attachment 1a, Confidentiality Statement.

CONFIDENTIAL INFORMATION STARTS HERE

[REDACTED]

[REDACTED]

CONFIDENTIAL INFORMATION ENDS HERE



Our Chief Executive Officer is Sandata's fiscally responsible representative and we have provided his contact information below.

Tom Underwood
Chief Executive Officer
26 Harbor Park Drive
Port Washington, NY 11050
516.484.4400 x1145

Sandata has no judgments, pending or expected litigation, or other real or potential financial reversals that could materially affect the viability or stability of our company

C. CHANGE OF OWNERSHIP

If any change in ownership or control of the company is anticipated during the twelve (12) months following the proposal due date, the bidder should describe the circumstances of such change and indicate when the change will likely occur. Any change of ownership to an awarded Contractor(s) will require notification to the State.

A change in ownership or control of the company is not anticipated during the next twelve months. Sandata acknowledges and agrees we will notify the State if there is any change of ownership after award.

D. OFFICE LOCATION

The bidder's office location responsible for performance pursuant to an award of a contract with the State of Nebraska should be identified.

Sandata will provide our services from our headquarters located at:

Sandata Technologies
26 Harbor Park Drive
Port Washington, NY 11050.

Services will also be provided by remote employees located across the country.

E. RELATIONSHIPS WITH THE STATE

The bidder should describe any dealings with the State over the previous ten (10) years. If the organization, its predecessor, or any Party named in the bidder's proposal response has contracted with the State, the bidder should identify the contract number(s) and/or any other information available to identify such contract(s). If no such contracts exist, so declare.

Sandata Technologies

Sandata has had no contractual relationships with any agency of the State of Nebraska within the past 10 years.

Sandata has selected the following subcontractors to support our bid:

- **DXC Technology**

DXC has had contractual relationships with the following Nebraska state government entities over the past 10 years:

- Nebraska Department of Health and Human Services Division of Public Health
- Nebraska Public Employees Retirement Systems

- Immunization Registry Reporting
- Epiphany Management Group
Epiphany does not have any contractual relationships with Nebraska.

F. BIDDER'S EMPLOYEE RELATIONS TO STATE

If any Party named in the bidder's proposal response is or was an employee of the State within the past two (2) months, identify the individual(s) by name, State agency with whom employed, job title or position held with the State, and separation date. If no such relationship exists or has existed, so declare.

If any employee of any agency of the State of Nebraska is employed by the bidder or is a Subcontractor to the bidder, as of the due date for proposal submission, identify all such persons by name, position held with the bidder, and position held with the State (including job title and agency). Describe the responsibilities of such persons within the proposing organization. If, after review of this information by the State, it is determined that a conflict of interest exists or may exist, the bidder may be disqualified from further consideration in this proposal. If no such relationship exists, so declare.

Sandata Technologies

To the best of our knowledge, Sandata does not have any employees who were employed by the State of Nebraska within the past two months.

DXC Technology

To the best of their knowledge, DXC does not have any employees who were employed by the State of Nebraska within the past two months.

Epiphany Management Group

To the best of their knowledge, Epiphany does not have any employees who were by the State of Nebraska within the past two months.

G. CONTRACT PERFORMANCE

If the bidder or any proposed Subcontractor has had a contract terminated, at any Federal, State or Governmental agency/entity and/or Managed Care Organization, for default during the past five (5) years, all such instances must be described as required below. Termination for default is defined as a notice to stop performance delivery due to the bidder's non-performance or poor performance, and the issue was either not litigated due to inaction on the part of the bidder, litigated and such litigation determined the bidder to be in default, or pending litigation.

It is mandatory that the bidder submit full details of all termination for default experienced during the past five (5) years, including the other Party's name, address, and telephone number. The response to this section must present the bidder's position on the matter. The State will evaluate the facts and will score the bidder's proposal accordingly. If no such termination for default has been experienced by the bidder in the past five (5) years, so declare.

Sandata

Sandata has had no contracts terminate for default during the past five years.

DXC

As a large corporation with operations around the world, DXC has thousands of contracts in varying stages of performance. Where DXC may not have lived up to a customer's expectations, DXC works to resolve the situation to the customer's satisfaction and, in most cases, is prohibited from disclosing the resolution. Any material issues that may impact DXC's performance of this contract may be found in the company's annual report, as filed with the Securities and Exchange Commission (SEC), which requires the disclosure of all legal proceedings that would have a material adverse effect on the company's consolidated financial position or results of operations.

Epiphany

Epiphany has had no contracts terminate for default during the past five years.

<p>[REDACTED]</p>	<p>[REDACTED]</p>
<p>[REDACTED]</p>	<p>[REDACTED]</p>

CONFIDENTIAL INFORMATION ENDS HERE

H. SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

The bidder should provide a summary matrix listing the bidder's previous projects similar to this RFP in size, scope, and complexity. The State will use no more than three (3) narrative project descriptions submitted by the bidder during its evaluation of the proposal.

The bidder should address the following:

- i. Provide narrative descriptions to highlight the similarities between the bidder's experience and this RFP. These descriptions should include:*
 - a. Bidder shall submit a list of current and prior contracts and customers with a similar scope. If subcontractors are proposed, provide list of contracts and customers for each subcontractor.*
 - b. The time period of the project;*
 - c. The scheduled and actual completion dates;*
 - d. The bidder's responsibilities;*
 - e. Evidence of the qualifications and credentials of the respondent in terms of proven successful experience through similar Medicaid EVV systems to include:*
 - 1. The description of all recent Medicaid EVV projects completed or ongoing;*
 - 2. Specific types of Medicaid providers and services respondent's EVV system is used for;*
 - 3. If EVV system supported mobile GPS enabled devices, including mobile smartphones;*
 - 4. A statement specifying the extent of bidder's responsibility and experience on each described project.*
 - 5. For reference purposes, a customer name (including the name of a contact person that can be reference for contract performance: individuals who can directly attest to the bidder's qualification relevant to the Medicaid EVV scope of work, a current telephone number, a facsimile number, and e-mail address); DHHS reserves the right to contact the references submitted as well as any other references which may attest to the respondent's work experience.*
 - f. If the bidder or subcontractor has no recent contract experience, the bidder or subcontractor should have experience that is closely related to Medicaid EVV; and*
 - g. Each project description should identify whether the work was performed as the prime Contractor or as a Subcontractor. If a bidder performed as the prime Contractor, the description should provide the originally scheduled completion date and budget, as well as the actual (or currently planned) completion date and actual (or currently planned) budget.*

- ii. *Contractor and Subcontractor(s) experience should be listed separately. Narrative descriptions submitted for Subcontractors should be specifically identified as Subcontractor projects.*
- iii. *If the work was performed as a Subcontractor, the narrative description should identify the same information as requested for the Contractors above. In addition, if the bidder was a Subcontractor, the bidder should identify what share of contract costs, project responsibilities, and time period were performed as a Subcontractor.*
- iv. **Qualifications**
 - a. *The bidder should include the following information:*
 - 1. *Evidence of the qualifications and credentials of the bidder in terms of proven successful experience through similar Medicaid EVV projects of like size and scope;*
 - 2. *Detailed description of all experience in the implementation, operation, and support of Medicaid EVV systems; to include:*
 - i. *The description of all recent Medicaid EVV projects completed or ongoing;*
 - ii. *Specific types of Medicaid providers and services respondent's EVV system is used for;*
 - iii. *If EVV system supported mobile GPS enabled devices, including mobile smartphones;*
 - iv. *A statement specifying the extent of bidder's responsibility and experience on each described project.*

Sandata offers DHHS our unmatched experience implementing and providing EVV solutions for State Medicaid programs. Sandata has consistently demonstrated its ability to deliver successful statewide solutions and outcomes for over 14 years and EVV solutions for providers for 40 years. We have successfully implemented with 25 payer programs for 17 State Agencies and eight (8) Managed Care Organizations (MCOs). Today, our programs support 13,000+ providers and 690,000 participants whom receive home and community-based care.

“Thought Leader” Industry Reputation

Our commitment, innovations, and solutions establish us as a thought leader in the industry. Over the past three years, Sandata has worked closely with sponsors of the 21st Century Cures Act (focusing on the EVV mandate component), the Congressional Budget Office, the Energy and Commerce Committee, and members of Congress to provide input and expert testimony on EVV.

Sandata was asked to consult with the sponsors of the 21st Century Cures Act (focusing on the EVV mandate component), the Congressional Budget Office, the Energy and Commerce Committee, and congressional representatives to provide input and expert testimony on EVV.

Sandata and its executive leadership are involved with a variety of industry organizations and are especially proud to be part of the Partnership for Medicaid Home-Based Care. The coalition was formed in 2015 to advance the integrity and delivery of high-quality, cost-effective Medicaid home-based care through proactive and constructive engagement with government leaders and across the Medicaid home-based care stakeholder community. Members of the coalition include several home care providers, the Council for Home Care Associations, Managed Care Organizations and others. Tom Underwood, Sandata's CEO, is an active participant in the coalition.

Sandata's Experienced Leadership Team

Sandata has one of the most experienced Medicaid leadership teams in the country:

- Our CEO, Tom Underwood, has over 30 years' experience at the executive level in healthcare with over 15 years providing solutions to the Medicaid market;
- Our sales and business development team (Denise Tocco and Jamie Richardson) have over 50 years of combined experience working with state Medicaid programs to ensure our solutions meet state needs, as well as 20 years of experience delivering EVV solutions;
- Our SVP of our Enterprise Program Management Office (Karen Erickson) has over 22 years delivering technology solutions for state Medicaid programs;
- Our Vice President of Payer Implementations (Tim Nyberg) has over 16 years of experience implementing state and federal programs for healthcare and over four years of EVV experience; and
- Our Product and Development leadership teams have over 25 years of experience designing and developing solutions for the Medicaid market.

As DHHS evaluates the various vendors' experience and qualifications, it is critical for the successful vendor to have relevant statewide Medicaid EVV experience. Sandata is the only vendor who solely focuses on EVV and has unmatched experience successfully implementing **statewide** EVV programs in multiple states. We have not only developed a leadership team with unparalleled qualifications and experience, we have also invested in expanding our implementation and support staff to ensure we have the bandwidth to support the many states that still need to implement EVV to meet the Cures requirements within the mandate timelines. Sandata brings the largest and most experienced team in the industry to our relationship with DHHS.

Sandata's Client Listing

100% of our Payer accounts are referenceable and we encourage DHHS to contact any of them.

Our complete, detailed client listing can be found on the following pages. We have highlighted three references that are most similar in size and scope to the DHHS project:



- State of Ohio
- State of Connecticut
- State of Arizona

Their contact information can be found in the tables below.

State of Ohio Department of Medicaid	
Contract Number	0A1157
Contract Type	Government – State Medicaid
Contract Dates	Duration: June 30, 2016 – June 30, 2023 Scheduled Completion Date: June 30, 2023 Actual Completion Date: In Process.
Contract Value/Budget	~\$79,925,000
Program Status	Operational
Location of Services	Ohio statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • MMIS Claims Validation • Sandata Aggregator • Sandata Business Intelligence • Jurisdictional View • Mobile Devices and Data Plans • Mobile Device Management
Description of Work Performed	<ul style="list-style-type: none"> • This EVV program includes mobile visit verification as the primary visit verification method using a member-centric device installed at the recipients' homes. Sandata's EVV system includes the Sandata Aggregator system that takes in data from any and all provider EVV systems and applies standardized business rules to ensure the visits are properly verified and ultimately paid, generates alerts as needed and provides comprehensive oversight over the entire program – regardless of EVV system used. • Sandata and DXC have established both an MMIS and Claims Integration for EVV data. • Achieved CMS Certification for EVV in April 2019. <p>The state has a multi-phase approach to EVV as follows:</p> <p>Phase 1</p> <ul style="list-style-type: none"> • Phase 1 waivers included Ohio Home Care Waiver Nursing, Ohio Home Care Waiver Personal Care Aide, and Ohio Home Care Waiver Home Care Attendant. Phase 1 solution includes visit verification, as well as mobile devices and data plans procured for all 51,000 members. 7,100 providers are served, Sandata Aggregator, and MMIS Claims Validation.



State of Ohio Department of Medicaid	
	<p>Phase 2</p> <ul style="list-style-type: none"> • Phase 2 of the launch was a significant EVV expansion adding: <ul style="list-style-type: none"> ○ Department of Developmental Disabilities; ○ Department of Aging; and ○ Six (6) MCOs including Aetna, Buckeye (Centene), CareSource, Molina, Paramount and United Healthcare. • This brought an additional 70,000 members and 5,000 providers. <p>Phase 3</p> <ul style="list-style-type: none"> • ODM is adding the following to their EVV program in 2020: <ul style="list-style-type: none"> ○ Consumer Direct EVV Suite, including fiscal agent, member/employer, and caregiver/employee portals ○ Additional home therapy services and providers. ○ Phase 3 will be fully operational no later than January 1, 2021. • <i>The Ohio project is Sandata's largest EVV program, with total expected visits exceeding 25 million per year.</i>
Start and Completion Date of Work Performed	<ul style="list-style-type: none"> • Phase 1 launched on schedule on January 2018. • Phase 2 launched on schedule May 2019.
Subcontractor Information	<p>Sandata is the Prime Contractor and subcontracts with the following organization:</p> <ul style="list-style-type: none"> • Epiphany – provides Tier 1 Customer Care, Training Services, and Mobile Device Logistics including device procurement, configuration, testing and shipping to recipient's home.
Key Statistics	<p>Visits per day – 69,000 projected Members – 121,800 Providers – 12,000</p>
Contact Information	<p>Kristy Wathen, EVV Program Manager, Bureau of Program Integrity 50 W Town St. Columbus, OH 43215 Email: Kristy.Wathen@medicaid.ohio.gov Phone: 614.728.8034 Fax: Not available.</p>

State of Connecticut Department of Social Services (DSS)	
Contract Number	HP Agreement CW400971 Contracted through DXC MMIS
Contract Type	Government – State Medicaid
Contract Dates	Duration: March 2016 to September 2019. In July 2019, the contract was

State of Connecticut Department of Social Services (DSS)	
	<p>extended for four more years, ending September 2023. Scheduled Completion: September 2023 Actual Completion: In Process.</p>
Contract Value/Budget	~\$9,252,000
Program Status	Operational
Location of Services	Connecticut statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • Sandata Fixed Visit Verification • Sandata Scheduling Module • Sandata Billing Module • Sandata Business Intelligence • Jurisdictional View • Sandata Consumer Direct Member/Caregiver Portals
Description of Work Performed	<ul style="list-style-type: none"> • Sandata provides EVV, scheduling, and claims submission for 60+ skilled and non-skilled services administered by the Connecticut Department of Social Services. These services fall under three Medicaid waiver programs. Waivers include: <ul style="list-style-type: none"> • Medical Assistance Program - the umbrella program run by DSS that all EVV waivers fall under • CHC (CT Home Care), • PCA (Personal Care Attendant Services) • ABI (Acquired Brain Injury) • AUT(Autism) • Sandata and DXC have established MMIS integration for member, authorization and 837 claims data. Sandata and DXC have also established an MMIS Claims Validation process within the DXC claims system for providers who choose to bill outside the EVV system.
Start and Completion Date of Work Performed	<ul style="list-style-type: none"> • Sandata soft-launched the system on schedule to a subset of agencies on August 15, 2016. • The state extended the original soft launch until February 1, 2017. Skilled services launched on April 1, 2017 on time. <p>The state has expanded the contract and Sandata and DXC implemented our EVV Consumer Directed Care suite that launched in January 2019.</p>
Names of Sub-contractors Used	None.
Key Statistics	<p>Visits per day – 13,000 Members – 30,000 Providers – 500</p>

State of Connecticut Department of Social Services (DSS)	
Contact Information	Kathy Bruni, Director, Community Options Unit 55 Hartland Ave. East Hartford, CT 06108 Email: kathy.a.bruni@ct.gov Phone: 860.424.5177 Fax: 860.424.4963

State of Connecticut Department of Disabilities Services (DDS)	
Contract Number	HP Agreement CW400971 Contracted through DXC MMIS
Contract Type	Government - State Medicaid
Contract Duration	July 2019 - September 2023
Contract Value	~\$2,520,000
Program Status	In implementation
Location of Services	Connecticut statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • Sandata Fixed Visit Verification • Caregiver Speaker Verification • Jurisdictional View • Sandata Consumer Direct Suite – portals for consumers, caregivers, and fiscal agents
Description of Work Performed	DDS is leveraging the existing DXC-DSS contract to expand EVV services to its program members to ensure compliance with the Cures Act's EVV requirements.
Start and Completion Date of Work Performed	Implementation began in August 2019 and is expected to launch in early 2020.
Names of Key Personnel Used	Tim Nyberg, Implementation Director. The project team also includes: Judy Ross, Technical Lead, Angel So, Training and Documentation Lead, Adrienne Woodward, Client Success Lead, and Narvell Neves, Account Management Lead.
Names of Sub-contractors Used	DXC for Tier 1 Customer Call Center Services
Key Statistics	Visits per day - 3,000 Members – 4,480+ Providers - 189
Contact Information	Kathy Bruni, Director, Community Options Unit 55 Hartland Ave. East Hartford, CT 06108 Email: kathy.a.bruni@ct.gov

State of Connecticut Department of Disabilities Services (DDS)	
	Phone: 860.424.5177 Fax: 860.424.4963

Arizona Health Care Cost Containment System Administration (AHCCCS)	
Contract Number	YH19-0025
Contract Dates	Duration: February 2019 through February 2022 3 base years, 2 optional annual renewals Scheduled Completion: February 2022 Actual Completion: In Process.
Contract Type	Government – State Medicaid
Contract Value/Budget	\$14,563,624* *includes Hawaii
Program Status	Implementation
Location of Services	Arizona statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Telephonic Visit Verification • Sandata Mobile Connect • Fixed Visit Verification • Sandata Aggregator • MMIS Claims Validation • Jurisdictional View • Sandata Business Intelligence • Device Management
Description of Work Performed	<ul style="list-style-type: none"> • In November 2018, AHCCCS/Med-QUEST released an RFP for a single, statewide, Cures compliant EVV System. Their intent is to launch EVV for personal care services and home health services. Offered as an open model, AHCCCS/Med-QUEST has contracted with Sandata as the statewide EVV vendor while allowing providers and MCOs with existing EVV systems to continue to use those systems. • Data collection and data aggregation are two key components of the solution. • In February 2018, Sandata was awarded the contract to serve as EVV vendor for both states.
Start and Completion Date of Work Performed	Contract Award: February 15, 2019 Implementation start: June 1, 2019
Subcontractor Information	Sandata is the Prime Contractor and subcontracts with the following organizations: <ul style="list-style-type: none"> • Epiphany for Tier 1 Customer Care Help Desk Support; Training

Arizona Health Care Cost Containment System Administration (AHCCCS)	
	Delivery and Execution <ul style="list-style-type: none"> • MCPc for device management • ASIST for translation services
Key Statistics	Visits per day – 53,000 (projected; combined with Hawaii) Members – 85.436 Providers – 1,791
Contact Information	Danielle Ashlock, ALTCS Project Manager 701 E. Jefferson, MD 6100 Phoenix, AZ 85034 Email: Danielle.ashlock@azahcccs.gov Phone: 602.417.4733 Fax: 602.256.6421

State of Rhode Island Executive Office of Health and Human Services	
Contract Number	RFP 7549890
Contract Type	Government – State Medicaid
Contract Dates	Duration: January 2016 – Present Scheduled Completion: January 2021 Actual Completion: In Process.
Contract Value/Budget	~\$2,000,000
Program Status	Operational
Location of Services	Rhode Island statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • Sandata Fixed Visit Verification • Sandata Scheduling Module • Sandata Billing Module • Jurisdictional View • Sandata Aggregator (in implementation)
Description of Work Performed	<ul style="list-style-type: none"> • Sandata provides EVV, scheduling, and billing services for the Medicaid Fee-for-Service and managed care program. Providers use a combination of telephonic and mobile visit verification technologies. Home Care Services use EVV for both skilled nursing services and aide (unskilled) services. Waivers include: <ul style="list-style-type: none"> • Division of Elderly Affairs <ul style="list-style-type: none"> ○ Community Waiver Program ○ Co-Pay Levels 1 & 2 • Department of Human Services <ul style="list-style-type: none"> ○ Core Community Services ○ Preventive Community Services

State of Rhode Island Executive Office of Health and Human Services	
	<ul style="list-style-type: none"> ○ <i>Habilitation Community Service</i> • Department of Behavioral Health, Developmental Disabilities and Hospitals (BHDDH) <ul style="list-style-type: none"> ○ <i>Community based services</i> • Sandata and DXC have established MMIS integration for member, authorization and 837 Claims submission.
Start and Completion Date of Work Performed	On time June 1, 2016 in 105 days. Sandata and the state are currently expanding the program to include Sandata Aggregator, Managed Care, and Consumer Direct programs.
Subcontractor Information	Sandata is the Prime Contractor and subcontracts with the following organization: <ul style="list-style-type: none"> • RH2, a Women Owned Minority Enterprise that supports provider training for home health and homemaker agencies.
Key Statistics	Visits per day – 1,000 Members – 1,000 Providers – 50+
Contact Information	Bruce McIntyre, Director, Office of Program Integrity 74 West Road Cranston, RI 02920 Email: bruce.mcintyre@ohhs.ri.gov Phone: 401.784.8015 Fax: Not available.

Illinois Department of Human Services	
Contract Number	46AS069131
Contract Type	Government – State Medicaid
Contract Dates	Duration: Initial Term; July 16, 2013 – June 30, 2018 with 5-year option for renewal. In June 2018, Illinois exercised their option to continue with Sandata for another 5 years. Current contract ends in June 2023. Scheduled Completion: June 2023 Actual Completion: In Process.
Contract Value/Budget	~\$23,400,000
Program Status	Operational
Location of Services	Illinois statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Fixed Visit Verification • Jurisdictional View • Sandata Member Portal

Illinois Department of Human Services	
Description of Work Performed	<ul style="list-style-type: none"> • The State of Illinois Department of Human Services (“IL DHS”) operates a statewide EVV program for their self-directed waivers, including: <ul style="list-style-type: none"> ○ Persons who are Elderly (IDoA) ○ Persons with Brain Injury (IL DHS/HSP) ○ Persons with HIV or AIDS (IL DHS/HSP) ○ Persons with Disabilities (IL DHS/HSP) • As stated in their RFP which was released in December of 2012, the purpose for securing an EVV system is to secure error rate reductions in billings, safeguard against fraud, and improve program oversight.
Start and Completion Date of Work Performed	Program launched on-time on January 1, 2014.
Subcontractor Information	Sandata is the Prime Contractor and subcontracts with the following organizations: <ul style="list-style-type: none"> • <i>Acumen</i> – supported self-directed consumers by providing all implementation training services for self-directed customers and their personal care attendants; • <i>RH2</i> – Women Owned Minority Enterprise that supports implementation and on-going on-site provider training for home health and homemaker agencies; and • <i>Salient</i> – provides data warehouse and program reporting services for EVV and payroll program data.
Key Statistics	Visits per day – 23,000 Members – 21,500 Providers – 27,400
Contact Information	Shanel Bogan, EVV Project Manager 217.782.2722 100 S Grand Ave. East Springfield, IL 62794 Email: Shanel.bogan@illinois.gov Phone: 217.524.0461 Fax: 217.557.0142

Maine Department of Health – DXC	
Contract Number	00021841 Master Contract, Maine SOW Contracted through DXC MMIS
Contract Type	Government – State Medicaid
Contract Dates	Duration: May 2018 – April 2023



Maine Department of Health – DXC	
	Scheduled Completion Date: April 2023 Actual Completion Date: In Process.
Contract Value/Budget	~\$1,500,000
Program Status	Operational
Location of Services	Maine statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • MMIS Claims Validation • Sandata Aggregator • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • Sandata has a national contract with DXC and signed a Statement of Work in May 2018 to provide EVV services to Maine Department of Health Services. • The EVV program includes both skilled and non-skilled services. • Sandata and DXC implemented an Open EVV model for Maine, which will include EVV plus the Sandata Aggregator. EVV data is also being used in MMIS claims validation.
Start and Completion Date of Work Performed	The project launched January 1, 2019.
Subcontractor Information	None.
Key Statistics	Visits per day – 12,500 Members – 9,000 Providers – 400
Contact Information	Mary Page Account Manager DXC Technology 45 Commerce Dr., Suite 7 Augusta, ME 04330 Phone: 802.522.6604 Email: Mpage24@dxc.com Fax: Not available.

Colorado Department of Healthcare Care Policy and Financing	
Contract Number	CW400971 Contracted through DXC MMIS
Contract Type	Government – State Medicaid

Colorado Department of Healthcare Care Policy and Financing	
Contract Dates	Duration: July 2018 – June 2023 Scheduled Completion Date: June 2023 Actual Completion Date: In Process.
Contract Value/Budget	~\$12,100,000
Program Status	Operational
Location of Services	Colorado statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • MMIS Claims Validation • Sandata Aggregator • Jurisdictional View • Sandata Member Portal • Sandata Scheduling Module
Description of Work Performed	<ul style="list-style-type: none"> • Sandata is a subcontractor under DXC to provide EVV services for the State of Colorado. • Colorado HCPF deployed EVV for Personal Care and Home Health services. The statewide EVV program is an Open model and includes the Sandata Aggregator as well as Sandata EVV.
Start and Completion Date of Work Performed	The program launched May 2019 with phased provider use into 2020.
Subcontractor Information	Sandata subcontracts with the following organization: <ul style="list-style-type: none"> • Epiphany Management Group provides training and ongoing Tier 1 support services.
Key Statistics	Visits per Day – 20,800 Providers – 1,600
Contact Information	Carol Pangborn, DXC Colorado Account Executive DXC Technology 1560 Broadway, Suite 600 Denver, CO 80202 Email: carol.pangborn@dxc.com Phone: 970.898.9512 Fax: Not available.

Indiana Family and Social Services Administration	
Contract Number	CW400971 Contracted through DXC MMIS
Contract Type	Government – State Medicaid
Contract Dates	Duration: July 2018 – June 2023 Scheduled Completion: June 2023 Actual Completion: In Process.
Contract Value/Budget	~\$10,900,000
Program Status	Operational
Location of Services	Indiana statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • MMIS Claims Validation • Sandata Aggregator • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • Sandata is a subcontractor under DXC to provide EVV services for the State of Indiana. • Indiana FSSA is deploying EVV for Personal Care services. The statewide EVV program will be an Open model and includes the Sandata Aggregator and Sandata EVV.
Start and Completion Date of Work Performed	The program launched in May 2019 with phased provider use into 2020.
Subcontractor Information	None.
Key Statistics	Visits per day – 12,000 (projected). Members – 44,200 Providers – 1,500
Contact Information	Lisa Pierce, DXC Indiana Deputy Account Executive DXC Technology Email: lisa.pierce@dxc.com Phone: 614.787.6356 Fax: Not available.

Pennsylvania Department of Human Services	
Contract Number	CW400971 Contracted through DXC MMIS
Contract Type	Government – State Medicaid

Pennsylvania Department of Human Services	
Contract Dates	Duration: September 2018 – October 2020 Scheduled Completion: October 2020 Actual Completion: In Process.
Contract Value/Budget	~\$4,000,000
Program Status	Implementation
EVV Modules Used	<ul style="list-style-type: none"> • Sandata Telephonic Visit Verification • Sandata Mobile Connect • Sandata Scheduling Module • Sandata Billing Module • MMIS Claims Validation • Sandata Aggregator • Sandata Business Intelligence • Jurisdictional View • Sandata Consumer Directed Care Suite
Description of Work Performed	<ul style="list-style-type: none"> • Sandata is a Subcontractor under DXC to provide EVV services for Pennsylvania Department of Human Services (PADHS). • PADHS is deploying EVV for Personal Care services. The statewide EVV program will be an Open model and includes the Sandata Aggregator and Sandata EVV.
Start and Completion of Work	The EVV implementation began in October 2018 with scheduled launch planned Q4 2019.
Subcontractor Information	Epiphany Management Group is being used to provide training services.
Key Statistics	Visits per day – ~133,500 (Projected) Members – 82,000 Providers – 1,000
Contact Information	Andrew Saxe, General Manager, Northeast State & Local DXC Technology 1250 Camp Hill Bypass Camp Hill, PA 17011/USA Email: Andrew.f.saxe@dxc.com Phone: 617.699.3974 Fax: Not available.

State of Vermont - DXC	
Contract Number	HP Agreement CW400971 Contracted through DXC MMIS
Contract Type	Government – State Medicaid
Contract Dates	Duration: Current through December 2019 (extension in process) Scheduled Completion: December 2019 Actual Completion: In Process.
Contract Value/Budget	~\$800,000
Program Status	Implementation
Location of Services	Vermont statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Telephonic Visit Verification • Sandata Mobile Connect • Sandata Aggregator • MMIS Claims Validation • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • Sandata is a subcontractor under DXC to provide EVV services for Department of Vermont Health Access (DVHA). • DVHA is deploying EVV for Personal Care services. The statewide EVV program is an Open model and includes the Sandata Aggregator and Sandata EVV.
Start and Completion Date of Work Performed	The EVV implementation began April 2019 with a scheduled launch in January 2020.
Subcontractor Information	None.
Key Statistics	Visits per day – 1,700 (projected) Members – 2500 Providers – 16
Contact Information	Patrick Claussen Vermont Account General Manager DXC Technology 312 Hurricane Lane Williston, VT 05495 Email: patrick.g.claussen@dxc.com Phone: 1.617.653.9493 Fax: Not available.

State of Wisconsin - DXC	
Contract Number	HP Agreement CW400971 Contracted through DXC MMIS
Contract Dates	Duration: April 2019 – October 2023 Contracted through DXC MMIS Scheduled Completion: October 2023. Actual Completion: In process
Contract Type	Government – State Medicaid
Contract Value/Budget	~\$17,000,000
Program Status	Implementation
Location of Services	Wisconsin statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata Telephonic Visit Verification • Sandata Mobile Connect • MMIS Claims Validation • Sandata Aggregator • Sandata Business Intelligence • Jurisdictional View for State and MCOs • Sandata Consumer Directed Care Suite
Subcontractor Information	None.
Description of Work Performed	<ul style="list-style-type: none"> • Sandata is a subcontractor under DXC to provide EVV services for Wisconsin DHS. • Wisconsin DHS is deploying EVV for Personal Care services. The statewide EVV program will be an Open model and includes the Sandata Aggregator and Sandata EVV. • The EVV program is scheduled to launch mid 2020.
Key Statistics	Visits per day – ~49,962 (Projected) Members – 49,962 Providers – 1,088
Contact Information	Rich Johnson, DXC Wisconsin Account Executive Email: rich.johnson@dxc.com Office: 608.224.6011 Cell: 608.332-6523 Fax: Not available.



State of Hawaii Med-QUEST	
Contract Number	YH19-0025
Contract Dates	Duration: February 2019 through February 2022 3 base years, 2 optional annual renewals Scheduled Completion: February 2022 Actual Completion: In Process.
Contract Type	Government – State Medicaid
Contract Value/Budget	\$14,563,624* *includes Arizona
Program Status	Implementation
Location of Services	Hawaii statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Telephonic Visit Verification • Sandata Mobile Connect • Fixed Visit Verification • Sandata Aggregator • MMIS Claims Validation • Jurisdictional View • Sandata Business Intelligence • Device Management
Description of Work Performed	<ul style="list-style-type: none"> • In November 2018, AHCCCS/Med-QUEST released an RFP for a single, statewide, Cures compliant EVV System. Their intent was to launch EVV for personal care services and home health services in 2019. Offered as an open model, AHCCCS/Med-QUEST has contracted with Sandata as the statewide EVV vendor while allowing providers and MCOs with existing EVV systems to continue to use those systems. • Data collection and data aggregation are two key components of the solution. • In February 2018, Sandata was awarded the contract to serve as EVV vendor for both states.
Start and Completion Date of Work Performed	Contract Award: February 15, 2019 Implementation start: ~June 1, 2019
Names of Sub-contractors Used	Sandata is the Prime Contractor and subcontracts with the following organizations: <ul style="list-style-type: none"> • Epiphany for Tier 1 Customer Care Help Desk Support; Training Delivery and Execution • MCPc for device management

State of Hawaii Med-QUEST	
	<ul style="list-style-type: none"> ASIST for translation services
Key Statistics	Visits per day – 53,000 (projected; combined with Arizona) Members – 5,431 Providers – ~100
Contact Information	Danielle Ashlock, ALTCS Project Manager 701 E. Jefferson, MD 6100 Phoenix, AZ 85034 Email: Danielle.ashlock@azahcccs.gov Phone: 602.417.4733 Fax: 602.256.6421

Humana, Inc.	
Contract Number	Schedules 001, 005
Contract Type	Managed Care Organization – Medicaid
Contract Dates	Duration: Care Manager EVV program Schedule 002 executed May 31, 2016 for three years, with three-year auto renewals. Scheduled Completion: May 2022 Actual Completion: In Process.
Contract Value/Budget	\$2,250,000
Program Status	Operational
Location of Services	National
EVV Modules Used	<ul style="list-style-type: none"> Sandata EVV Sandata Telephonic Visit Verification Sandata Mobile Connect Sandata Scheduling Module Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> Sandata provides EVV services for Humana care managers. Solution set includes ability for Care Managers to document point of care visit verification using mobile visit verification application and data feed into Humana's internal systems.
Start and Completion Date of Work Performed	<ul style="list-style-type: none"> Care Manager Pilot launched summer 2016; full launch Q4 2018.
Subcontractor Information	None.
Key Statistics	Visits per day – 18,000
Contact Information	Kathy Driscoll RN, CMC, CCM, Vice President Clinical Services / Chief of Clinical Operations Humana at Home 845 Third Ave.

Humana, Inc.	
	New York, NY 10022 Email: Kdriscoll1@humana.com Phone: 212.994.6127 Fax: Not available.

BlueCare Tennessee	
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Contract Number	#14-040
Contract Type	Managed Care Organization – Medicaid
Contract Dates	Duration: August 2009 – Present Note: In July 2018, BlueCare Tennessee extended their contract to through December 2021. Scheduled Completion: December 2021 Actual Completion: In Process.
Contract Value/Budget	~\$8,850,000
Program Status	Operational
Location of Services	Tennessee statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • Sandata Scheduling Module • Sandata Billing Module • Mobile Device Management • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • In early 2009, Tennessee’s TennCare program made the decision to mandate the use of an electronic time and attendance system in home care in order to reduce costs and fraudulent billings. The launch of the program was divided into two phases, with the first and largest phase going live March 1, 2010 in Middle Tennessee. The second phase for East and West Tennessee launched on August 1, 2010. • In 2014, BlueCare Tennessee launched Sandata’s new delivery model (Sandata® Care Embrace™) which combines Electronic Visit Verification and Remote Care Management through a single Member-centric mobile device. • Waivers include CHOICES and Employment and Community First CHOICES.
Start and Completion Date of Work Performed	Implementation launched on time on March 1, 2010. New Program launched on time on March 7, 2016 – Sandata Care Embrace Program (Member Centric Device).
Subcontractor Information	Sandata is the Prime Contractor and subcontracts with the following organizations:

BlueCare Tennessee	
	<ul style="list-style-type: none"> • Intel-GE Care Innovations™ was used for the BlueCare Tennessee Care Embrace launch. Care Innovations™ was selected to provide certain Remote Care Monitoring technologies which are and continue to be deployed on the member-centric devices. • VOX Mobile is engaged to provide device fulfillment and inventory management services in the Care Embrace model. • Express Train for supplemental trainers for the central launch. Today all services, including training, are provided by Sandata personnel.
Key Statistics	Visits per day – 1,900 Members – 4,500 Providers – 380
Contact Information	Stephani J. Ryan, Vice President, LTSS Programs 3200 West End Ave. Nashville, TN 37203 Email: stephani_ryan@bcbst.com Phone: 615.386.8544 Fax: Not available.

Aetna	
Contract Number	16985
Contract Type	Managed Care Organization – Medicaid
Contract Dates	Duration: Sandata signed a national contract with Aetna in June 2018. Contract is evergreen. Scheduled Completion: Not applicable. Actual Completion: In Process.
Contract Value/Budget	Varies by SOW.
Program Status	Pre-Implementation
Location of Services	National
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Telephonic Visit Verification • Sandata Mobile Connect • Sandata Aggregator • Sandata Business Intelligence
Description of Work Performed	<ul style="list-style-type: none"> • This national contract will allow Aetna to deploy EVV within their markets, as needed. • Aetna is working to determine which markets will implement EVV.
Start and Completion Date of Work Performed	NA as the program is in pre-implementation.

Aetna	
Names of Sub-contractors Used	None.
Key Statistics	NA as the program is in pre-implementation.
Contact Information	Jordan Himlie, Business Project Program Manager Medicaid Vendor Management Email: HimlieJ@aetna.com Phone: 2970.286.3537 Fax: Not available.

Visiting Nurse Service of New York	
Contract Number	Not applicable.
Contract Type	Managed Care Organization – Medicaid
Contract Dates	Duration: The most recent contract with VNSNY was executed on May 1, 2012; original relationship established in 1993. The contract has an evergreen renewal. Scheduled Completion: Not applicable. Actual Completion: In Process.
Contract Value/Budget	\$200,000 annually
Program Status	Operational
Location of Services	New York statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Mobile Connect • Sandata Scheduling Module • Sandata Billing Module • Jurisdictional View • Sandata Point of Care • Verification Organization
Description of Work Performed	<ul style="list-style-type: none"> • VNSNY, a long-standing EVV customer, is the largest not-for-profit home health care agency in the United States serving more than 35,000 patients per day in all five boroughs of New York City, as well as in Nassau, Suffolk, and Westchester Counties and parts of upstate New York. VNSNY CHOICE Health Plans is an affiliate company created by the Visiting Nurse Service of New York to bring together health professionals and providers who care for NY area patients plus the medical services they need to live well at home. • VNSNY is currently a customer with Sandata for the Verification Organization (VO) initiative where Sandata provides robust compliance services. VNSNY has used our EVV technology software for 20+ years.

Visiting Nurse Service of New York	
Start and Completion Date of Work Performed	Launched on time in 1993.
Subcontractor Information	None.
Key Statistics	Visits per day – 10,000 Members – 35,000
Contact Information	Marki Flannery, CEO 5 Penn Plaza, 20th floor New York, NY 10001 Email: Marki.Flannery@vnsny.org Phone: 212.609.5407 Fax: Not available.

Sunshine State Health Plan	
Contract Number	Sandata Master Service Agreement with Centene; Sunshine MLTC SOW; Sunshine MMA SOW
Contract Type	Managed Care Organization – Medicaid
Contract Dates	Duration: April 2013 – April 2019 – Medicaid Managed Long Term Care (“MLTC”) and Managed Medical Assistance (“MMA”) scope of work executed April 2013. Sandata also has a national contract for EVV with Centene – the parent company for Sunshine. Scheduled Completion: April 2019 Actual Completion: April 2019
Contract Value/Budget	~\$1,500,000
Program Status	No longer active.
Location of Services	Florida statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Fixed Visit Verification • Sandata Scheduling Module • Sandata Billing Module • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • Contract began April 2013 to provide EVV systems for the Medicaid Managed Long Term Care (“MLTC”) and Managed Medical Assistance (“MMA”) programs. Sandata also has a national contract for EVV with Centene – the parent company for Sunshine. • Sunshine, in conjunction with Sandata, launched Florida’s MLTC services

Sunshine State Health Plan	
	<p>program on time in 120 days on August 1, 2013.</p> <ul style="list-style-type: none"> • Sunshine State Health Plan also implemented EVV services for their Managed Medical Assistance (“MMA”) program which launched on schedule on June 1, 2014. On September 12, 2016, the MMA program launched an update to their EVV program. • System integrations include data exchanges between Sandata and Sunshine State Health Plan including recipient, provider and authorization data, as well as the submittal of 837 claims.
Start and Completion Date of Work Performed	<p>August 1, 2013 – MLTC June 1, 2014 – MMA September 12, 2016 – MMA program update.</p> <p>Scheduled Completion: September 2016. Actual Completion: September 2016.</p>
Subcontractor Information	None.
Key Statistics	<p>Visits per day – 170 Members – 3,700 Providers – 240+</p>
Contact Information	<p>Thomas Ballard, MBA, PMP, ITILv3, CSM, SAFe 4.0 (SA), PHIAS, Director, Operations 1301 International Pkwy, Suite 400 Sunrise, FL 33323 Email: thballard@centene.com Phone: 954.839.1575 Fax: Not available.</p>

AmeriGroup FL	
Contract Number	Schedule 1
Contract Type	Managed Care Organization – Medicaid
Contract Dates	<p>March 2014 – March 2017 Scheduled Completion: March 2017 Actual Completion: March 2017</p>
Contract Value/Budget	~\$150,000
Program Status	No longer an active client.
Location of Services	Florida statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata Telephonic Visit Verification
Description of Work	<ul style="list-style-type: none"> • Sandata provides EVV services for the Florida Managed Medical

AmeriGroup FL	
Performed	Assistance program.
Start and Completion Date of Work Performed	Launched on time July 1, 2014.
Subcontractor Information	None.
Key Statistics	Visits per day – Amerigroup did not mandate the use of EVV for its provider network; usage is voluntary and varies significantly. Members – 50,000 Providers – 120
Contact Information	Angela Bickford, Vice President, HCMS 4200 West Cypress St, Suite 900 Tampa, FL 33607 Email: Angela.Bickford@amerigroup.com Phone: 813.830.6914 Fax: Not available.

Texas Department of Aging and Disability Services	
Contract Number	539-5-0000101644
Contract Type	Government – State Medicaid
Contract Dates	Duration: Contract: 2011 – 2012; Renewals: 2012 – 2018 Scheduled Completion: December 2018 Actual Completion: December 2018
Contract Value/Budget	~\$8,600,000
Program Status	No longer an active client.
Location of Services	Texas statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Fixed Visit Verification • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • Sandata provided EVV services (Telephony and Fixed Visit Verification) to agency-managed and self-directed recipients. The original pilot launched in Region 9 in 90 days. Sandata then implemented an additional 360 providers statewide in 90 days in 2012 expansion. • The initial pilot program went live with 32 providers and 4,685 recipients. The expanded program was completed in November 2012 and served 900 providers and over 77,000 recipients. • Sandata continued provide the Jurisdictional View to support auditing after the program ended.

Texas Department of Aging and Disability Services	
Start and Completion Date of Work Performed	Program Launched on time on March 1, 2011 in Region 9. The expanded program was completed in November 2012.
Subcontractor Information	Sandata served as the Prime Contractor and subcontracted with the following organization: <ul style="list-style-type: none"> • RH2 – Women Owned Minority Enterprise that supports implementation and on-going on-site provider training for home health and homemaker agencies.
Key Statistics	Visits per day – 36,800 Members – 77,000 Providers – 900
Contact Information	Alesia Brown, M.Ed, CTCM Electronic Visit Verification (EVV) Operations Manager Medicaid and CHIP Division, Integrated Services Health and Human Services Commission 701 W. 51st St. Austin, TX 78751 Email: Alesia.Brown@hhsc.state.tx.us Phone: 512.438.4953 Fax: Not available.

State of Oklahoma Department of Human Services	
Contract Number	8309022862
Contract Type	Government – State Medicaid
Contract Dates	Duration: July 2014 – September 2016 Scheduled Completion: September 2016 Actual Completion: September 2016
Contract Value/Budget	~\$1,500,000
Program Status	No longer an active client.
Location of Services	Oklahoma statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Speaker Verification • Sandata Scheduling Module • Sandata Billing Module • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • In June 2014, Sandata was selected to replace the previous EVV vendor. Sandata's EVV system supported Personal Care, Advanced/Supportive

State of Oklahoma Department of Human Services	
	<p>Restorative Assistance (ASR – an advanced personal care) In-Home Respite, Case Management, and Nursing. In-home workers would check in to a toll-free number on arrival and again on departure to document the location, task performed, and time of care given. In addition, the system utilized a voice recognition component to verify that the worker is the individual authorized to deliver service to the specific member.</p> <ul style="list-style-type: none"> • The EVV program encompassed Advantage Waiver and State Plan Personal Care programs. • The EVV system was integrated with DXC's MMIS, eligibility Systems, and claims systems. • Sandata declined to participate in the 2016 EVV RFP.
Start and Completion Date of Work Performed	Launched on time September 1, 2014.
Subcontractor Information	None.
Key Statistics	Visits per day – 12,300 Members – 23,000+ Providers – 90
Contact Information	Darryl Washington, Programs Assistant Administrator/Admin Supports and Operations Aging Services, Medicaid Services Unit 823 South Detroit Ave. Tulsa, OK 74120 Email: Darryl.Washington@okdhs.org Phone: 918.933.4970 Fax: Not available.

Florida Agency for Health Care Administration	
Contract Number	MED116
Contract Type	Government – State Medicaid
Contract Dates	Duration: Contract: May 2010 – May 2011; Renewals: June 2011 – June 2016 Scheduled Completion: June 2016 Actual Completion: June 2016
Contract Value/Budget	~\$16,500,000
Program Status	No longer an active client.
Location of Services	Florida statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Speaker Verification

Florida Agency for Health Care Administration	
	<ul style="list-style-type: none"> • Sandata Fixed Visit Verification • Sandata Scheduling Module • Sandata Billing Module • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • Florida's EVV program is a statewide fee-for-service program for home health, personal care, and private duty nursing services. Florida's Agency for Health Care Administration ("AHCA") contracted with Sandata for our Santrax[®] Payer Management ("SPM") system including EVV to address aberrant billing practices, fraud, and quality of care in home care in Miami/Dade County. • EVV system integration points include Florida's MMIS system (FMMIS) and eQHealth's authorization system. • On October 1, 2012 AHCA expanded the program, adding new services and moving from a regional pilot in Miami Dade to a statewide program. • EVV system was integrated with DXC's MMIS for eligibility and claims data. • DXC provided Florida based training and customer care support.
Start and Completion Date of Work Performed	<p>Implemented nearly 300 providers in 90 days on July 1, 2010.</p> <p>Implemented an additional 360 providers statewide in 90 days on October 1, 2012 expansion.</p>
Subcontractor Information	<p>Sandata served as the Prime Contractor and developed an innovative partnership with DXC, who was the FMMIS administrator, as a Subcontractor with the following responsibilities:</p> <ul style="list-style-type: none"> • Tier 1 Customer Support; • FMMIS 837 claims integration; and • Initial and ongoing training and outreach.
Key Statistics	<p>Visits per day – 2,000</p> <p>Members – 6,600</p> <p>Providers – 780</p>
Contact Information	<p>GP Mendie Agency for Health Care Administration Division of Medicaid 2727 Mahan Drive, Mail Stop #38 Tallahassee, FL 32308 Email: gp.mendie@ahca.myflorida.com Phone: 850.412.4252 Fax: Not available.</p>

UnitedHealthcare Plan of the River Valley	
Contract Number	111909
Contract Type	Managed Care Organization – Medicaid
Contract Dates	Duration: March 2010 – October 2015 Scheduled Completion: October 2015 Actual Completion: October 2015
Contract Value/Budget	~\$3,600,000
Program Status	No longer an active client.
Location of Services	Tennessee statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Scheduling Module • Sandata Billing Module • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • In early 2009, Tennessee's TennCare program made the decision to mandate the use of an electronic time and attendance system in home care in order to reduce costs and fraudulent billings. The launch of the program was divided into two phases, with the first and largest phase going live March 1, 2010 in Middle Tennessee. The second phase, for East and West Tennessee launched on August 1, 2010.
Start and Completion Date of Work Performed	<ul style="list-style-type: none"> • Launched on time on March 1, 2010. • The second phase, for East and West Tennessee launched on August 1, 2010.
Subcontractor Information	Sandata served as the Prime Contractor and subcontracted with the following organization: <ul style="list-style-type: none"> • Express Train for supplemental trainers for the launch.
Key Statistics	Visits per day – 5,700 Members – 4,400 Providers – 320
Contact Information	Richard Reeves, Chief Operating Officer UnitedHealthcare Community Plan, Tennessee 8 Cadillac Drive, Suite 410 Brentwood, TN 37027 Email: richard_w_reeves@uhc.com Phone: 615.493.9542 Fax: Not available.

AmeriGroup TN	
Contract Number	2010012111254183
Contract Type	Managed Care Organization – Medicaid
Contract Dates	Duration: March 2010 – October 2015 Scheduled Completion: October 2015 Actual Completion: October 2015
Contract Value/Budget	~\$2,000,000
Program Status	No longer an active client.
Location of Services	Tennessee statewide
EVV Modules Used	<ul style="list-style-type: none"> • Sandata EVV • Sandata Telephonic Visit Verification • Sandata Scheduling Module • Sandata Billing Module • Jurisdictional View
Description of Work Performed	<ul style="list-style-type: none"> • In early 2009, Tennessee's TennCare program made the decision to mandate the use of an electronic time and attendance system in home care in order to reduce costs and fraudulent billings.
Start and Completion Date of Work Performed	<ul style="list-style-type: none"> • The launch of the program was divided into two phases, with the first and largest phase going live March 1, 2010 in Middle Tennessee. The second phase, for East and West Tennessee launched on August 1, 2010.
Subcontractor Information	Sandata served as the Prime Contractor and subcontracted with the following organization: <ul style="list-style-type: none"> • Express Train for supplemental trainers for the launch.
Key Statistics	Visits per day – 3,000 Members – 3,159 Providers – 340
Contact Information	Tina Brill, VP, LTSS Email: tbrill@amerigroupcorp.com Phone: 615.316.2413 Fax: Not available.

SUBCONTRACTORS

Sandata is proposing the following subcontractors for the DHHS EVV program:

- DXC for Tier 1 Client Success help desk services
- Epiphany Management Group to support provider training and fixed visit verification device management services

We have extensive proven experience working with each company in other state programs.

As part of our subcontractor management process, Sandata's Director of Vendor Management, Kelly Bergstrom, is responsible for oversight of all payer subcontractors/vendors. Her role and responsibilities include logistics planning and oversight, coordination of activities regarding devices (data plan, applications, application updates) and process documentation. She is responsible for management of all subcontractors and conducts Scorecard Reviews and quarterly site visits to evaluate processes and materials. Ms. Bergstrom has established a regular meeting cadence with our subcontractors to review any issues, action items, updates and data anomalies. She ensures that all subcontractors are delivering on their contractual obligations and meeting required service levels related to their project scope.

SUBCONTRACTOR QUALIFICATIONS AND EXPERIENCE

DXC

DXC, our trusted partner and subcontractor, will provide Tier 1 Client Success (Help Desk) support, backed up by Sandata's Client Success staff. Sandata and DXC have partnered to provide EVV solutions and services for State Medicaid agencies in Connecticut, Maine, Colorado, Indiana, Pennsylvania, Vermont, Wisconsin and Florida. As the only EVV vendor with a national agreement with DXC, Sandata and DXC have a history of successful EVV implementations and the DXC Client Success team is well positioned to provide customer care support for the DHHS EVV program, as they do with other Sandata state EVV programs.

DXC's Relevant Experience

DXC serves State governments by delivering state-of-the-art information technology solutions with service excellence. They apply proven project management to reliably deliver on each of our State contracts, and bring knowledgeable leaders and staff to each project.

DXC has extensive State Medicaid program experience in areas such as managing administrative costs, controlling information technology (IT) spending, and effectively addressing compliance issues. DXC clients benefit from their experience serving state governments. They understand evolving state and federal requirements and have proven solutions to help clients meet those requirements.

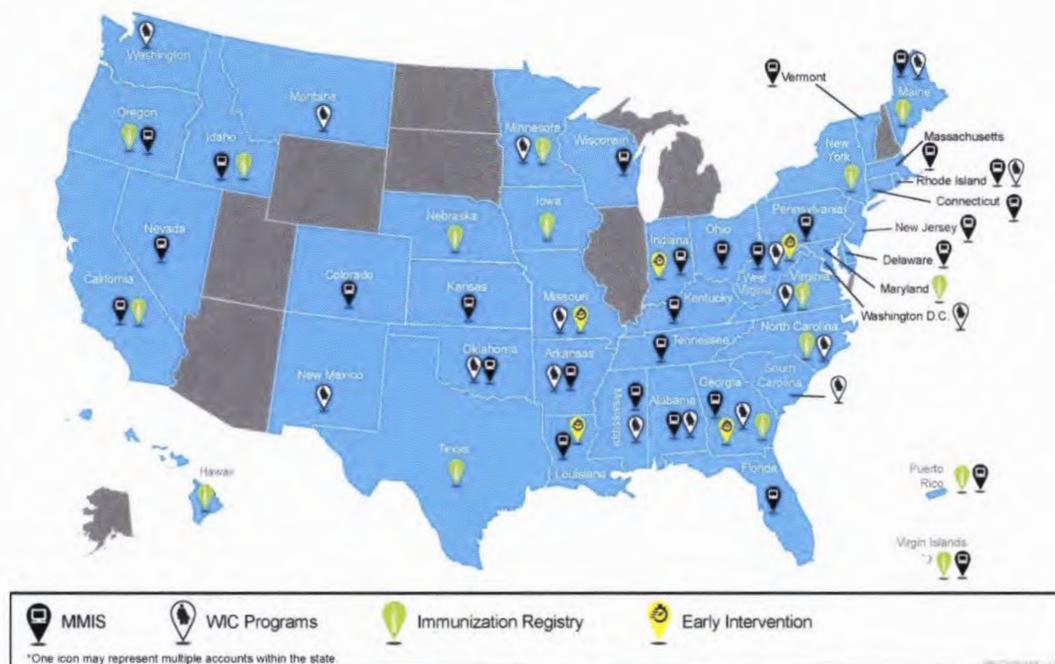
DXC State and Local Government Healthcare Experience

DXC offers extensive knowledge and experience that allows them to understand the significant changes occurring in human services and the healthcare marketplace. DXC remains alert to the impacts affecting state-administered Medicaid programs as the nation moves toward the implementation of ACA. DXC's mission is to fully support state Medicaid customers through these challenges with the services and systems required to respond to these mandates.

DXC offers a diverse portfolio of Medicaid and related services, including MMIS development and maintenance, documentation, fraud and abuse detection, customer service operations, claims processing, provider management and outreach, immunization registries, ePrescribing, and education. DXC demonstrates their dedication to serving government health and human services programs with innovative solutions, dependable services, and experienced healthcare professionals. With a portfolio this diverse and solutions implemented across a wide range of states with varying policies, DXC solutions have shown a proven ability to adapt and respond to programmatic change.

DXC supports health and human services programs in 40 states and two U.S. territories which includes providing Medicaid Fiscal Agent services to 22 states and MMIS services to 29 states as shown in the following map.

DXC State and Local Services and Systems



DXC Customer Support Services Experience in the Public Sector

In today's world, Health and Human Services customer support centers are the lifeblood of any State Medicaid or Statewide Eligibility program—interacting with providers, members, and other stakeholders every day. The ACA and healthcare reform have introduced significant changes for the provider community and for Medicaid members in each state, thereby increasing the need for timely and accurate access to information.

Traditionally, customer support centers are the primary voice in responding to questions about the program. With healthcare reform and the introduction of Health Insurance Marketplaces, Medicaid expansion and the complexities of eligibility determination for various programs, the customer support center takes on an expanded and critical role with providers and members. Both stakeholder groups have questions on program design, benefit coverage, and health plan options. Education and outreach take on a larger role as well so that providers and members are informed and supported through the transition.

DXC has more than 1,300 employees supporting their customers, with services including the following:

- Member enrollment/broker services
- Member customer support center services
- Provider relations and outreach
- Provider customer support center services
- Provider enrollment
- Provider and member publications
- General mailroom services

The size of these specific customer support center operations can vary from 10 to 12 Customer Service Representatives (“CSRs”) in some states to more than 90 CSRs on some larger Medicaid centers. The entire corporation supports clients with hundreds of CSRs nationwide. For example, the DXC Wisconsin Medicaid account serves as the Fiscal Agent for Wisconsin and provides a wide variety of administrative and technical support. DXC currently handles a large center for both provider and member calls in Wisconsin with a total call volume of nearly 1.3 million calls annually.

DXC References

Listed below in Table 1 are examples of specific Medicaid and commercial customer service center operations to demonstrate the variety of experience, capability, size and complexity as well as reference information.

Table 1. DXC References

Reference	Description of Work
<p>Kathy Bruni, Director, Community Options Unit 55 Hartland Ave. East Hartford, CT 06108 Email: kathy.a.bruni@ct.gov Phone: 860.424.5177 Fax: 860.424.4963</p>	<p>Connecticut EVV</p> <p>The DXC Connecticut Medicaid account has supported the Connecticut Medicaid program over 30 years. DXC has contracts as the fiscal agent for the Connecticut Medicaid program and a contract amendment to serve as the EVV provider with subcontract to Sandata. For the fiscal agent contract, DXC performs a variety of administrative support functions including provider enrollment, provider services, provider customer support center services, pharmacy benefit management, and administrative functions including mailroom, financial, third party liability, and claims processing.</p> <p>As the prime contractor for the EVV program, DXC provides program oversight, provider escalations, vendor management, and in March 2019, DXC began taking approximately 9,000 EVV customer service phone calls annually.</p>
<p>GP Mendie Agency for Health Care Administration Division of Medicaid 2727 Mahan Drive, Mail Stop #38 Tallahassee, FL 32308 Email: gp.mendie@ahca.myflorida.com Phone: 850.412.4252 Fax: Not available.</p>	<p>Florida Medicaid</p> <p>DXC has provided fiscal agent services in in Florida since 2008. As part of the fiscal agent contract, DXC handles the administrative functions of provider services, provider customer support center services, provider enrollment, financial processing, mailroom, claims processing, and certain pharmacy benefit administration services that are provided by a DXC subcontractor. The state has a separate contract with another vendor to perform member customer support center services and member enrollment/broker services.</p> <p>DXC handles approximately 500,000 provider phone calls annually in the customer support center and supports a total of 180,000 providers in the program.</p>
<p>Rich Johnson, DXC Wisconsin Account Executive Email: rich.johnson@dxc.com Office: 608.224.6011 Cell: 608.332-6523 Fax: Not available.</p>	<p>Wisconsin Medicaid</p> <p>DXC has served as the fiscal agent in Wisconsin since 1977 which serves approximately 1.4 M members and 87,000 providers. As part of the fiscal agent contract, DXC handles the administrative functions of provider services, provider and member customer support center services, provider enrollment, pharmacy services, financial processing, mailroom, claims processing, and TPL services.</p> <p>The DXC Customer Service staff members handle approximately 1.3M member and provider phone calls annually for claims inquiries, eligibility verification, or other program inquiries.</p>

Epiphany Management Group

Epiphany Management Group (“Epiphany”), will provide EVV training support and fixed visit verification device logistics for the DHHS EVV program. Epiphany is an Ohio Minority Business Enterprise that has been supporting governmental agencies since 2008 and EVV programs since 2016. Sandata has partnered with Epiphany for support services including training, customer support, and mobile device management for Ohio and Colorado EVV programs. Sandata is tightly integrated with Epiphany to provide a seamless experience for our clients.



Relavant Experience

Epiphany Management Group has been supporting schools and other governmental agencies since 2008 and EVV programs since 2016. The table below summarizes the depth and breadth of Epiphany’s contribution and achievements on this project.

Sandata Technologies - Ohio Department of Medicaid	
Description of Work Performed	Epiphany provide 24x7 call center support for EVV software on 51,000+ devices. Epiphany also provided Training, both on-site and webinars, for 6,000 users and 25,000 users for the Ohio Department of Medicaid Project EVV roll-out. Epiphany also supports EVV device distribution and device management statewide. Phase 2 of the implementation added another 60,000 devices. Epiphany also provided translation services.
Significant Accomplishments or Achievements	<ul style="list-style-type: none"> • Training Conducted for 5,600 users within 6 weeks timeframe Provider Count <ul style="list-style-type: none"> – Agency: 829 – Non-Agency providers: 5408 In-person Classroom Training Sessions: 74 <ul style="list-style-type: none"> – Total hours of classroom training: 456 – Training locations: 7 Cities Online Training Seminars: 174 <ul style="list-style-type: none"> – Total hours of training seminars: 348 • 24 x 7 Call Center for the EVV state-wide device roll-out • Translation Services for six languages for training and support materials

In addition to providing professional training resources, Epiphany provides training support services, including obtaining facilities, and procuring equipment. Sandata has found Epiphany to be a reliable augmentation training partner that allows us to staff up quickly and meet high demand needs of our clients when necessary.

Epiphany References

Saint Martin De Porres High School	
Contact Name & Title	John Fay, Co-Principal
Business Name:	Saint Martin De Porres High School
Address:	6202 St. Clair Avenue Cleveland, OH 44103
Email:	jfay@stmdphs.org
Phone # / Fax #:	P: 216.577.1474 / F: none
Current Vendor (YES or NO):	YES
Years Associated & Type of Work Performed	Summer 2011 – Present <ul style="list-style-type: none"> • Annual service contract to support all on-site users (students and staff) for end-to-end computing support and HelpDesk • IT project roll-out (network and end-user device) • IT support – remote and on-site • Management of all user accounts, local, and cloud-based • Monthly meetings with admins on current and future technology planning in the school

Vinson Consulting Group	
Contact Name & Title	Mike Nutter, Principal
Business Name:	Vinson Consulting Group
Address:	100 E Campus View Boulevard Columbus, OH 43235
Email:	mnutter@vinson-consulting.com
Phone # / Fax #:	P: 614.438.4088 / F: none
Current Vendor (YES or NO):	YES
Years Associated & Type of Work Performed	July 2016 – Present <ul style="list-style-type: none"> • Epiphany supports approximately 30 of Vinson's clients who are located in multiple counties throughout the state. • Epiphany provides training and support for over 200 coordinators who in turn are responsible for analyzing and verifying data for over 100,000 users prior to submission to the State • Software development • Remote support • Training and professional development

Cloverleaf Local Schools	
Contact Name & Title	Daryl Kubilus, Superintendent
Business Name:	Cloverleaf Local Schools
Address:	8525 Friendsville Road

	Lodi, OH 44254
Email:	Daryl.kubilus@cloverleaflocal.org
Phone # / Fax #:	P: 330.302.0305 / F: 330.948.1034
Current Vendor (YES or NO):	YES
Years Associated & Type of Work Performed	July 2014 – Present <ul style="list-style-type: none">• Annual Service Contract to support approximately 2,500 users for end-to-end computing support and HelpDesk• Training and professional development delivered via on-site academy• IT project roll-out (network and end-user device)• IT support – remote and on-site• Management of all user accounts, local, and cloud-based

I. SUMMARY OF BIDDER'S PROPOSED PERSONNEL / MANAGEMENT APPROACH

The bidder should present a detailed description of its proposed approach to the management of the project.

Sandata's Project Management Office ("PMO") has been successful over the course of implementing 25 statewide payer EVV projects because we offer our clients:

- The right processes;
- The right tools;
- The right people; and
- Executive level organization support.

Sandata uses proven project management processes and follows the best practices within recognized project management standards and guidelines. We have honed our implementation approach and major activities from our experience and successes.

PROJECT MANAGEMENT APPROACH

Our project management strategy is designed to achieve and exceed the desired goals and outcomes described below and includes:

- Establishing and maintaining the project schedule;
- Managing each phase of the implementation;
- Regular project status meetings;
- Assessing risk;
- Managing to project milestones and obtaining project sign-offs and approvals; and
- Providing Executive Team project governance.

PROJECT SCHEDULE DEVELOPMENT AND MANAGEMENT

Sandata's primary tool for schedule management is a project work plan (Gantt Chart) created and maintained using Microsoft Project. This tool allows us to break a project down into discrete tasks; define resources, timelines, and dependencies for each task; and refine these data points throughout the life of the project as goals or scope change. Once an overall schedule is set, the Project Manager is responsible for monitoring the progress of the project against the baseline and revising the schedule as needed. We will coordinate with DHHS to conduct module and milestone walkthroughs, refine and maintain the project work schedule, report changes and dependencies and address and escalate schedule conflicts as they arise.

Our Project Manager will coordinate with the DHHS contract manager and other project management team members as needed to refine and maintain the project schedule. Any schedule changes and associated task dependencies will be reported and reviewed weekly to help address schedule conflicts.

The Sandata Project Manager is responsible for coordination of all implementation phase tasks and activities, including resource planning and tracking progress against the plan. We will work, in conjunction with DHHS leadership, to execute on the project plan and adhere to the governance requirements at DHHS including participation in and/or providing requested updates to DHHS' EVV Project Team and various governance committees including but not limited to the:

- Steering Committee;
- IV&V Team;
- Project Board;
- Operating Committee;
- Data Governance Council;
- Project Coordination Committee;
- Enterprise Change Control Board; and
- Business Information and Technology Integration Team.

Sandata has described our process for implementation using the following structure:

I. IMPLEMENTATION

Implementation includes the following activities:

a. Project Preparation

Once awarded, Sandata begins the implementation with a series of internal preparatory activities that include:

- All project resources are finalized;
- A project communication website is established;

- Contractual documents (RFP + response, amendments, final contract, statement of work, project plan, etc.) are posted to Confluence, our internal project document management system;
- A cross functional Work Stream team is established to manage each of the functional areas for the implementation;
- The project control process is reviewed, including a review of key milestones;
- The Implementation Workbook and Business Rules Document are created; and
- An official Sandata internal kick off meeting is held with the Payer Sales team, Executive Sponsor, Executive Leadership, and the assigned Project Manager and Account Executive to provide knowledge transfer from sales to the project team.

b. Introductory Meetings

Based on our extensive experience, it is our recommendation that DHHS participate in one-two introductory meetings with Sandata after the contract award and prior to the implementation kick-off. The purpose of these virtual “Get Ready” sessions is to preview for DHHS staff the types of information regarding policies, data, business rules, and other requirements that will be needed during the implementation. Having these discussions early in the process allows DHHS staff additional time to meet internally, as needed, to make key decisions about the program prior to the beginning of the implementation. We have used this approach with other payer client implementations and it has proven to be an effective way to help prepare our clients for the implementation experience.

c. Design/Discovery

Through a series of guided meetings, Sandata begins our discovery process immediately after contract award and is an opportunity to gain a deeper understanding of the DHHS Medicaid Enterprise, including details regarding the current state systems; and preparation of key planning documentation.

d. Kick Off

The Sandata project manager will coordinate with DHHS to schedule a formal on site project kick-off meeting with all members of the collective project teams. At kick off, the teams review the project scope, tools, plan, and documentation. The sales team and the implementation team jointly participate in the kick off meeting to ensure a smooth transition between the contracting process and the ongoing implementation. A regular meeting cadence is established and DHHS will be provided with materials to assist in preparation for the requirements sessions that follow.

e. Requirements Sessions

The Sandata implementation team leads several discovery sessions with DHHS to document all program and configuration requirements in a Business Rules Document. See Attachment 2, Implementation Overview Guide which supports this process. Artifacts created during these sessions will support the required CMS Certification process and will guide the configuration of Sandata EVV to meet DHHS requirements.

f. Outreach

Outreach to stakeholders (providers, participants, and caregivers) may occur in a variety of ways. An EVV website will be established, and Sandata will provide templates for direct emails, communication mechanisms such as newsletters, participate in DHHS-sponsored town halls or advisory groups, and support discussions with state home health associations. Sandata will share outreach materials and templates that have been used successfully in other state EVV programs and will work together with DHHS to create an approved set of outreach materials and a calendar of outreach activities best tailored to your stakeholder community to inform all of upcoming EVV activities.

g. Configuration

Once DHHS approves the Business Rules, Sandata will configure the system in preparation for the Testing phase. Once the configuration is completed, should DHHS identify new requirements outside the scope of this RFP, those requirements will be accommodated through the change order process.

h. Testing

The Sandata Quality Assurance team performs various test levels based on and traced back to use case/user story and design documentation. Testing results are presented and reviewed with DHHS. Our standard testing approach includes Unit, Integration, System, Interface, Regression, Security, Performance, Usability/Accessibility, Language, Browser, and Mobile Device testing. As part of our interface testing, all inbound and outbound interfaces are thoroughly tested. Before code is released to production, we will ensure that it meets the minimum acceptable defect levels. Should any issues arise related to testing of the system, we will review our proposed resolution strategies with DHHS prior to implementing those strategies.

As the business rules and configuration requirements are defined, Sandata will work in parallel with DHHS to review and finalize all data exchange specifications to

ensure the data feeds are aligned with business requirements. Once the specifications are final, Sandata and DHHS will participate in multiple data integration iterations that test data completeness and business rule scenarios. The completed configuration will be placed in our internal quality assurance testing environment in preparation for the System Testing Phase.

User Acceptance Testing is a critical component of our Software Development Life Cycle. Having the software tested by actual system users in a test environment, we can assess if the system can support the day-to-day business and user scenarios, and therefore ensure the system is configured correctly based on the Business Rules requirements before the system moves into production. Sandata has included our standard UAT policy as Attachment 3.

As part of the business rules process, Sandata will provide DHHS with recommended test cases to support the UAT process. Sandata creates an external UAT environment and works with DHHS to execute the user acceptance test plans. Any issues identified during UAT are mitigated and retested in accordance with our standard UAT plan. Once UAT is complete, the system is ready to be promoted to the training environment.

i. Training

Sandata and DHHS will mutually develop a comprehensive outreach and training plan targeting all key stakeholders, including DHHS staff, providers, and participants to ensure all parties understand how to use and interact with the system in accordance with their roles. Our plan incorporates multiple levels of training modalities to meet the needs of urban, rural, and frontier areas as well as system users with special needs and Limited English Proficiency. Training materials are prepared and sent to DHHS for review and training sessions are held for all constituents.

Please refer to Attachment 4, Draft Outreach and Training Plan for our approach to outreach and training.

j. CMS Certification

Sandata is the only EVV Vendor who has successfully completed CMS Certification for a statewide EVV solution.

Sandata has worked closely with CMS during the certification process, helping to define the requirements and artifacts needed to complete the certification process

for EVV. Our Certification Lead has over 18 years of experience providing consulting services for large government IT projects involving IV&V, Medicaid Replacement, EVV, MMIS, and MITA projects and will be a valuable resource in coordinating these efforts for DHHS. Our sole focus is delivering EVV solutions, and selecting Sandata as your EVV Vendor ensures CMS Certification success.

Our CMS Certification process is summarized below.

Project Initiation Milestone Review (R1)

This phase is usually completed prior to the engagement of a specific EVV vendor. Before the state submits its Implementation Advance Planning Document (“IAPD”) to the CMS Regional Office, states will often select an Independent Verification and Validation (“IV&V”) company to support the certification process. The IV&V contractor reviews the state planning documents, evaluating them against the MECL checklist criteria and critical success factors. The results are compiled into a progress report. The IV&V contractor sends a copy of this IV&V Progress Report to the state, to the CMS Regional Office, and to the CMS certification email address (MES@cms.hhs.gov). This gives the state time to remedy gaps or issues before submitting the IAPD.

Operational Milestone Review (R2)

The next phase is the Integration, Test and Implementation period, which is measured by the Operational Milestone Review. During this phase, the Sandata implementation team and the state will work collaboratively to define and document the Sandata EVV system configuration using the Business Rules Document, and the state will also participate in our User Acceptance Testing process. Sandata will interact with the state and the IV&V contractor as they prepare MMIS IV&V Progress Reports, Operational Milestone Review(s) and the Sandata EVV system is moved into the production environment.

Sandata estimates the Operational Milestone review will take approximately six months and we will create (as appropriate) or support the state and IV&V (as requested) in the creation of the relevant MECL 2.3 Appendix B artifacts. In addition, Sandata will provide standard documentation as part of the normal course of the implementation.

Sandata will assist in drafting response statements and providing artifacts to address requirements in the six MECL checklists:

- Information Architecture;
- Intermediary and Interface;
- Access and Delivery;

- Integration and Utility;
- Standards and Conditions; and
- Program Integrity.

CMS Certification Final Review (R3)

The final phase of the process occurs no earlier than six months after the system is live and is primarily focused on documenting the production environment. Sandata estimates the Final Review will take approximately nine months. We will create (as appropriate) or support the state and IV&V (as requested) in the creation of the relevant MECT 2.3 Appendix B artifacts.

PROJECT TOOLS

The Project Manager uses the following tools and strategies to manage the EVV Project.

a. Status Meetings

The Project Manager uses several tools to manage and document the project as well as provide bi-directional communication between DHHS and Sandata. Following the face-to-face kick-off meeting, weekly virtual meetings are conducted to review specific elements of the implementation. Weekly meetings will include discussions related to issues, risk, the progress of the project, resource updates, as needed. The Project Manager will create an agenda for each meeting and will document the minutes of each meeting. Additionally, the Project Manager reports the progress of the implementation via a weekly status meeting with DHHS project leadership. Please refer to Attachment 5 for a sample project status dashboard.

Sandata will also schedule monthly project update calls with the DHHS and Sandata executive sponsors to review the overall project's status, milestones achieved and progress towards the target go live date. Progress against Service Level Agreement will also be discussed during this meeting.

b. Risk Management

Sandata's Project Manager continuously assesses risk throughout the life of the project following these key steps.

- **Step 1:** Identify potential risks throughout the project;
- **Step 2:** Determine probability including rating each risk with high, medium or low probability; and

- **Step 3:** Determine Impact on key metrics such as milestones, Operational Start Date, and budget, etc.

Sandata has a formal risk-management process supported by effective methods to manage risk in complex, high-risk projects such as this. The Sandata Project Manager will serve as the Risk Manager for this project to ensure risks are actively identified, analyzed and managed throughout the life of the project. Our risk management and mitigation plan are summarized in Figure 2.

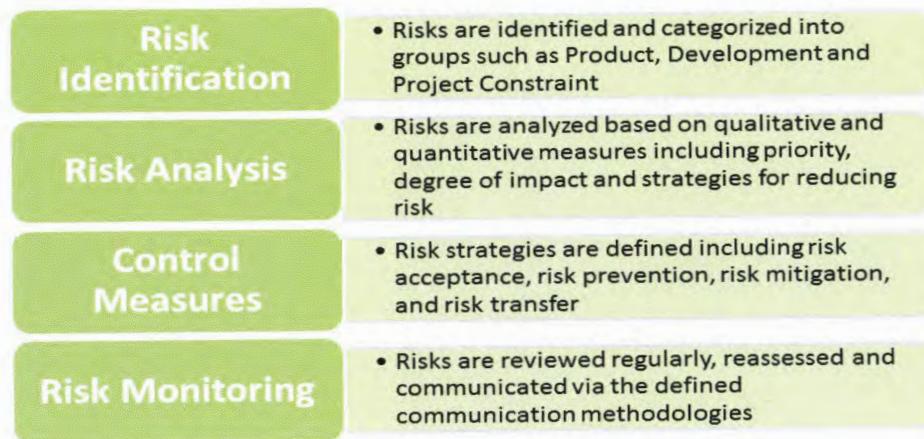


Figure 2: Sandata has a well-defined, effective risk management process to identify and mitigate potential

All risks are reviewed with the DHHS Project Team and discussed regularly as part of the implementation and project governance process.

c. Milestone Reviews

Sandata establishes key milestones for each implementation. Each milestone is documented and requires DHHS review and acceptance. Sandata's process will align with DHHS' milestones for the EVV project including:

- Design Milestone;
- Development Milestones;
- Production Milestone; and
- R3 Milestone Completion.

In addition to DHHS' milestones, Sandata has a formal review cycle for other key items that will require DHHS review and approval.

d. Project Governance

Executive-Level Project Governance is a key aspect of our payer programs. Sandata's Executive Oversight team members work to ensure Sandata delivers on our commitments. Members include:

- Tom Underwood, Sandata's Chief Executive Officer;
- Ken Faltischek, Chief Operating Officer;
- Lisa Berlinguet, Vice President of Account Management;
- Karen Erickson, Senior Vice President Enterprise Project Management Office; and
- Jamie Richardson, Vice President of Payer Sales.

Sandata's executive team meets internally on a weekly basis with executive-level representatives from each core operational area (e.g., operations, legal, account management, PMO, technology, human resources) to review the health of our organization as well as our clients. The project owners use this venue to escalate any issues to the team to assist with issue resolution.

II. OPERATIONS

During the Operations Phase, the DHHS EVV system will be implemented and deployed into a production environment for full use on the go live date. Sandata and DHHS will establish a go live plan early in the implementation process to ensure it meets the needs of all EVV stakeholders. For example, given our extensive state EVV experience, we will often recommend the state consider a 'soft launch' where providers begin using their EVV system as soon as they are trained, recognizing that providers will receive training and adopt EVV over a staggered timeframe. This allows extra time for providers and their caregivers to get used to using EVV prior to mandatory use of the EVV system, and can make for a much better EVV launch experience for all.

During the Operations Phase, Sandata provides full operational support throughout the life of the contract, including our Client Success (help desk) team who assist system users, our Account Executive who serves as the liaison between DHHS and Sandata and ensures all Operations Phase deliverables are met along with the CMS Certification Lead, to ensure the EVV system is successful in achieving CMS Certification, as well as our experienced, behind the scenes technical team who monitor the EVV technical infrastructure, test and apply system enhancements as needed, and correct defects.

a. Implementation to Operations Transition

Operations and Maintenance activities take a project from the implementation stage and transition it to routine operations. Approximately 60 days post go-live, the implementation team completes the transition from active implementation to ongoing program management. A post-project review is performed with DHHS by the EVV Project Manager to ensure all requirements have been met and any remaining issues are closed out. The implementation phase will end upon completion and DHHS' acceptance of all required Implementation Phase deliverables and correction of any material defects discovered through the operational start date. Allowing for continuity and reducing the learning curve for transition to Operations, the Account Executive is incorporated early on in the Implementation Phase.

b. Reporting

Monthly Operations reporting will be provided by the Account Executive during the Operations Phase. The Account Manager will provide an Executive Summary that demonstrates the overall value of the EVV program and highlights potential areas of concern regarding fraud, waste, and abuse. The Executive Summary focuses on key activities and trends such as percentage of visits auto-verified, average number of visits/participant, total call volume, and other key program metrics. The report provides an overview of program activity, with specific dashboards and analysis such as system anomalies, as well as patterns of system utilization. For example, we report on the trending of visits verified through our system along with pertinent analysis of the data. This formal report will be instrumental for monitoring and measuring the effectiveness of the program, and will highlight potential areas of fraud, waste, and abuse to support program integrity functions.

c. SLA Management

The Account Manager receives monthly service level reporting to determine if contractual service levels have been met. The Account Manager provides service level performance summary reporting to DHHS.

d. Quarterly Governance Meetings

Upon program launch, the Sandata Executive Governance Team that was established as part of the DHHS implementation phase remains in place. We encourage quarterly meetings with our counterparts at DHHS to review progress to date, discuss open items and brainstorm ideas for continuous quality improvement.

The bidder should identify the specific professionals who will work on the DHHS project if their company is awarded the contract resulting from this RFP. The names and titles of the team

proposed for assignment to DHHS project should be identified in full, with a description of the team leadership, interface and support functions, and reporting relationships. The primary work assigned to each person should also be identified.

The bidder should provide resumes for all personnel proposed by the bidder to work on the project. DHHS will consider the resumes as a key indicator of the bidder's understanding of the skill mixes required to carry out the requirements of the RFP in addition to assessing the experience of specific individuals.

Key personnel should be employees of the Bidder and shall not hold more than one key role unless otherwise approved by DHHS. DHHS will review and approve all key personnel. Contractor must provide named staff for each key position and include background and experience on similar projects for both implementation and operations.

- i. The following Contractor staff shall be considered key personnel during Implementation:*
 - a. Account Executive,*
 - b. Project Manager,*
 - c. Testing Lead,*
 - d. Integration Lead,*
 - e. Certification Lead,*
 - f. Training Lead*
- ii. Contractor must identify the key personnel during EVV operations, including but not limited to:*
 - a. Account Executive,*
 - b. Training Lead,*
 - c. Customer Support Lead,*
 - d. Certification Lead, who is to be engaged until all Certification requirements are completed and approved by CMS.*

DHHS will review and approve all key personnel during EVV operations.

Sandata has proposed our experienced implementation team and qualified staff to manage the DHHS EVV project. Our team has successfully implemented 25 payer EVV programs, more than any other vendor. No other vendor will offer DHHS the size, scale and experience necessary to ensure a successful implementation.

As required, we have named the following staff for key positions:

- Account Executive – Narvell Neves;
- Project Manager – Tywanda Hart;
- Testing Leads – Tim Nyberg, Kevin LaCarrubba;
- Integration Lead – John Kalivas;
- Certification Lead – Brien Mitchell;
- Training Lead – Angel So; and
- Customer Support Lead – Adrienne Woodward.

Our payer implementation team received high accolades recently from the State of Arizona as evidenced below:

“AHCCCS leadership was super impressed with the knowledge, insight, and contributions made from Sandata.”

**Christopher Gentry
 EVV Project Manager
 Arizona Health Care Cost**

For biographies of each of these talented individuals, please refer to our detailed responses following the project’s organizational chart in Figure X.

Our implementation team and executive governance roles and responsibilities are detailed in Table 2.

Table 2: Sandata’s Project Resources and Responsibilities

Project Role	Team Member	Responsibilities
Executive Governance Team		
Executive Governance Team	Tom Underwood Chief Executive Officer	<ul style="list-style-type: none"> • Responsible for the success of Sandata and the success of this program • Ensures appropriate resources are assigned to the program • Measures the status of the project on regular and scheduled frequency
	Ken Faltischek Chief Operations Officer	<ul style="list-style-type: none"> • Responsible for the overall success of the Sandata-DHHS partnership • Ensures all escalated operations issues are resolved satisfactorily
	Karen Erickson SVP Enterprise Project Management Office	<ul style="list-style-type: none"> • Responsible for the overall success of the Sandata-DHHS partnership • Ensures all implementation-related escalated issues are resolved satisfactorily
	Lisa Berlinguet Vice President Account Management	<ul style="list-style-type: none"> • Provides oversight in the identification of key risks to client relationship and assists in the development of mitigation strategies • Jointly works with account management team to ensure strategy aligned with key business objectives • Assists in the Implementation to Operations transition activities

Project Role	Team Member	Responsibilities
	Jamie Richardson VP Payer Sales	<ul style="list-style-type: none"> Responsible for Nebraska contract, including addendums and change requests Sales to Implementation Transition Activities Provides support during implementation and operations phases, as needed
Key Personnel		
Account Management & Outreach	<p>Account Executive</p> <p>Narvell Neves Director Account Management</p>	<p>Account Management</p> <ul style="list-style-type: none"> Leads the outreach and training activities during the implementation phase Responsible for customer satisfaction regarding overall operations of the DHHS EVV Program Lead for all account activities post-implementation including successful transition from Implementation to Operational Status Responsible for regular meetings with the customer post implementation for operations Provides ongoing post implementation support and assists with issue resolution and ensuring escalated issues are resolved satisfactorily Assists client with processing new business requirements and change requests <p>Outreach</p> <ul style="list-style-type: none"> Develops outreach and training plan for all key stakeholders In support of DHHS EVV outreach, coordinates and executes on Sandata activities within approved outreach plan <p>Training</p> <ul style="list-style-type: none"> In conjunction with DHHS, assesses the scope, methodologies and documentation needs for all training constituents Responsible for developing and executing the training plan Primary point of contact and/or end user training activities Provides oversight over outsourced training partners, as needed
Project Management	<p>Project Manager</p> <p>Tywanda Hurt, Director, Program Management</p>	<p>Implementation Management</p> <ul style="list-style-type: none"> Provides management leadership, thought leadership and guidance and work stream project performance Establishes scorecards and tracking of milestones Escalates implementation issues to ensure project receives the highest level of priority and appropriate resources <p>Project Plan</p>

Project Role	Team Member	Responsibilities
		<ul style="list-style-type: none"> Creates external kickoff materials, including agenda and update project templates for collaborative review Finalizes project control process including review of key milestones Coordinates DHHS approval of all phase documents/deliverables Maintains project plan for implementation <p>Change Management</p> <ul style="list-style-type: none"> Oversees change management process for scope/requirements changes during implementation Ensures business requirements, timelines and costs, as applicable, are documented Receives client sign off for all changes
<p>Data Interfaces</p>	<p>Integration Lead</p> <p>John Kalivas Senior Director, Payer Solutions</p>	<p>Data</p> <ul style="list-style-type: none"> Works with DHHS IT staff to ensure that all imported and exported data are available and in the correct format for processing Supports and manages all third-party data integration activity Leads all SIT activity and sign-off <p>Solution Design</p> <ul style="list-style-type: none"> Creates Business Rules outline and other customer facing documents related to requirements Supports requirements gathering, matches requirements to system capabilities and highlights areas that are at risk Translates the contractual, strategic, and tactical business needs into functional requirements to develop user interfaces, work flows, integrations and UAT scripts <p>Configuration</p> <ul style="list-style-type: none"> Works with DHHS IT staff to ensure that the system is configured in a manner to support program requirements Works with DHHS staff to ensure that all system configuration parameters are selected and fully understood Configures system in accordance with approved business rules, and program requirements <p>Reporting</p> <ul style="list-style-type: none"> Documents system capabilities to ensure that all contractual reporting requirements are met <p>Invoicing</p> <ul style="list-style-type: none"> Documents customer invoicing methodology Works with Sandata Accounting to conduct pre-launch testing and audit processes to ensure

Project Role	Team Member	Responsibilities
		accuracy of customer invoices prior to first invoicing period
UAT	Testing Leads Tim Nyberg Vice President, Payer Implementations Kevin LaCarrubba (Contractor)	UAT <ul style="list-style-type: none"> Responsible for managing all test activities related to the development and implementation of the EVV project Leads all UAT activities and coordination with DHHS Responsible for end-to-end testing of production environment Coordinates final UAT approval from DHHS
Training	Training Lead Angel So, Training Manager	Training and Documentation <ul style="list-style-type: none"> Supports lead project manager to create external kickoff materials, including agenda and update project templates for collaborative review Responsible for assisting with the production and distribution of all training documentation and outreach materials Maintains LMS system with updated training materials including presentations, user guides, videos, and other training materials Ensures all marketing and outreach materials adhere to DHHS' communications standards
CMS/MITA	Certification Lead Brien Mitchell MITA Lead and Security Compliance Officer	CMS Certification <ul style="list-style-type: none"> Works with DHHS and the IV&V to support CMS certification Completes the drafts of Certification worksheets Compiles evidence and artifacts to support the certification process Participates in DHHS certification meetings, as needed
Client Success Help Desk	Help Desk Lead Adrienne Woodward VP Client Success	Client Success <ul style="list-style-type: none"> Ensures all help desk service levels are met Establishes and maintains work standards for quality Champions process improvement initiatives Ensures staff is well trained and prepared to address our customer's needs Provides oversight over Tier 1 Client Success partners
Additional Sandata Work Stream Leads		
Subcontractor Oversight	Subcontractor Management Kelly Bergstrom	Vendor/Subcontractor Management <ul style="list-style-type: none"> Provides oversight over all EVV Program subcontractors Monitors service delivery via monthly operational

Project Role	Team Member	Responsibilities
	Director Vendor Management	and performance reporting <ul style="list-style-type: none"> • Escalates subcontractor issues, including developing Corrective Action Plans, as needed • Attends standing meetings at desired cadence to review any high-level issues and action items including timelines • Conducts subcontractor site visits in accordance with agreed upon schedule • Maintains and manages a Subcontractor Quarterly Scorecard

We acknowledge DHHS right to review and approve all key personnel. As evidenced in their resumes in Attachment 6, we have selected a team with extensive qualifications and relevant EVV implementation experience.

Recommended DHHS Implementation Resources

In order to ensure a successful implementation, Sandata recommends DHHS assign a designated group of key staff to the project implementation team. Based upon our experience we recommend the following levels of engagement for the project:

- **Executive Sponsor** – This person works in concert with the Sandata Executive Sponsor to escalate project risk and ensures the project receives the highest level of priority and appropriate resources.
- **Contract Manager** – Sandata is pleased that DHHS has already determined to include an EVV Contract Manager, who will work closely with Sandata’s Project Manager to coordinate meetings and manage project communications for internal stakeholders, provide program leadership and support, and ensure key timelines and decisions are facilitated on time.
- **Subject Matter Experts** – In order to define the business rules required by DHHS, we hold multiple requirement sessions in order to capture and document program specific requirements. During these sessions, we will need subject matter experts from functional areas such as:
 - Business Information and Technology Integration Team representatives to help define interface requirements and data exchanges,
 - DHHS Program Leads to support business rules, system configuration, EVV payer policy and outreach and training; and
 - Self-Directed program experts to support the unique needs of this population.
- **User Acceptance Testers** – In addition to participating in the business rules requirements, the DHHS EVV Project Team will be part of the User Acceptance Testing to ensure all aspects of the system are functioning in accordance with requirements. UAT testing may be delegated to other stakeholders as appropriate.

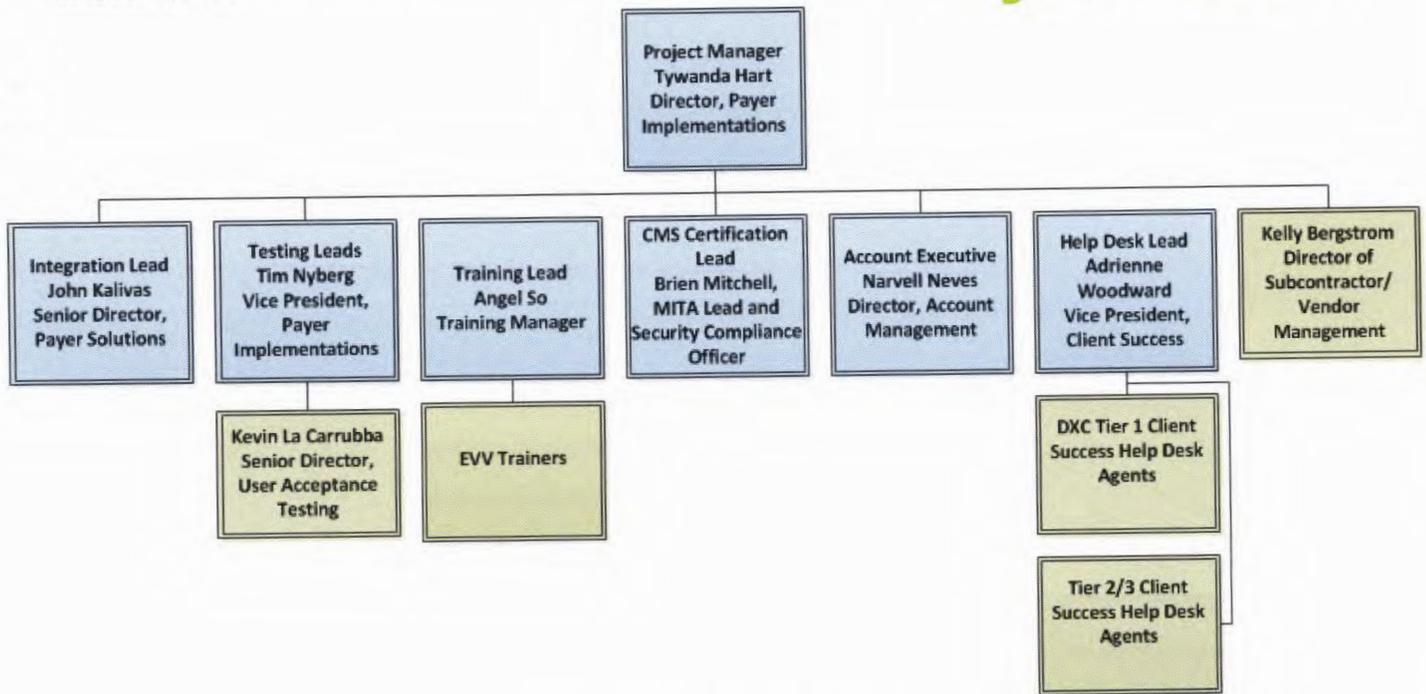
- **Leadership review and approval** – Throughout the stages of the project, there are key milestones that will require senior DHHS personnel (DHHS Project Board/Steering Committee) to review, approve, and sign off on key deliverables. These key decision makers will join Sandata’s Senior Governance Team to conduct final reviews and approve all major project documents in accordance with contract requirements.
- **CMS Certification Stakeholders** – With CMS Certification of the EVV system a requirement of the DHHS EVV program, it is our expectation that DHHS allocates staff to lead the CMS Certification process, coordinate with your IV&V vendor and CMS, and determines where Sandata support is required.

Contractor must maintain sufficient and qualified staffing levels to ensure successful implementation within the specified timeframes and for the ongoing operation of the EVV system throughout the duration of the contract. Contractor must develop and manage project organization and staffing. Contractor shall submit with proposal project organization charts showing all proposed personnel by job title, lines of supervision, and indicating full or part-time employment on the DHHS contract. The charts shall include how the project fits into the respondent’s overall organizational structure.

The organizational structure must be designed to carry out the responsibilities within the Scope of Work. Contractor must utilize a consistent approach to Project Leadership.

Sandata has a proven staffing model and we assign the appropriate staff to support each phase as well as providing executive oversight to ensure a timely implementation and successful operations of the DHHS EVV program. Sandata has successfully launched 25 state programs, and one of our recommended best practices is to use our most experienced team members who travel onsite during key points in the implementation (i.e. kick off, business rules requirements sessions, UAT, etc.) Sandata’s implementation team members will work collaboratively with DHHS and all contractors, including your IV&V contractor, to support CMS MECT activities and certification.

Our PMO team members are experts in developing, managing and maintaining EVV project plans in MS Project. This team has over 183 years of collective experience in project management. The DHHS EVV Implementation Team and our supporting infrastructure are represented in the organizational charts in Figures 3 and 4 below.



Key Staff are highlighted in blue

Figure 3. Sandata's EVV Implementation Team.

Executive Governance Team

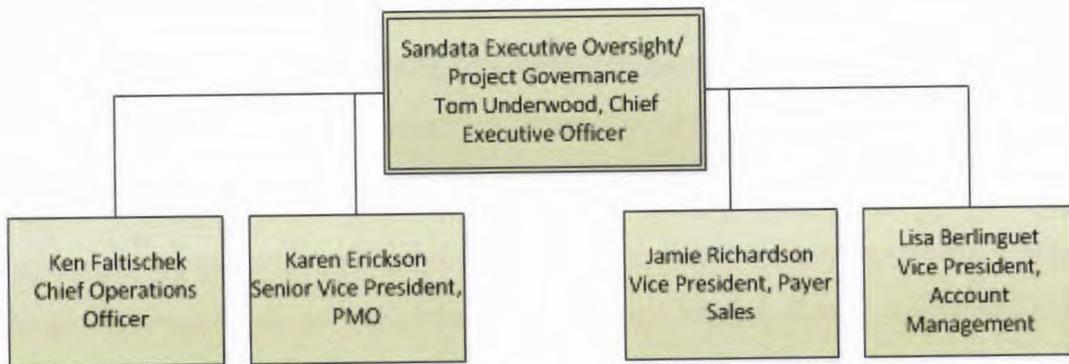


Figure 4. Sandata's EVV Executive Governance Team.

Contractor must provide specific descriptions of roles and responsibilities for all Contractor resources, time devoted to the Nebraska EVV project during DDI, and after implementation, and the percentage of time the resources will work on-site both during DDI and after implementation.

Include how personnel is to administer and execute required project activities during the EVV Solution design, development, implementation and operations.

Descriptions of the roles and responsibilities of each resource are located in Table 2, Implementation Team.

Tywanda Hurt is the named Project Manager. **Tywanda P. Hurt** is an experienced Project Manager with 10 plus years of IT Project Management, Program Management, Document Management, Coordination, and Business Analysis experience in projects of similar size and scope. Ms. Hurt has a rich background in participating in organizing groups in business and formal settings; strong relationship management skills among internal / external customers; and a solid understanding of Software Development Life Cycle (SDLC) through Waterfall Methodologies. A skilled communicator with excellent interpersonal, and senior leadership qualifications, as Project Manager Ms. Hurt works to establish a rapport and maintain communication with stakeholders at multiple levels. As Director of Payer Implementations, Ms. Hurt's chief responsibilities include leading and overseeing complex, statewide EVV implementation projects for payer customers as well as directing staff to ensure successful project deliveries.

As the lead for the overall project, the Project Manager will administer the project and ensure each lead/work stream executes their specific project activities throughout the Implementation Phase. Sandata's EVV Project Manager has authority to make the day-to-day project decisions and is responsible for all project management activities and for ensuring all requirements are satisfied. The Project Manager is also responsible for maintaining the project plan over the life of the project.

The Contractor's designated Account Executive must be the single point of contact for matters concerning the Contractor's performance under the Contract. This person shall have the authority to make decisions that are binding to the Contract, shall be responsible for timely completion of the project, and shall be responsible for meeting all contractual obligations. Include the approach to account management, and describe how the account manager will meet this requirement.

The Contractor's Account Executive should have a minimum of five (5) years' contract management experience managing related services with similar budgets, preferably in Medicaid or the healthcare industry and for a project similar in size and scope to this project.

Narvell Neves, Director of Account Management is the named Account Executive for DHHS. Ms. Neves has 19 years of management and development experience spanning the healthcare, political, and union industries and 5+ years as an account manager for Sandata's payer EVV clients. A resourceful and accessible leader, Ms. Neves possesses a proven ability to create new organizational frameworks, pursue new ideas, and exceed expectations. Ms. Neves's chief responsibilities include developing and maintaining successful relationships with clients, and strategizing retention efforts.

Sandata's Account Executive ensures the DHHS EVV program is successful and meets all performance expectations. Ms. Neves is DHHS' point of contact post-go live and is responsible for oversight of the overall operation of the EVV system, including escalated issue management and resolution. The Account Executive is also responsible for managing all contractual obligations; monitoring performance standards; providing reports that detail our performance against those standards; and executing continuous process improvement, as needed, during the Operations Phase of the project. The Account Executive is engaged during the Implementation Phase and is responsible for contract oversight post transition from implementation through the life of the contract.

The Contractor's designated Project Manager must represent and oversee the day-to-day activities of the project. This individual shall serve as DHHS's primary point of contact for matters relating to the project and serve as a liaison for certification and stakeholders. Include description of process used to manage day-to-day activities.

The Contractor's Project Manager should have a minimum of five (5) years' project management experience managing projects of similar size and scope, preferably in Medicaid or the healthcare industry. This experience must include relevant experience within the last three (3) years from the release date of the RFP.

- i. Project management experience should include each phase of the system development life cycle.*
- ii. Project management certification through the Project Management Institute (PMI) is preferred.*
- iii. The Contractor's Project Manager shall have experience initiating and managing an electronic visit verification system implementation, or comparable experience in a project of similar size and scope, and be capable of overseeing all contracted activities for which the Contractor is responsible.*

Tywanda Hurt has been named as the DHHS EVV Project Manager. Her biography has been previously provided. The Project Manager will coordinate with the DHHS Contract Manager to refine and maintain the project schedule. The Project Manager is responsible for coordinating all implementation phase tasks and activities, including resource planning and tracking progress against the plan. Periodic updates to the project plan will be maintained by the Project Manager with transparency to all stakeholders.

The Contractor's named Integration Lead must manage the design, configuration/build, integration, defect management, and implementation of the Contractor's scope of work. Include a description of Contractor's approach to Integration Management.

The Contractor's Integration Lead should meet the following qualifications including:

- i. Minimum of five (5) years leading system design and integration projects, including the technical design and implementation of projects similar in size and scope to this project.*

- ii. *Experience must involve directing multi-discipline technical teams producing integration solutions (e.g., Service Oriented Architecture, network, hardware and software).*

John Kalivas, has over 18 years of technical experience coupled with unparalleled client relationship skills and will serve as the DHHS Integration Lead. Throughout his career, he has served as the technical consulting lead, led project management efforts, defined strategic direction, and cultivated strategic customer partnerships. Mr. Kalivas has an impressive history of providing strategic evaluations of current and future needs, including business gap analysis, information technology (IT) architecture, systems user interface design, and product needs. As Senior Director, Payer solutions at Sandata, Mr. Kalivas acts as a liaison between the implementation programs and the solutions design teams and works with our customers and project management teams to define the configurations and behaviors required to meet the customer's needs. Prior to joining Sandata, Mr. Kalivas held similar roles with McKesson Health Solutions and Catalyst Solutions. He has a Bachelor of Science in Information Technology-Applied Technologies from Kaplan University.

The Contractor's designated Testing Lead must coordinate all testing activities. Contractor must provide a testing approach and activities.

The Contractor's Testing Lead should meet the following qualifications including but not limited to:

- i. *Minimum of three (3) years' experience leading testing activities for a project similar in size and scope to this project.*
- ii. *In-depth understanding of the testing lifecycle and all artifacts required to successfully validate the system.*
- iii. *A Bachelor's Degree in Information Systems Engineering, Computer Science, or a related field is preferred.*

In order to meet DHHS requirements, Sandata has named two people to lead testing: Tim Nyberg (employee) and Kevin LaCarrubba (contractor). **Tim Nyberg** has 14 years of healthcare technology experience and 18+ years of software development background. He has led technical teams in developing and implementing data-driven healthcare programs for multi-million dollar governmental and commercial clients. Mr. Nyberg is experienced in agile project design, with a focus on quality improvement, data analytics and web service delivery. Mr. Nyberg has received certifications in Project Management, Agile Team Leadership, Six Sigma Green Belt, and Project Management Professional. Well versed in public policy and Medicaid requirements, Mr. Nyberg is an asset to Sandata's PMO organization.

Kevin LaCarrubba is a Senior Director of User Acceptance Training with over 19 years of experience in Solution Engineering, Project/Program Management and QA. He has

successfully led EVV UAT efforts for Ohio, Maine, Indiana, and Colorado. Mr. LaCarrubba's prior experience as an independent consultant afforded him an opportunity to work with a diverse set of clients and applications across a multitude of systems and applications on various platforms. Mr. LaCarrubba has extensive experience managing various engagement models, mentored clients on quality and project management techniques, and worked with executives, management and professionals at all levels.

Sandata adopts its standard plan to the DHHS-specific testing approach and overall framework that will drive the testing of the EVV Project throughout the project's life cycle.

The Contractor's Certification Lead should meet the following qualifications including:

- i. Minimum of three (3) years' experience certifying systems against industry standards for projects similar in size and scope to this project.*
- ii. In-depth understanding of the most current MECT certification lifecycle required to successfully validate the system.*

Brien Mitchell, MITA Lead and Security Compliance Officer, has over 18 years providing consulting services for large government IT projects involving IV&V, Medicaid Replacement, MMIS and MITA projects and will serve as the DHHS Certification Lead. Since 2014, Mr. Mitchell has been supplying Medicaid, MITA and MMIS expertise to project teams and business development efforts for multiple state Medicaid MMIS projects including Florida and Arkansas. As Sandata's MITA Lead and Security Compliance Officer, Mr. Mitchell most recently worked as the Ohio Department of Medicaid (ODM) EVV Certification Lead through all three phases of the MECL process and which completed the R3 Final Certification Milestone this year. Prior to joining Sandata, Mr. Mitchell provided Medicaid and MMIS technical consulting services for organizations including First Data Government Solutions, Cognosante, and Cambria Solutions. Mr. Mitchell specifically lead four different modules (CoreMMIS, MARs, DSS and Pharmacy) through the new 2.x versions of the MECL in the State of Arkansas. Mr. Mitchell holds a Bachelor of Science, Political Science from Florida State University and an Associate in Arts, General Studies from Gulf Coast Community College.

Resumes should not be longer than three (3) pages. Resumes should include, at a minimum, academic background and degrees, professional certifications, understanding of the process, and at least three (3) references (name, address, and telephone number) who can attest to the competence and skill level of the individual. Any changes in proposed personnel shall only be implemented after written approval from DHHS. Each resume should depict current experience for work completed no more than seven (7) years prior to the date of this RFP, and depict work related to state-wide EVV implementations or similar projects.

We have provided resumes for each Key Staff in Attachment 6. Sandata acknowledges and understands that any changes in proposed personnel shall only be implemented after written approval from DHHS.

Contractor must provide staff resources as necessary to support MECT milestone reviews and activities.

Our Certification Lead, Brien Mitchell, will coordinate internal Sandata staff resources in support of MECT milestone reviews and activities. Sandata is the only EVV Vendor that has successfully completed CMS Certification. We have extensive experience working with CMS and States to ensure our systems meet certification requirements, and align with CMS guidance regarding state implementation of EVV systems to meet Cures Act requirements.

Contractor shall not transfer or remove key personnel without prior approval from DHHS. If a vacancy occurs in a key role, the Contractor shall fill the position within ten (10) calendar days with a temporary replacement and a permanent replacement approved by DHHS should be within sixty (60) calendar days. The Contractor's key personnel and/or management replacement must meet the minimum qualifications for the position. The Bidder shall provide a detailed resume for a proposed key personnel and/or management replacement. Contractor must have a method to ensure transfer of knowledge and documentation occurs between exiting and incoming key personnel.

We acknowledge DHHS' right to approve the transfer or removal of key personnel from this project. Vacancies will be replaced with qualified staff within the timelines listed above. Resumes will be provided to assist in DHHS' approval process and appropriate knowledge transfer will be conducted.

The bidder should provide the number of full time equivalent (FTE) employees engaged in similar Medicaid EVV contracts.

Sandata has approximately 248 employees dedicated to support our EVV clients; five times that of our closest payer EVV competitor.

Sandata's Certification Lead, Brien Mitchell, received high accolades recently from this Medicaid client:

"Brien has been amazing to work with and I am sure the state would say the same that he provides incredible value every time he is on a call with the State of Indiana."

**Daniel Moody
DXC Project Manager
Indiana Medicaid Account**

J. SUBCONTRACTORS

If the bidder intends to Subcontract any part of its performance hereunder, the bidder should provide:

- i. name, address, and telephone number of the Subcontractor(s);*

- ii. *specific tasks for each Subcontractor(s)*
- iii. *percentage of performance hours intended for each Subcontract; and*
- iv. *total percentage of Subcontractor(s) performance hours.*
- v. *Evidence of the qualifications and credentials of the subcontractor in terms of proven successful experience through similar Medicaid EVV projects of like size and scope;*
- vi. *Detailed description of all experience in the implementation, operation, and support of Medicaid EVV systems to include:*
 - a. *The description of all recent Medicaid EVV projects completed or ongoing including time period of the project and scheduled and actual completion dates;*
 - b. *Specific types of Medicaid providers and services subcontractor EVV system is used for;*
 - c. *If EVV system supported mobile GPS enabled devices, including mobile smartphones;*
 - d. *A statement specifying the extent of subcontractor's responsibility and experience on each described project.*

Sandata is proposing the following subcontractors:

- DXC Technology
- Epiphany Management Group

DXC Technology

DXC, our trusted partner and subcontractor, will provide Tier 1 Client Success help desk support, backed up by Sandata's Client Success staff. As the only EVV vendor with a national agreement with DXC, Sandata and DXC have a history of successful EVV implementations and the DXC team is well positioned to provide customer care support for the DHHS EVV program, as they do with other Sandata state EVV programs. DXC will have responsibility for all Tier 1 Client Success activities (i.e., answering calls, creating tickets to track requests, responding to emailed requests, etc.) Sandata will provide Tier 2/Tier 3 support for the EVV program.

DXC will receive specialized training on the unique aspects of the DHHS EVV program resulting in a seamless experience for DHHS and provider users. Our holistic Client Success team is experienced supporting large payer programs and their provider networks, and our team delivers outstanding customer service and meets all DHHS requirements. We have provided the required information in Table 3.

Table 3. DXC Subcontractor Information

DXC Subcontractor Information	
i. name, address, and telephone number of the Subcontractor(s);	DXC Technology Greg Jackson 55 Hartland St East Hartford, CT 06108 Ph: (860) 255-3842
ii. specific tasks for each Subcontractor(s)	DXC will provide Tier 1 Client Success help desk support for the DHHS program.
iii. percentage of performance hours intended for each Subcontract; and	Sandata estimates DXC will support 90% of all contacts to the Client Success helpdesk.
iv. total percentage of Subcontractor(s) performance hours.	Sandata estimates DXC will support 90% of all contacts to the Client Success helpdesk.
v. Evidence of the qualifications and credentials of the subcontractor in terms of proven successful experience through similar Medicaid EVV projects of like size and scope;	DXC has extensive experience in customer support center implementations and operations across multiple industries. Specifically, within the healthcare market, DXC has an extremely successful record of support for our customers, providers, and members. Currently, DXC operates customer support center/help desk services for numerous state and local government contracts. DXC has more than 600 customer service representatives (CSRs) supporting these contracts who answer over 5.1M calls annually.
vi. Detailed description of all experience in the implementation, operation, and support of Medicaid EVV systems to include:	Sandata and DXC have a national relationship for the provision of Tier 1 Help Desk services for our clients. Sandata and DXC have partnered to provide EVV solutions and services for State Medicaid agencies in Connecticut, Maine, Colorado, Indiana, Pennsylvania, Vermont, Wisconsin and Florida.
a. The description of all recent Medicaid EVV projects completed or ongoing including time period of the project and scheduled and actual completion dates;	Please refer to Sandata's experience tables for details on DXC's contributions to our Medicaid EVV projects.
b. Specific types of Medicaid providers and services subcontractor EVV system is used for;	
c. If EVV system supported mobile GPS enabled devices, including mobile smartphones;	
d. A statement specifying the extent of	

subcontractor's responsibility and experience on each described project.	
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Epiphany Management Group

Table 4. Epiphany Subcontractor Information

Epiphany Subcontractor Information	
i. name, address, and telephone number of the Subcontractor(s);	Epiphany Management Group Doug Jones 283 East Waterlook Rd. Akron, OH 44319 Ph: (234) 208-8247
ii. specific tasks for each Subcontractor(s)	Provider training and FVV device management
iii. percentage of performance hours intended for each Subcontract; and	Epiphany will provide between 80% - 100% of all training and FVV activities.
iv. total percentage of Subcontractor(s) performance hours.	Epiphany will provide between 80% - 100% of all training and FVV activities.
v. Evidence of the qualifications and credentials of the subcontractor in terms of proven successful experience through similar Medicaid EVV projects of like size and scope;	<p>Epiphany Management Group has been an IT Service Provider since 2007 and has worked with hundreds of public sector clients throughout its tenure. Epiphany Management Group is located in Akron, OH and has operated in multiple states throughout its history. Epiphany Management Group consists of two locations, both, located in Akron, a home office and a 24/7/365 HIPAA compliant call center.</p> <p>Epiphany's primary business includes onsite and remote technology support to end-users in the following major categories: Professional Development and Training, Communications/Marketing Services, Network and Infrastructure, Data and Applications, and End-User Technologies.</p> <p>Epiphany Management Group employees approximately 120 people and has a proven track record of successful staff augmentation as new contracts are added to their portfolio. Epiphany is primarily delivering services in the Public Sector. They are a Minority Owned Business Enterprise (MBE) certified in the State of Ohio.</p>
vi. Detailed description of all experience in the implementation, operation, and support of Medicaid EVV	Epiphany has been supporting governmental agencies since 2008 and EVV programs since 2016. Sandata has partnered with Epiphany for support services including training, customer support, and mobile device management for Ohio and Colorado EVV

<p>systems to include:</p> <ul style="list-style-type: none">a. The description of all recent Medicaid EVV projects completed or ongoing including time period of the project and scheduled and actual completion dates;b. Specific types of Medicaid providers and services subcontractor EVV system is used for;c. If EVV system supported mobile GPS enabled devices, including mobile smartphones;d. A statement specifying the extent of subcontractor's responsibility and experience on each described project.	<p>programs. Sandata is tightly integrated with Epiphany to provide a seamless experience for our clients.</p>
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3. Technical Approach

The technical approach section of the Technical Proposal should consist of the following subsections:

- a. Understanding of the project requirements;
- b. Proposed design, configuration and development approach;
- c. Technical Consideration
- d. Detailed Project work plan;
- e. Deliverables and Due dates;
- f. Sections II through IV of the RFP; and
- g. Respond to all requirements detailed in Attachment A – RTM. Failure to respond to a specific requirement may be the basis for elimination from consideration during the State’s comparative evaluation.

A. UNDERSTANDING OF PROJECT REQUIREMENTS

PROJECT PURPOSE

DHHS seeks a Commercial-Off-The-Shelf (“COTS”) EVV System to ensure the state is in compliance with the 21st Century Cures Act. DHHS intends to implement an Open Model, allowing providers the flexibility to select the state procured EVV solution, or to continue to use EVV systems they already have in place. Table 5 shows how Sandata EVV helps DHHS achieve all of your program goals.

Table 5: Sandata's comprehensive solution meets all of DHHS' program goals.

DHHS Goal	Sandata Solution
Goal #1: Obtain a solution that will aid in the identification and mitigation of fraud, waste, and abuse.	Sandata EVV accurately captures visit data, removing potential human error or time sheet ‘rounding’ by caregivers. We also include participant verification of service delivery to further reduce errors and fraud. DHHS will have access to our Sandata Jurisdictional View which offers comprehensive data, reporting and analytics tools to support compliance programs and program integrity audits and investigations. Sandata has proven third party savings outcomes as documented in Attachment 7.
Goal #2: Obtain an EVV solution that will accommodate and overcome limited internet access in rural areas.	Sandata’s proposed solution is proven to work in rural areas and areas with limited internet. We offer multiple ways to verify visits, including our Sandata Mobile Connect [®] application which operates in both a connected and disconnected mode. Sandata’s Assured Coverage [™] ensures that all visits can be verified, regardless of connectivity.

DHHS Goal	Sandata Solution
Goal #3: Obtain a solution that is configurable to permit future expansion and functionality.	Sandata EVV is highly configurable, and we provide a team of experts to help you translate DHHS program requirements into a program configuration that meets all of your requirements and supports future expansion.
Goal #4: Obtain a hardware/software solution that contains an intuitive user interface to capture and submit visit data.	Sandata EVV complies with Section 508 of the Rehabilitation Act of 1973 to support ADA needs and our point of care visit verification technologies are available in 13 languages to help all caregivers capture and submit visit data in a simple and intuitive manner.

SOLUTION SUMMARY

Sandata has carefully reviewed the RFP requirements and based on our experience, we recommend our Sandata EVV solution and services to meet your needs

- **Sandata EVV:** Software as a Service web portals for providers and participant/family users to view and manage service delivery. Sandata EVV uses roles-based access for each user type, and allows users with appropriate permissions to review visits, make corrections, approve visits, and run operational reports. Sandata EVV includes the following modules:
 - **Sandata Scheduling:** Allows users to create and adjust schedules and also provides real-time and multi-level escalating alerts for late and missed visits. Sandata Scheduling is configurable and can be turned on or off for different programs (i.e. used for provider agencies but not required for self-directed services).
 - **Visit Verification:** Sandata’s Assured Coverage™ offers multiple technologies to ensure that visit verification at the point of care captures all required 21st Century Cures data elements including:
 - **Sandata Mobile Connect® (primary method)** – An easy to use, HIPAA-compliant mobile application that captures visit data at the point of care. Sandata Mobile Connect can operate in a disconnected environment allowing for the capture of visit data even if a cellular connection is not available.
 - **Sandata Telephonic Visit Verification™ (“TVV™”) (alternate method)** – Automatic Number Identification (“ANI”) technology is used to validate telephone calls from the participant’s identified phone number(s) to record visit data.

- **Fixed Visit Verification™ (“FVV™”) (alternate method)** – A patented technology alternative to verify visits when no landline or cellular device is available.
- **Sandata Billing:** Comprehensive billing module configured to the DHHS 837 Companion guide that allows providers to electronically submit claims for properly verified visits.
- **Sandata Aggregator:** A vendor agnostic EVV Aggregator module that accepts data from any approved provider EVV system and applies standardized business rules to normalize all program data, regardless of source system.
- **Sandata Consumer Directed Care Suite:** Roles-based access for self-directed participants, caregivers and fiscal agent(s) to view, make corrections, and approve visits per program rules.
- **Sandata Jurisdictional View with Sandata Business Intelligence (“Sandata BI”):** Reporting access for DHHS with powerful management tools, dashboards and reports to give real time insight into the delivery of care.
- **Data Integration:** Robust data interface capabilities to intake data in batch or real time frequencies including: prior authorizations, participants, providers, and caregivers. Sandata EVV also exports data to support the DHHS Data Warehouse.

Figure 5 provides an overview the solution components:

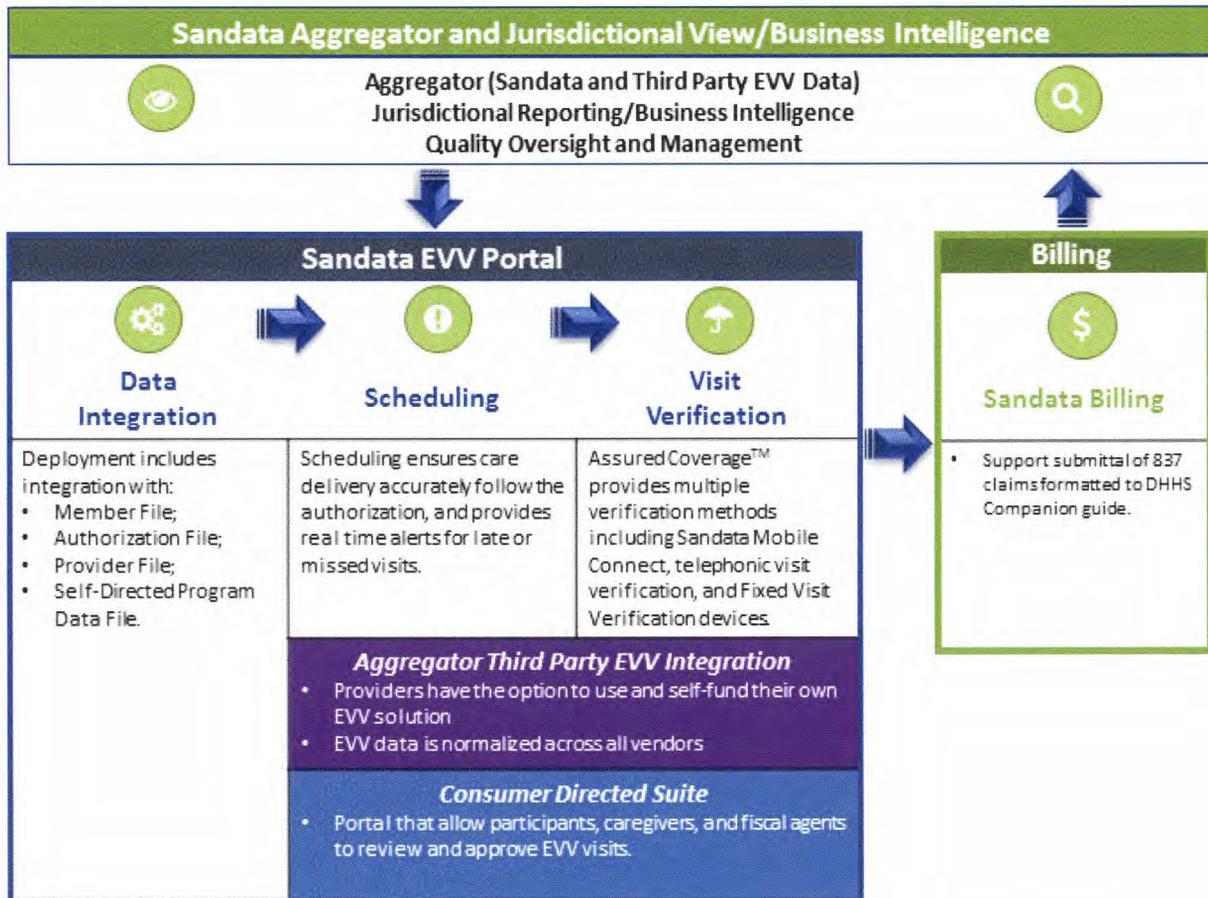


Figure 5. Sandata’s proposed solution for DHHS ensures 21st Century Cures Compliance.

SERVICES SUMMARY

Sandata offers the most comprehensive support and services team delivered by EVV industry experts. Our proposal includes all of the following services:

- **Implementation Team:** Sandata provides a comprehensive team of work stream experts to address each aspect of the implementation. Our work stream leads are experts and experienced with multiple statewide Medicaid implementations. Our team provides guidance and real-world expertise to help you successfully launch your EVV program.
- **24/7 Help Desk:** Sandata’s Client Success team is available 24/7 via multiple channels including telephone, email and on line chat to address questions and assist users with our software. Sandata is partnering with DXC to provide Tier 1 help desk support. Sandata and DXC have successfully delivered joint help desk support since 2010 across multiple contracts.

- **Training and Documentation:** Sandata has an extensive library of training materials and documentation to help users learn about our EVV solutions. We offer multiple training modalities via our partner, Epiphany. Sandata and Epiphany have provided training to statewide programs since 2016.
- **CMS Certification:** Sandata is the only vendor who has successfully completed the CMS Certification process using the new KPI process introduced in August 2019. Our Certification Lead, Brien Mitchell, has extensive experience in CMS Certification projects.

SOLUTION DESCRIPTION

This section provides detailed information on each of the proposed solution components.

Point of Care Visit Verification

Sandata EVV includes our Assured Coverage Model with multiple methods of visit verification and data collection at the point of care including telephonic, mobile, and fixed visit device options. Sandata recommends using our Sandata Mobile Connect application as the primary verification method since it supports visit verification in both a connected and disconnected mode. Across our payer business, over 60% of all visits are captured with Sandata Mobile Connect. Each visit verification option captures the required Cures data elements as well as all of the following:

- The identity of the caregiver;
- The identity of the billing provider;
- The identity of the participant receiving services;
- The date and start time of the visit;
- The date and end time of the visit;
- The location of the visit;
- The service provided;
- Tasks performed during the visit; and
- The participant or participant's responsible party independent verification of the visit and services received.

Sandata EVV is flexible and configurable, and data elements may be required, optional, or removed based on program requirements. The following section provides a short summary of each of the visit verification methods available.

Sandata Mobile Connect

Sandata Mobile Connect, an ADA compliant mobile application, is an easy to use visit verification methodology. Sandata Mobile Connect works in both a connected and disconnected mode, ensuring that a visit can always be captured and verified regardless of

whether cellular or Wi-Fi connectivity is available at the point of care. We are proposing a Bring Your Own Device model where the caregiver is responsible for the device and data plan. Sandata Mobile Connect features and functionality include:

- Caregiver schedules are readily available;
- Support for unscheduled visits;
- Support for multiple locations including when services are provided in the community;
- Support for group visits;
- Configurable geo-fencing: a geo-fence is associated with the address location(s) associated with the participant record and the application verifies whether the check in/out locations are within the program's required geo-fences;
- Task entry;
- Worker notes;
- Support for 13 languages including different languages for participant and caregiver;
- Participant verification of visits and services via signature or voice recording; and
- Ability to store and forward the visit when connectivity becomes available.

Caregivers access Sandata Mobile Connect on their Android or iOS device via a unique user name and password to confirm their identity. If scheduling is in use, the caregiver will see their schedules upon sign in and can then select the visit. If scheduling is not in use, the caregiver searches for the correct participant from the participant panel. When the caregiver is ready to start the visit, they simply press the start visit button and the application automatically captures all of the required data as shown in Figure 6. At the end of the visit the participant can review and provide an electronic signature verifying receipt of care. The data is automatically transmitted to the Sandata EVV portal as soon as the device is connected via WI-FI or cellular service. All data on the device is encrypted at rest and in motion.

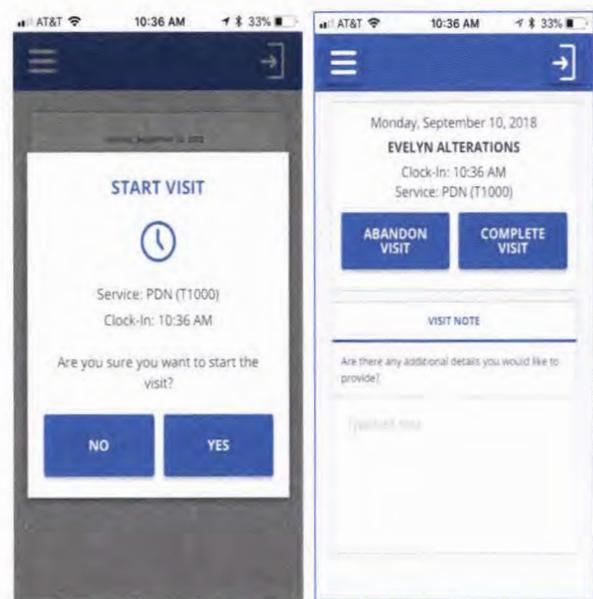


Figure 6. Sandata Mobile Connect allows the caregiver to document tasks performed during the visit.

We understand the home care visit environment and have provided flexible location verification options for our payer EVV programs. Configuration options include capturing visit delivery across multiple locations (i.e., home or community), starting a visit at one location, and ending it at another. Regardless of the method of visit verification used, the

collection and location verification only occur at the start and end of the visit; the system does not track or monitor participants during a shift.

Sandata supports participant empowerment by offering multiple methods for the participant to confirm service delivery at the point of care. Our Sandata Mobile Connect application allows the participant or their authorized representatives to approve visits at the end of each visit. Approval is recorded via signature on the mobile application or via voice recording. See Figure 7.

Approved visits can automatically show as an approved visit on the EVV participant/family or self-directed portal to streamline the approval process and support additional system efficiencies.

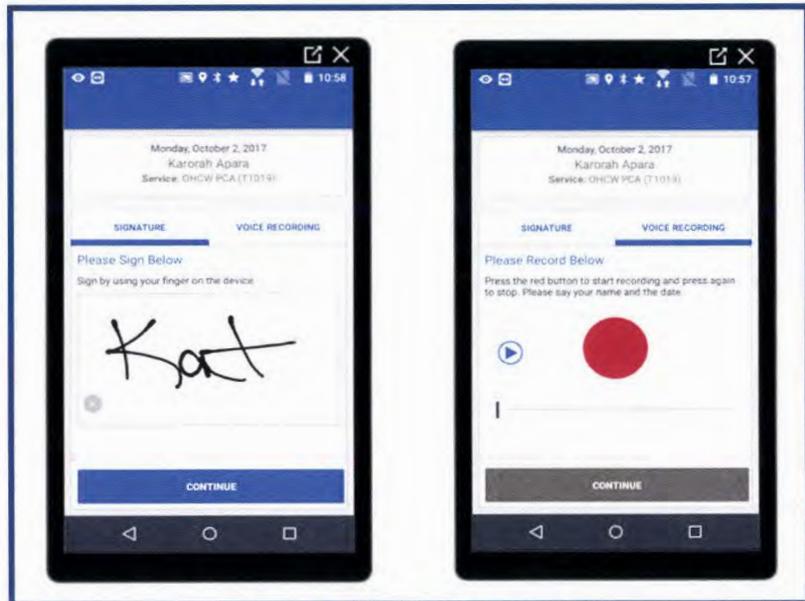


Figure 7. The Sandata Mobile Connect application allows for the capture of a participant signature, approving the visit at the point of care. Voice recording options are available as an alternate to signature.

Sandata Telephonic Visit Verification (“TVV”)

Sandata TVV is a 24/7 telephony solution where a caregiver dials a U. S.-based toll-free number to record visit data. In Sandata TVV, valid and acceptable phone numbers for each participant are loaded into the system. Then, the system uses ANI technology to validate the location where the call originates. ANI is similar to 911 location identification and cannot be blocked by the user. The number called from, the call time, the service, the participant and the caregiver IDs are captured on each call. If the number called from does not match to a pre-loaded and acceptable phone number for the participant, it is automatically flagged for further review. Sandata TVV includes multiple language support, and entry of tasks. Visits verified using telephony include an Interactive Voice Response (“IVR”) read back of the visit times, service provided, and allows participants to confirm receipt of care using a voice recording, and approved visits can automatically show up as an approved visit in the EVV Participant/Family portal.

Sandata Fixed Visit Verification (“FVV”)

FVV devices are used to collect electronic visit verification data when telephone and mobile visit verification are not available at the participants home. In these cases, providers request an FVV device for a participant. Once the device is requested and approved, the device is registered to the participant for that specific care location. Sandata ships the device to the provider for delivery and installation at the care location.

To start the visit, the caregiver pushes the FVV button once to generate a code (representing a date and time stamp) on the FVV screen. At the conclusion of the visit, they push the FVV button again, generating a second code for the clock out. The participant/authorized delegate may also complete a paper timesheet which will include their signature and approval of the visit based on DHHS requirements. The caregiver can then use any phone (landline or cell phone) at a later time to call in to record the visit, using the two codes (time in and time out) up to seven days from the original date of service.

It should be noted that use of the FVV devices for State EVV programs has decreased significantly, i.e. less than 1%, and is currently minimal given the flexibility of our mobile application that can be used in connected or disconnected mode.

Sandata EVV Web Portal

All visit verification information is captured at the point of care and transferred in near real time to the Sandata EVV Portal, which is 100% compliant with Section 508 of the Rehabilitation Act of 1973. Users of the portal are set up according to roles-based access to ensure the user only sees the features, functionality, and data appropriate for the user role. Standard user roles and functionality are shown in Table 6.

Table 6: Sandata EVV Web Portal includes roles-based access to EVV data.

User Role	Functions Available
Provider Office Staff	Scheduling, visit review and correction, payroll, reporting
Self-directed Fiscal Agent Staff	Visit review and correction, payroll, reporting
Participants/Authorized Representatives	Visit review and correction, approval, reporting
Individual Providers	Visit review and correction, reporting
DHHS	Read only access to all visit data, reporting, business intelligence

Based on the assigned role, a user may have rights to make corrections to visit data (i.e., caregiver forgot to clock out), review, and approve visit data. During the implementation process Sandata will work with DHHS to define user roles and user permissions as part of the Business Rules requirements.

EVV Portal Configuration Options

The Sandata EVV Portal is highly configurable to meet program needs. Standard configuration options include support for different staffing scenarios for scheduled visits including multiple staff providing a visit to a participant, multiple services providing during the same shift, multiple visits a day, multiple participants in a single visit, visits that span more than a single calendar day, etc. During the implementation, Sandata will document all of the required scenarios allowed by program rules and configure the EVV system to capture the visit data.

Visit Exceptions

Sandata EVV is participant-centric, and all system workflows are designed to ensure proper care delivery. Care delivery is measured at each step in the process and Sandata EVV automatically flags the visit using care exceptions for additional follow up whenever care delivery does not meet appropriate program rules. Examples of standard care exceptions are shown in Table 7.

Table 7: Care Exceptions

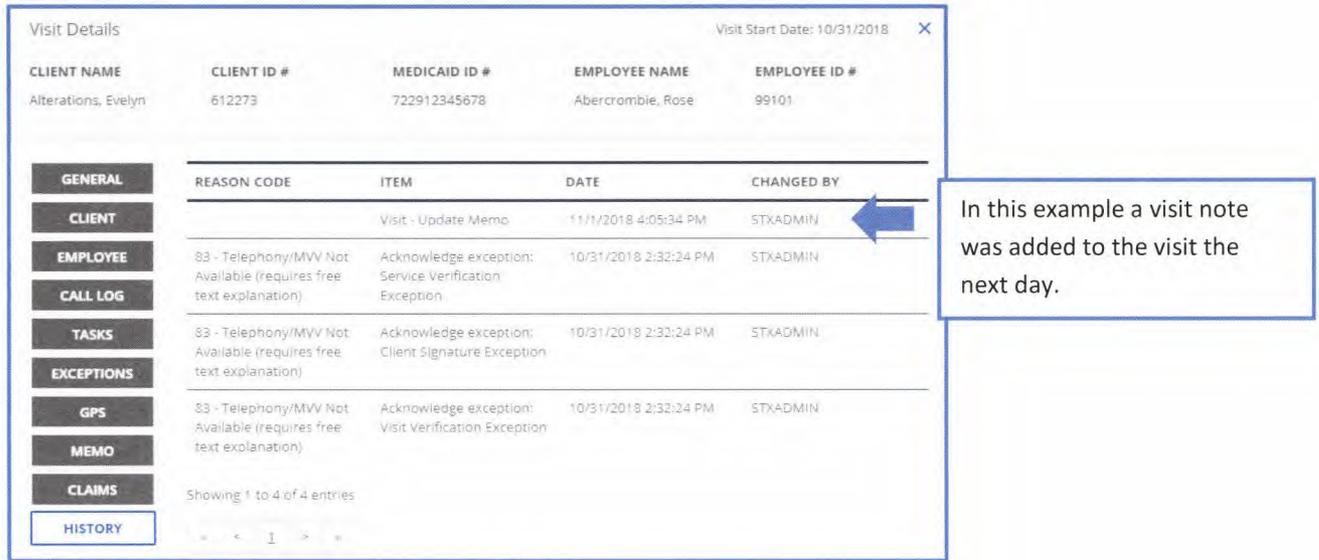
Exception Type	Expected Action
Missing 21st Century Cures Data Element	If any of the required Cures data elements are not recorded, an exception is created and the visit requires a manual edit before it can be approved. Cures exceptions include participant identity, caregiver identity, clock in date/time, clock out date/time, service, and location.
Scheduling Exception	Caregiver did not start the visit at the scheduled start time. An exception is created and an alert is generated to the provider to let them know a gap in care has occurred. Other scheduling exceptions include visit duration shorter or longer than expected schedule.
Member/Designated Representative Visit and/or Service Approval	The participant or designated representative has not yet approved the visit. The approval may occur at the end of the visit at the point of care or after the visit (entered via the Sandata EVV Web Portal). If the visit is not verified by the appropriate party it is marked as unverified.

Sandata Care Exceptions are configurable and may be set as required, meaning the missing data must be corrected before the visit can move to the next step in the workflow, or simply require acknowledgement, meaning the visit has been recorded and the exception noted, but the visit is eligible to move to the next step in the workflow.

Visit Edits and Audit Trail

Sandata encourages DHHS to include a robust compliance plan as part of its EVV program. Compliance plans are used to set and enforce expectations for visit verification to occur in real time at the point of care, minimizing the need for manual edits after the fact. Sandata

EVV Web Portal supports manual edits and all edits to visit data are captured with a full audit trail. Audits are considered addendums to the visit record, and the system shows both the original data and the change as shown in Figure 8.



CLIENT NAME	CLIENT ID #	MEDICAID ID #	EMPLOYEE NAME	EMPLOYEE ID #
Alterations, Evelyn	612273	722912345678	Abercrombie, Rose	99101

REASON CODE	ITEM	DATE	CHANGED BY
	Visit - Update Memo	11/1/2018 4:05:34 PM	STXADMIN
83 - Telephony/MVV Not Available (requires free text explanation)	Acknowledge exception: Service Verification Exception	10/31/2018 2:32:24 PM	STXADMIN
83 - Telephony/MVV Not Available (requires free text explanation)	Acknowledge exception: Client Signature Exception	10/31/2018 2:32:24 PM	STXADMIN
83 - Telephony/MVV Not Available (requires free text explanation)	Acknowledge exception: Visit Verification Exception	10/31/2018 2:32:24 PM	STXADMIN

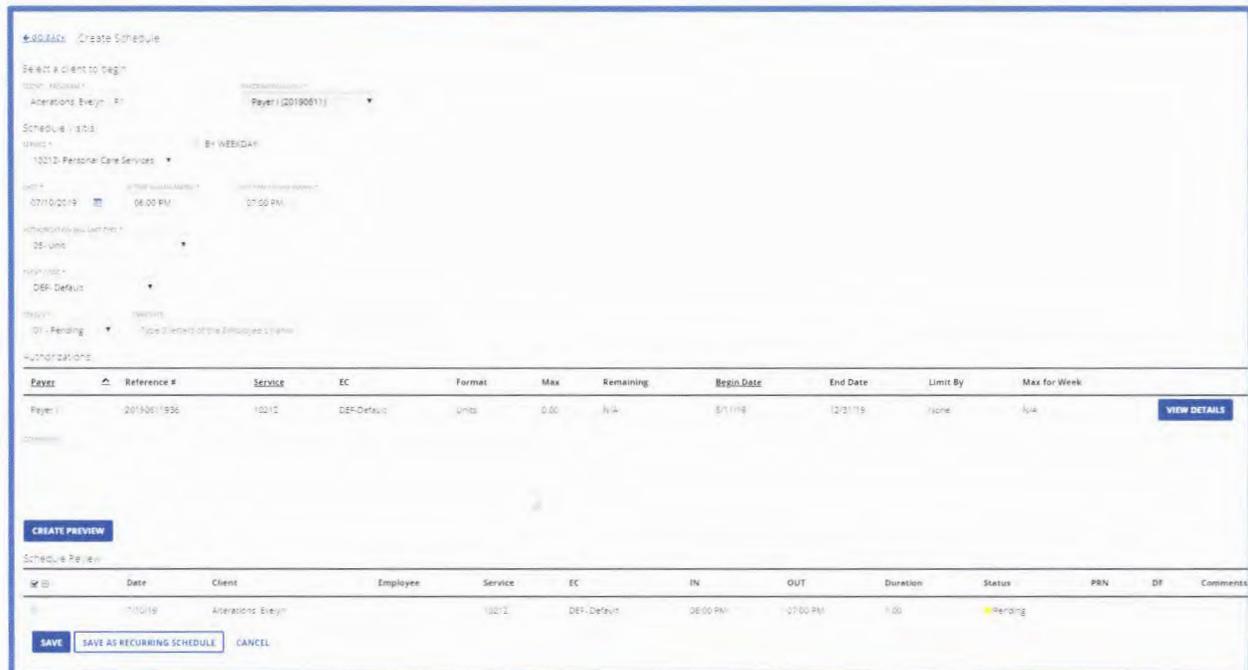
In this example a visit note was added to the visit the next day.

Figure 8. All changes to data are tracked with an audit trail.

The Sandata EVV Web Portal also allows participants/designated representatives to review edits to visit data and approve any changes. Sandata provides detailed reporting on patterns of manual edits to assist in EVV compliance management.

Sandata Scheduling

Sandata Scheduling is our flexible scheduling module which uses authorization data to ensure accurate scheduling and improved workflow, allowing users with appropriate permissions to create schedules using a quick and easy scheduling tool. Users can schedule based on staffing availability, skill set, etc., as shown in Figure 9.



Payer	Reference #	Service	EC	Format	Max	Remaining	Begin Date	End Date	Limit By	Max for Week
Payer 1	2015061936	10212	DEF-Default	Units	0.00	N/A	8/1/19	12/31/19	None	1/4

Figure 9. Users may schedule for a single event, or create recurring schedules.

Each schedule requires standard data elements, including name of the participant, name of the caregiver, date, time, and service to be provided. The scheduling configuration is set up based on program rules defined during the implementation phase. The Scheduling module allows users to modify schedules if changes are required. Schedules can be quickly and easily transferred to a new caregiver should turnover occur. Visit deviations from the schedule can be flagged as care exceptions in Sandata EVV.

Once the visit is scheduled, the caregiver has access to their schedule in the Sandata Mobile Connect application. Sandata Scheduling includes reporting and alert capabilities to support service gap monitoring. The system provides guidance and alerts (late/missed visits) for visits that do not follow schedule parameters. The result is improved transparency on care delivery for all of the stakeholders and improved quality of care delivery.

Alerts

Sandata EVV system generates real time, multi-level alerts based on program requirements established during the implementation process. For scheduling alerts such as late and missed visits, Sandata recommends the following alert configurations:

- **1st alert (i.e., 15 minutes past scheduled visit time)** – sent to the scheduling provider agency. The provider agency should contact the caregiver and determine whether they are still able to deliver care.

- **2nd alert (i.e., 30 minutes past scheduled visit time)** – sent to the scheduling provider agency and optionally to the payer or other designated entity responsible for care delivery. This alert indicates a potential gap in care is occurring and action is required. If the caregiver is unable to provide the service, an alternate caregiver should be assigned to the schedule in accordance with the backup plan.
- **Missed alert (i.e., 60 minutes past scheduled visit time)** – sent to the scheduling provider agency and optionally to DHHS or other designated entity responsible for care delivery. This alert indicates a gap in care has occurred and the provider is not in compliance with the schedule.

Sandata includes multiple modalities for alerts; they are available via the Sandata EVV system, text messages, email, and through reporting.

Sandata Consumer Directed Care Suite

Sandata’s Consumer Directed Care offering is specifically designed for the unique aspects of a consumer directed care delivery model. The Sandata Consumer Directed Care Suite helps empower each participant to have control over their long-term care delivery while automating existing manual efforts such as timesheet creation.

Sandata offers the following suite of solutions to support Consumer Direct programs:

- Electronic Visit Verification – point of care technologies to record Cures Act required EVV data elements;
- Member Portal – web portal for participants or their authorized representative to view, edit and approve visits and electronic timesheets;
- Employee/Caregiver Portal – web portal for individual providers to view and edit their visits and timesheets; and
- Fiscal Management Portal – allows a Fiscal Agent to view and edit data across the entire program population.

Our consumer directed time capture program today in Illinois serves:

- *22,000 recipients*
- *40,000 providers*
- *200 state employees*

Each year we verify over 7,000,000 visits. Each payroll cycle we generate timesheets for over 40,000 direct care providers representing \$21 million dollars a month in payroll.

Consumer Direct EVV Solution

Sandata’s EVV for Consumer Directed Care programs provides DHHS with flexibility on how to deploy the solution to meet the needs of your program and stakeholders. Examples of this flexible deployment include the option to start requiring the caregivers to use EVV to collect visit data, while continuing to maintain existing paper processes to support payroll. The Fiscal agent as well as DHHS will be able to view and use the EVV collected

data and compare that data with manually submitted timesheet data to ensure payment accuracy.

Over time, the Consumer Direct EVV program can evolve where paper timesheets are eliminated, and both caregiver and member portals are being used to view, edit and approve EVV timesheet data. The Fiscal agent is able to provide additional support via their EVV portal, including supporting the participants that are unable or unwilling to use the EVV portal. Sandata can also configure the system so that any participant verification captured at the visit will show as an approved visit on all EVV portals for a simpler approval process.

Sandata Member Portal

The Sandata Member Portal is an ADA Section 508 compliant web portal for participants or their authorized representatives to view, make corrections (if needed), and approve caregiver visit information as shown in Figure 10. As noted earlier, approval may already be captured on the portal from the participant signature and/or voice recording at the point of care.



Client Name	Employee Name	Service	Visit Date	Call In	Call Out	Call Hours	Pay Hours	Pay=Sch	Bill Hours	Visit Status	Do Not Bill	Approved	Actions
Mae, Rita	Mae, Lynn	Homemaker	09/19/2019							Incomplete			

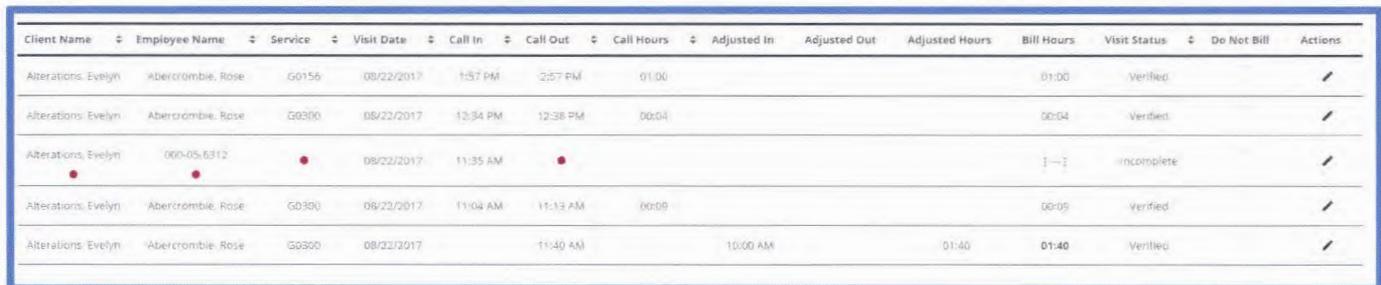
Figure 10. Using the Sandata Member Portal, participants can review, edit, and approve visits.

The portal automates the approval process, ensuring that the only services submitted for payroll are those services that have been properly approved by the participant. If the caregiver fails to enter all required data (i.e., forgets to check out, etc.), the EVV system automatically creates an exception and flags the visit as incomplete. In order to make corrections to a visit record, the participant can manually add or correct and approve the visit data. The portal automatically creates a full audit trail of any edits to the visit information. The portal includes standard reports such as current or historical timesheets.

Sandata Employee/Caregiver Portal

Sandata's ADA compliant Sandata Caregiver Portal is an easy to use web based tool that helps caregivers manage their EVV records and electronic timesheets. Caregivers log in to view and edit visit records in accordance with program defined business rules. If the caregiver fails to enter all required data (i.e., forgets to check out, etc.), the EVV system automatically creates an exception and flags the visit as incomplete. In order to make corrections to a visit record, the caregiver can manually add or correct the visit data. The portal automatically creates a full audit trail of any edits to information. Caregivers can run reports, print timesheets, etc. as needed. The Sandata Caregiver Portal helps caregivers

keep track of time worked, and shows real time status of visits that are approved or pending approval. See Figure 11.



Client Name	Employee Name	Service	Visit Date	Call In	Call Out	Call Hours	Adjusted In	Adjusted Out	Adjusted Hours	Bill Hours	Visit Status	Do Not Bill	Actions
Alterations, Evelyn	Abercrombie, Rose	G0156	08/22/2017	1:57 PM	2:57 PM	01:00				01:00	Verified		
Alterations, Evelyn	Abercrombie, Rose	G0300	08/22/2017	12:34 PM	12:38 PM	00:04				00:04	Verified		
Alterations, Evelyn	000-05-6312		08/22/2017	11:35 AM]	Incomplete		
Alterations, Evelyn	Abercrombie, Rose	G0300	08/22/2017	11:04 AM	11:13 AM	00:09				00:09	Verified		
Alterations, Evelyn	Abercrombie, Rose	G0300	08/22/2017		11:40 AM		10:00 AM			01:40	Verified		

Figure 11. Through the Sandata Caregiver Portal, caregivers can view visits, and easily make any needed corrections.

Fiscal Management Portal

Sandata Fiscal Management portal capabilities are similar to our Sandata Caregiver Portal, but it allows a Fiscal Agent to view and edit data across their entire program population. In our experience in other states, we know that some participants are unable or unwilling to use the electronic signature/voice verification or the portal to review and approve visits. The Sandata Fiscal Management Portal allows the Fiscal Agent to view, make edits to visit data, and approve visits on behalf of the participant if program rules allow. Only verified and approved visits are available for payroll export. The Fiscal Management Portal includes roles-based access with a distinct set of privileges assigned to each user.

The Fiscal Management portal includes standard reports to support EVV program management. Fiscal Agents will be able to proactively monitor any outstanding visit and/or timesheet issues that need to be addressed prior to payroll export, such as identifying visits that are not approved, visits exceptions that have not been resolved, etc. and they will have new tools to ensure quality oversight of care delivery.

Each portal listed above complies with the ADA Section 508 requirements. The portals offer:

- Text equivalents for images, audio, and other forms of multimedia;
- Time-based media including audio, video and captioning for hard of hearing populations where applicable;
- Content that can be presented in different ways to accommodate meaningful sequence;
- Distinguishable content through use of color, context or markup, and audio control to make it easier for users to see and hear content;

- Keyboard accessible functionality;
- Enough/extended time for users to read and use content;
- Easy navigation to find content;
- Content that is readable and understandable;
- Predictability in how web pages appear and operate;
- Input assistance to help users avoid and correct mistakes; and
- Compatibility with assistive technologies such as Jaws Readers, etc.

Sandata Billing

Providers using the Sandata EVV system will use Sandata's Billing Module to submit claims. In order for a visit to be moved to a billable status, it must first pass all of the visit validation checks based on program rules. Validation checks include for example:

- Participant eligibility;
- Validation against the authorization (service, units available, time span, etc.)
- Validation of 21st Century Cures data requirements (caregiver, member, visit start and end, service, location); and
- Validation of program specific business rules.

A visit must pass all validation checks before it is able to be submitted as a claim which ensures that only claims with valid EVV data are submitted for payment. Once the visit passes the visit validation, the next step in the process is a formatting validation, including a detailed format check of the 837 for valid 5010 compliance. This process ensures the visit is properly formatted in accordance with the requirements in DHHS' 837 Companion Guide. If the claim passes 5010 compliance checks, the claim will be transmitted to a unique SFTP site for each provider. From that site, the claim will automatically be submitted to the MMIS for adjudication. If issues are identified, providers can run a report that identifies what failed so the claims with issues may be corrected and resubmitted.

Once the MMIS receives the 837, the response files including the 999 and 277 are returned to the provider through the current process. The provider will use this site to monitor and address any issues identified by DHHS as part of their normal revenue cycle process.

Sandata Aggregator

Sandata Aggregator is a vendor-agnostic EVV Aggregator module that accepts data, using our standard data specifications, from any approved provider EVV system and applies standardized business rules to ensure the visits are properly verified. Sandata Aggregator provides comprehensive oversight over the entire program regardless of the EVV system used. Sandata Aggregator is in production today in multiple state Medicaid programs.

Sandata Aggregator allows providers to continue to use a third-party EVV system for scheduling, visit data collection, and visit verification. EVV data is transmitted from the

third-party system to Sandata Aggregator using our standard data specifications. The Sandata Aggregator is an exceptions-based system, like our Sandata EVV module, and third-party providers will see the exceptions against the DHHS business rules, correct any exceptions in the source EVV system, and resubmit corrected visits for reprocessing. Sandata recommends that visits be transmitted by the third-party vendor as they occur to ensure DHHS has visibility into visits throughout their life cycle.

Sandata Aggregator's primary purposes include:

- Central Data Store for Sandata EVV and Third Party EVV Systems;
- Application of program-specific rules across disparate systems;
- Visit Review; and
- DHHS Oversight/Reporting.

Sandata Aggregator is the single source where DHHS can view visit information using the Jurisdictional portal regardless of the visit source as shown in Figure 12.

Sandata Aggregator provides a mechanism for DHHS to maintain oversight into your programs while allowing providers the flexibility to utilize the EVV system of their choosing.

Within Sandata Aggregator, DHHS and your providers

can view visits via a HIPAA-compliant web portal. Users can filter and sort visit information using a variety of fields. Providers can review visit status on demand. Through the Sandata Aggregator, providers can generate various reports, including reports that show visits that were and were not verified. Reports can be generated on a daily basis and are available in multiple formats (i.e., PDF, Excel, csv).

Aggregation from Third Party EVV Systems

Sandata has developed interfaces with over 45 EVV vendors that can be leveraged in the DHHS program, including interfaces with the most common EVV vendors such as:

- Alora;

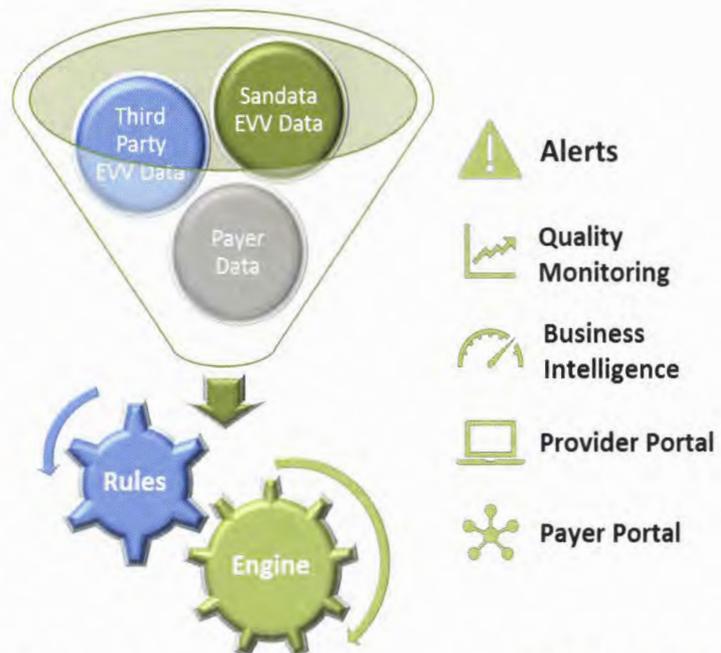


Figure 12. Sandata Aggregator incorporates all EVV data into a single holistic view for DHHS.

- AXXESS;
- Bright Tree;
- CellTrak;
- Complia;
- Healthcare First;
- Homecare Homebase;
- McKesson;
- Netsmart;
- Optima; and
- PointClickCare.

Sandata will leverage our proven, streamlined process for any new third party EVV data integration that may be required as described below.

System Approval

Sandata will validate that each third-party system is sending the required data set in accordance with program requirements. Each approved third-party EVV system will participate in the Sandata interface approval process to ensure that their interface is providing all information required and has no technical issues. Sandata will provide technical assistance to the vendor and/or provider to review the specifications and answer any questions. The vendor will be assigned a unique identifier in the Sandata system for tracking and reporting after the approval process has been completed. Once a vendor is approved, the system can be implemented for all providers using that vendor and the approved version of that vendor's software.

Third-party Interface Testing

The third party EVV vendor will need to submit an interface to the Sandata Aggregator using the standard specifications provided and pass Sandata's interface testing and approval process prior to gaining access to the production environment. For providers using a third party EVV solution, the caregiver will use the EVV system and process as they do today. Sandata Aggregator receives the information about the visit including caregiver, participants, schedules, and visits in real time. The Sandata Aggregator will reject records and report errors back to the provider as part of the interface if required information is missing.

Sandata provides an API for third party vendors to support the data exchange process. Sandata provides sample JSON (Java equivalent to XML) or XML format information, as well as the WSDL or WADL (JSON equivalent of the WSDL) to those parties developing the interface. This specification includes the REST endpoints needed to request status on record acceptance/rejection. In order to support alerts and gaps in care, third party EVV systems must send data in near real time. It is expected that information is sent as it is

added/changed/deleted in the third party EVV system. Note that rejection responses will be delivered on a separate API call that is initiated by the third party in near real time.

When visits are received by the Sandata Aggregator, visit status and all enabled exceptions are calculated. The user will need to 'fix' any exception in their third party EVV system and resend the visit with the updates to the Sandata Aggregator. After each transmittal of data, Sandata will return against a transaction ID and an acknowledgment of receipt. This transaction ID can be queried by the provider for status of the records in the transaction. This process allows the provider to check on the status on any of the records that may have been rejected.

Sandata will provide the following documentation to parties wishing to build an interface to the Sandata Aggregator. These will be refined for the DHHS program and then posted for provider consumption, and include:

- Standard Data Specification;
- Companion/Implementation Guide; and
- Testing Guide.

Optional Sandata Claims Validation

Since DHHS is deploying an open model, you may want to consider implementation Claims Validation to ensure EVV confirmation for those providers who elect to use third party EVV systems. Sandata Claims Validation allows all claims, even those submitted by third party EVV systems, to have the same level of validation that Sandata provides in Sandata Billing.

Sandata Claims Validation is simple: a Provider will submit their claim using the same process they use today. During implementation, Sandata and DHHS would establish a data exchange process to allow the MMIS claims system real-time access to all matched EVV visit data in the Aggregator for the claim being processed. DHHS will modify the claims adjudication process to check to see if properly validated visits are present in EVV. If EVV data is correct, the claim continues through the adjudication process. If the EVV is missing or incorrect, the claim is put in a pending or denied status. The benefit of this option to DHHS is it ensures all claims are properly matched to EVV data prior to payment, as recommend by CMS. Sandata has deployed claims validation in multiple states to date.

Sandata EVV System Reporting

Sandata EVV brings powerful, on demand reporting capabilities to users with the EVV portal:

- **Security** – Users select the report and information they want to view, and run the report. Reports are available on demand.

- **Real-time access to data** – Point of care data is available in Sandata EVV in real time and immediately available in the on-demand reports.
- **Dynamic filter selection** – Every report has dynamic filters that allows the user to determine the exact content of the report, by date range, participant, caregiver, service or other relevant filters. Each report includes a summary of the query and query results.
- **Multiple report formats** – Sandata EVV reports can be produced and printed in multiple formats including PDF, Excel, Word, CSV, and XML. Reports can also be exported to these formats.
- **Report display** – Sandata EVV reports display standard report header and footer information (e.g., report number, report title, page number, date) on all reports. Should the report provide no information, a “No Data This Report” and “End of Data” is displayed on the report.
- **Reports library** – Sandata provides a standard reporting library based on our experience deploying our EVV solution nationally. Sandata will review the reporting library with DHHS to identify reporting needs for your specific program. Reports can easily be added or removed from the system configuration without downtime. The final report set will be documented in the EVV Reporting Guide (and updated annually).
- **Reports logging** – Every report request creates an Execution Log that documents the user, date, and time of the request and the data selection filters to reproduce the report. These are routinely monitored for report failures or for long running reports.
- **Ad hoc reporting** – Sandata Business Intelligence includes graphical and ad hoc reporting features, allowing users to create the custom reports.

EVV Reporting Access

The value of any reporting system lies in its ability to provide users with the right data at the right time to meet specific needs. Sandata EVV uses roles-based access to assign specific reports to each of the unique user groups as summarized below. Sandata will work with DHHS to review the reports available to each of the key user roles:

- **Members/Family:** access to operational reports of their caregiver/employee timesheet information, schedules (if applicable), and visit information;
- **Individual Providers:** access to timesheet reports;
- **Provider Agencies:** access to operational reports on caregivers, participants, authorizations, schedules, visits, etc., for all authorized participants assigned to the agency; and
- **DHHS:** super user access to reporting across the entire program including Sandata Business Intelligence reporting.

Each of these reporting dashboards provides the authorized user with access to data that is appropriate for their role and in full compliance with HIPAA security policies.

Sandata Jurisdictional View for DHHS

Sandata Jurisdictional View helps support increased oversight and support for quality care delivery. Our on-demand reporting will help DHHS with program integrity activities and will support program compliance requirements.

Sandata Business Intelligence

DHHS will have Sandata Business Intelligence (“BI”) access. Sandata BI supports point and click technology allowing users to create ad hoc reports. Sandata BI supports both on demand and scheduled reporting. Sandata BI offers focused dashboards for DHHS users targeted at providing analysis into care delivery across the entire EVV program. Through Sandata BI, DHHS users can use existing standard visualizations, design and develop new visualizations, and conduct detailed analysis on the DHHS EVV program. Please refer to Figure 13 for examples of our standard visualizations.

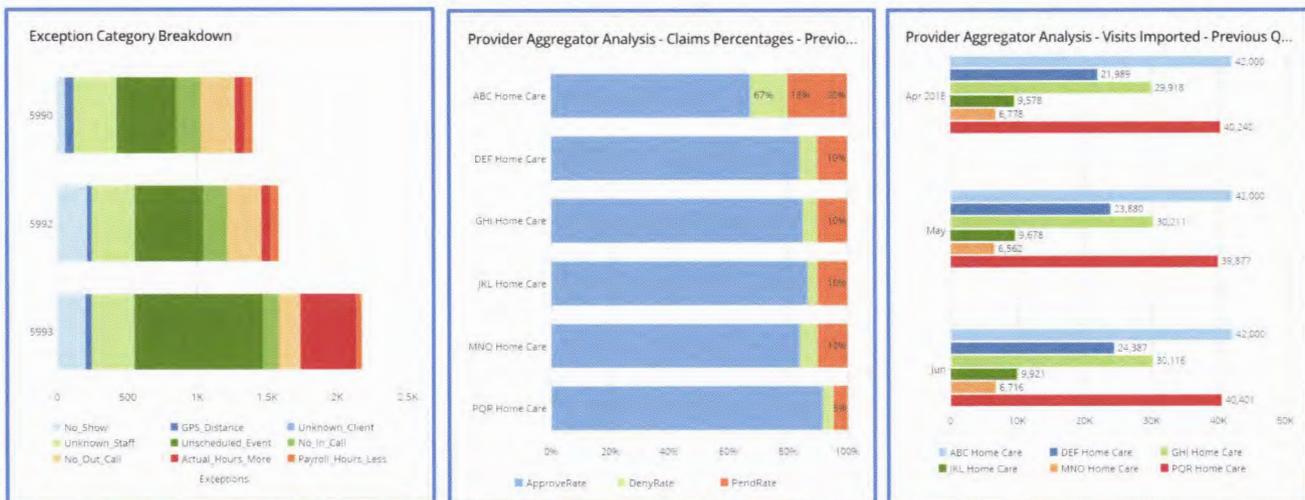


Figure 13. Sandata Dashboards support exception analysis.

Sandata’s BI tool includes a wide range of features that provide the ability to quickly analyze program metrics, allow drill down access (see Figure 14) to support targeted analysis, and create new dashboards through a user-friendly interface. Sandata’s BI tool also allows authorized users to create alerts, schedule reports, and share and communicate reports through the built-in social platform.

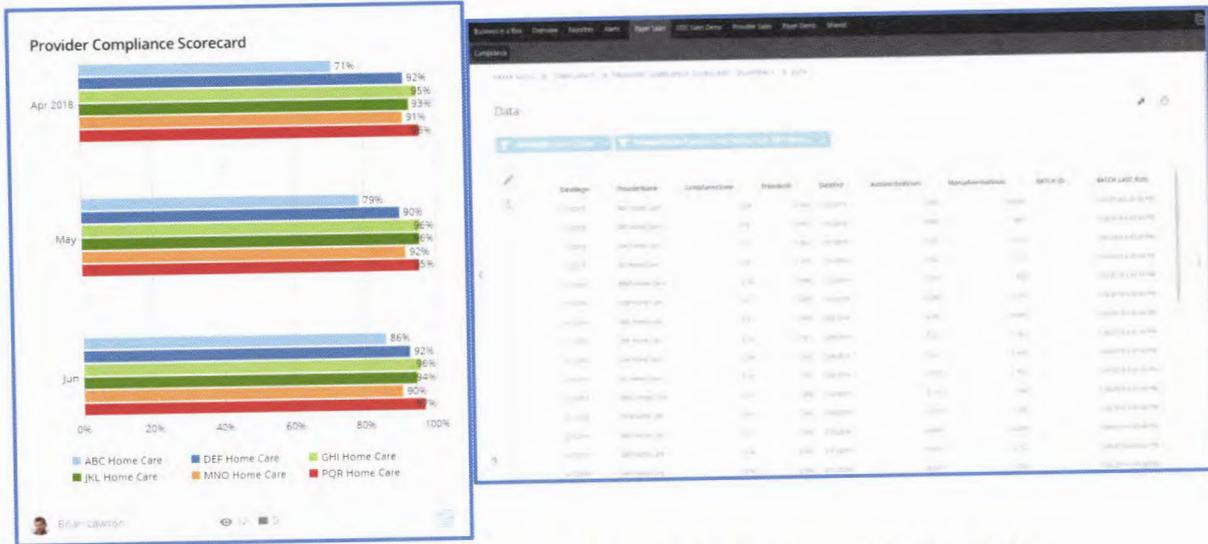


Figure 14. All Sandata BI dashboards allow the user to drill down into the data.

Create Custom Dashboards

DHHS users can create their own dashboards easily through the dashboard creation tool as shown in Figure 15. Quickly access datasets, filters, sorting criteria, create calculated fields, and select from numerous different visualization styles simply by pointing and clicking and preview your changes as you build.



Figure 15. Sandata BI users can create custom dashboards to meet specific user needs.

Review and Edit Existing Dashboards

Sandata provides a standard set of cards or user dashboards. Existing dashboards can be edited using the same functions used to create new dashboards as shown in Figure 16.

Quickly adjust sorting or filtering parameters, chart style, or analyze different fields and replace the dashboard or save it as a new dashboard to quickly meet all of your analysis needs.

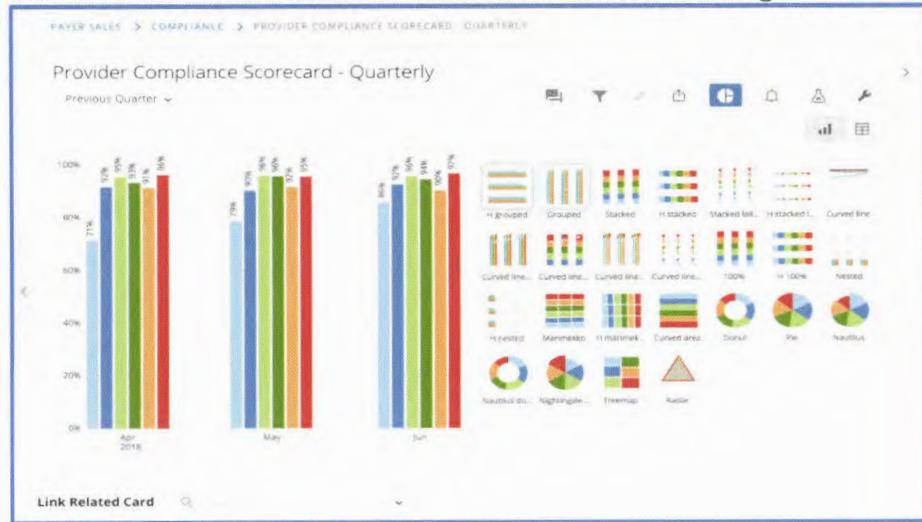


Figure 16. Sandata BI users can use existing dashboards to create new views of information.

Schedule Dashboards and Reports

The report scheduler allows you to schedule any dashboard or report at your desired frequency, dates and times, and send it to multiple recipients as shown in Figure 17.

Share Dashboards

Quickly share reports or dashboards to one or multiple users with the click of a button (see Figure 18).

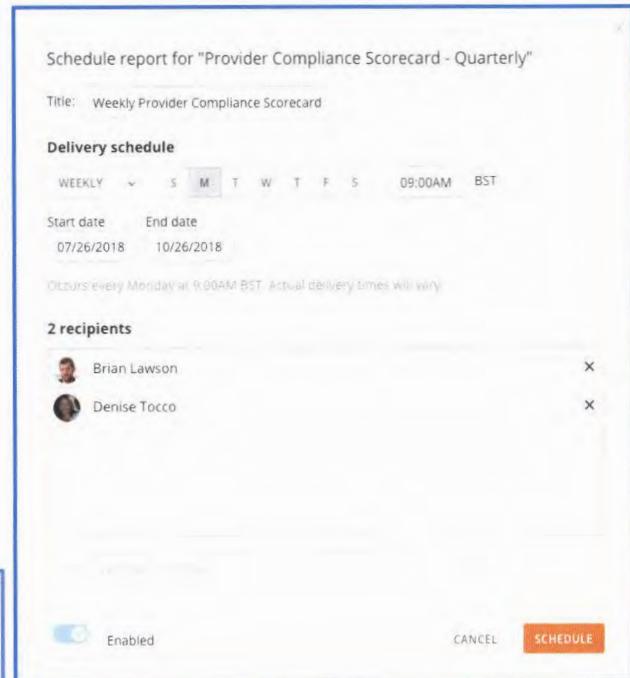


Figure 17. Dashboard reports may be scheduled and sent to multiple recipients.

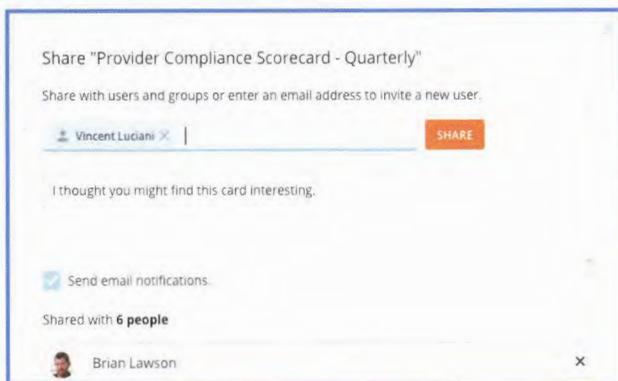


Figure 18. Users can send dashboards quickly and easily.

Send / Export Reports:

The send/export feature allows the user to quickly export the dashboard or drill-down data of a particular report in a number of different formats as shown in Figure 19.



Figure 19. Users can export reports for easy sharing among colleagues and management.

Built-In Social Network:

The built-in conversation tool allows users to discuss each specific card with a specified set (or all) users as shown in Figure 20. This is particularly useful for investigations allowing team participants to collaborate directly within the Sandata BI tool.

Data Integration

Sandata is an expert in data integration that reduces the possibilities of human errors often associated with data entry. Sandata has the integration experience to ensure a smooth exchange of data between all stakeholders. We have provided a summary of the DHHS required interfaces in Table 8. All planned data exchanges are assumed to use Sandata’s standard interface specifications with one initial full file for files imported into Sandata EVV and incremental add/change/remove updates thereafter.

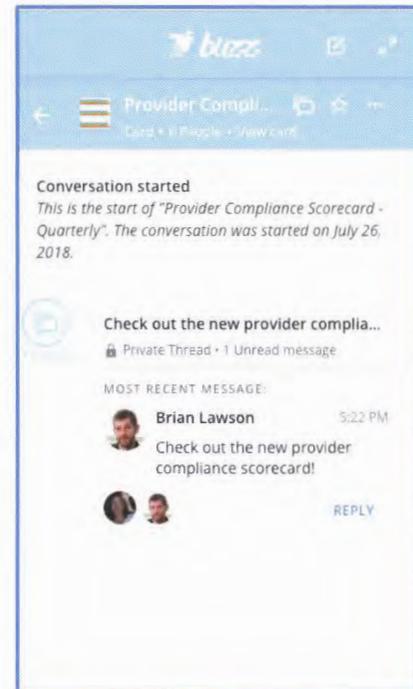


Figure 20. Sandata BI includes a built-in conversation tool.

Table 8: DHHS EVV Data Integration Plan.

Data File / Interface	Responsibilities
Participant File	DHHS to provide file of all eligible participants for the program (will also include self-directed participants with assignment to the fiscal agent). This file will also support access to the participant/family portal.

Data File / Interface	Responsibilities
Authorization File	DHHS will provide a file of all authorizations. Authorizations are used to associate participants to the provider, who will then be allowed to view and provide services using EVV to the participant.
Provider File	DHHS will provide a provider file with all providers for Sandata to set up provider EVV access
Self-Directed participant/caregiver Crosswalk File	DHHS will provide a file of all self-directed program caregivers with assignment to the appropriate participant(s).
Third Party EVV Interface	Sandata will provide data specifications to support provider system interfaces of EVV data from Third-party provider systems.
Data Warehouse Extract	Sandata will provide DHHS a standard data warehouse extract.
837 Claims File	Sandata will provide a claims file containing all approved visits for billing to be sent to the MMIS system for payment in the required 837 format.

B. PROPOSED DESIGN, CONFIGURATION AND DEVELOPMENT APPROACH

Sandata is proposing our COTS Sandata EVV solution. Sandata EVV is highly configurable and so our approach to Design, Configuration, and Development is focused on gathering and documenting existing DHHS processes and policies. The implementation begins with a kick off meeting to introduce the teams and review the overall process and project plan. After kick off, we begin the documentation process by providing DHHS with an implementation workbook to complete. This workbook is a step by step guide to allow DHHS to document existing process flows and associated policy rules that are the foundation of the EVV program.

Sandata’s project team then comes on site and conducts our Business Rules sessions where we review the workbook and add additional content and configuration requirements. In a parallel process we also review the data exchange requirements to ensure all data feeds include any required data as documented in the business rules.

All of the decisions, configuration requirements, and data exchange requirements are formally documented in our Business Requirements Document and presented to DHHS for review and sign off. If any development items are identified as part of this process,

use cases are written and the development is scheduled in accordance with our software development life cycle process.

The Sandata configuration team uses the Business Requirements Document and our proprietary rules engine to configure Sandata EVV to support UAT, and once approved, final production systems for all users.

C. TECHNICAL CONSIDERATIONS

Sandata has the largest and most experienced implementation and technical team in the market today. We have the size, scale, and ability, and proven process to quickly document DHHS program requirements and to the flexibility in our solution to be able to configure to meet your needs without undertaking extensive development. We have reviewed all of the requirements in the Requirements Traceability Matrix and with very few exceptions are able to fulfill all of the requirements with standard functionality. Our close alignment of existing functionality to the DHHS RTM reduces project risk and will help ensure DHHS achieves a successful on time implementation.

Sandata is in the process of successfully completing five EVV state Medicaid implementations this year and we will have multiple implementation teams free and available to support DHHS' kick off in March 2020. Selecting Sandata ensures DHHS will have the right resources, the right experience, and a configurable system that matches your requirements to ensure you successfully complete CMS Certification and receive full federal funding for your EVV program.

D. DETAILED PROJECT WORK PLAN

Sandata's primary tool for project and schedule management is a project work plan (Gantt Chart) created and maintained using Microsoft Project. This tool allows us to break a project down into discrete tasks; define resources, timelines, and dependencies for each task; and refine these data points throughout the life of the project as goals or scope change. Once an overall schedule is set, the EVV Project Manager is responsible for monitoring the progress of the project against the baseline and revising the schedule if needed. We will coordinate with DHHS to conduct module and milestone walkthroughs, refine and maintain the project work schedule, report changes and dependencies and address and escalate schedule conflicts as they arise. Please refer to Attachment 8, Draft DHHS Project Work Plan for details.

Our implementation approach is represented in our Work Breakout Structure in Figure 21.

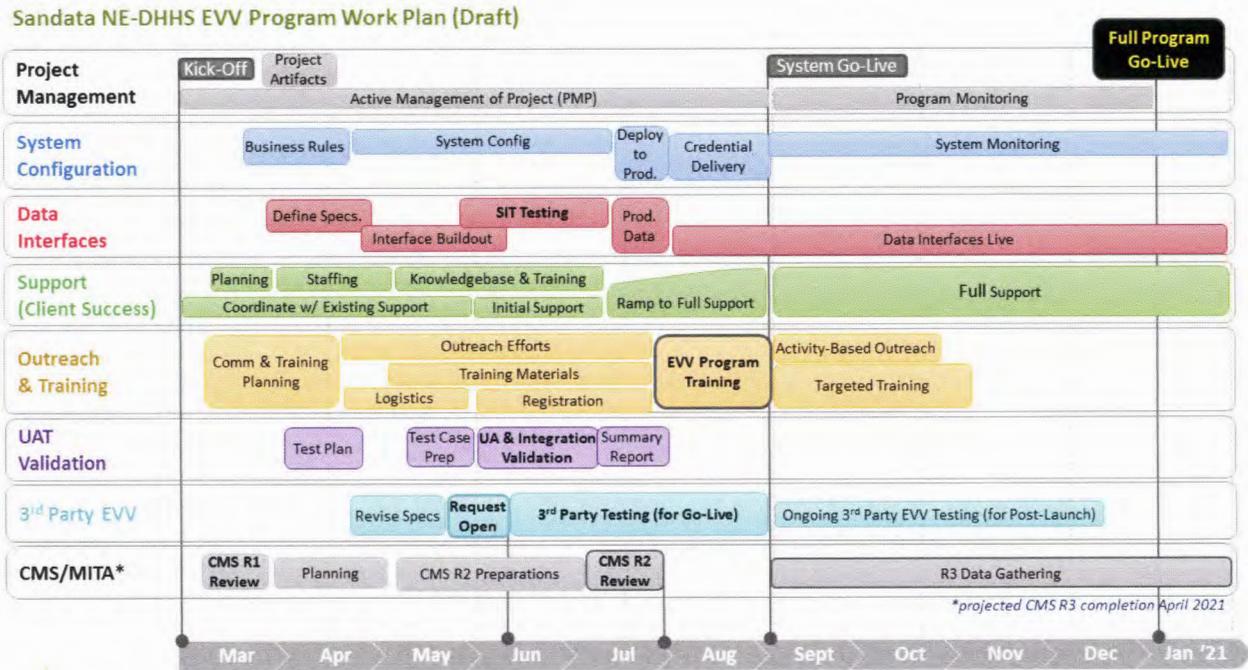


Figure 21. DHHS EVV Project Draft Work Breakout Structure.

E. DELIVERABLES AND DUE DATES

We have extensive experience in developing, managing, and completing all of the required DHHS EVV project deliverables. Sandata’s project plan will detail all DHHS required deliverables with their due dates and associated milestone reviews as shown in Table 9.

Table 9: Project Milestones and deliverables.

Milestone	Deliverables	Estimated Dates
1 (Design)	<ul style="list-style-type: none"> Project Management Plan including Work Breakdown Structure, Communications Plan, Change Management Plan, Staffing Management Plan, Risk Management Plan, Issue Management Plan, and Quality Management Plan Detailed Project Work Plan/Schedule Project Kickoff Meeting & Presentation Project Deliverable and Acceptance process 	<ul style="list-style-type: none"> April 29, 2020

Milestone	Deliverables	Estimated Dates
2 (Development)	<ul style="list-style-type: none"> • Design and Configuration deliverables • Implementation Plan with detailed Go Live Plan • Design and Implementation Deliverable Work Products including Updated Configuration & Design Documents and User Manuals • Completion of System and Artifact deliverables, including updated RTM • Completion of artifact and milestone walkthroughs • Delivery of production ready system • Successful completion system and UAT Testing • Successful completion of all user training • Completion of all required R2 artifacts • Successful completion and acceptance of Attachment D - System Security Plan • Review and acceptance of all agreed pre-production activities and artifacts required for 'Go Live' approval 	<ul style="list-style-type: none"> • August 25, 2020
3 (Production)	<ul style="list-style-type: none"> • Successful completion of all Go Live activities • Fully operational production EVV solution • Fully functional customer support • Transition to Account Management • Successful completion and approval of R2 artifacts by CMS 	<ul style="list-style-type: none"> • December 31, 2020
4 (R3 Completion)	<ul style="list-style-type: none"> • Completion of any agreed post-production functionality • Completion and acceptance of R3 functionality and artifacts by CMS 	<ul style="list-style-type: none"> • April 30, 2021

Sandata's Project Managers and Account Executives use a Deliverables Management Tool as shown in Figure 22. This tool will help us to track the status and completion of each deliverable and project artifact and that each was completed within the required timelines. This is used for all phases of the project.

Company Name		Date of Last Update
Project Name	Electronic Visit Verification Services	Author

Project Phase	Deliverable Name	Description	Criteria for Acceptance	Party Responsible	Phase Tracking Dates		
					Submission1	Submission 2	Accepted
Implementation	Project Management Plan						
Implementation	Outreach Plan						
	Disaster Recovery/Business Continuity Test Report						
Operations	Security Audit Report						
Turnover	Turnover Plan						

Figure 22. Sandata will use a Project Deliverables Detail and Checklist tracking tool to manage all deliverables for the EVV project. This tool will be shared with DHHS to ensure transparency throughout the life of the contract.

All Sandata projects require a review and acceptance process for specific deliverables and milestones. Individual review cycles will be tailored to the size and complexity of the deliverables and will follow the agreed upon change control processes. Formal walkthroughs of draft and final deliverables will be conducted for the more complex deliverables. All deliverables will follow industry standard practices and will be checked for quality.

The team will leverage DHHS' SharePoint document repository for project documentation. This repository will help facilitate timely communication and provide a single, go-to place for project documents, required artifacts, and deliverables.

F. RESPONSES TO SECTIONS II THROUGH IV

Provide complete responses to Sections II through IV of the RFP; and

Please refer to the following pages for our completed responses to Sections II through IV.



II. TERMS AND CONDITIONS

Bidders should complete Sections II through VI as part of their proposal. Bidder is expected to read the Terms and Conditions and should initial either accept, reject, or reject and provide alternative language for each clause. The bidder should also provide an explanation of why the bidder rejected the clause or rejected the clause and provided alternate language. By signing the RFP, bidder is agreeing to be legally bound by all the accepted terms and conditions, and any proposed alternative terms and conditions submitted with the proposal. The State reserves the right to negotiate rejected or proposed alternative language. If the State and bidder fail to agree on the final Terms and Conditions, the State reserves the right to reject the proposal. The State of Nebraska is soliciting proposals in response to this RFP. The State of Nebraska reserves the right to reject proposals that attempt to substitute the bidder's commercial contracts and/or documents for this RFP.

The bidders should submit with their proposal any license, user agreement, service level agreement, or similar documents that the bidder wants incorporated in the contract. The State will not consider incorporation of any document not submitted with the bidder's proposal as the document will not have been included in the evaluation process. These documents shall be subject to negotiation and will be incorporated as addendums if agreed to by the Parties.

If a conflict or ambiguity arises after the Addendum to Contract Award have been negotiated and agreed to, the Addendum to Contract Award shall be interpreted as follows:

1. If only one Party has a particular clause then that clause shall control;
2. If both Parties have a similar clause, but the clauses do not conflict, the clauses shall be read together;
3. If both Parties have a similar clause, but the clauses conflict, the State's clause shall control.

A. GENERAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
			Sandata accepts the order of precedence but (as permitted above) Sandata would like to have the attached Subscription Agreement incorporated in the contract when awarded.

The contract resulting from this RFP shall incorporate the following documents:

1. Request for Proposal and Attachments;
2. Amendments to the RFP;
3. Questions and Answers;
4. Contractor's proposal (RFP and properly submitted documents);
5. The executed Contract and Addendum One to Contract, if applicable; and,
6. Amendments/Addendums to the Contract.

These documents constitute the entirety of the contract.

Unless otherwise specifically stated in a future contract amendment, in case of any conflict between the incorporated documents, the documents shall govern in the following order of preference with number one (1) receiving preference over all other documents and with each lower numbered document having preference over any higher numbered document: 1) Amendment to the executed Contract with the most recent dated amendment having the highest priority, 2) executed Contract and any attached Addenda, 3) Amendments to RFP and any Questions and Answers, 4) the original RFP document and any Addenda, and 5) the Contractor's submitted Proposal.

Any ambiguity or conflict in the contract discovered after its execution, not otherwise addressed herein, shall be resolved in accordance with the rules of contract interpretation as established in the State of Nebraska.



B. NOTIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Contractor and State shall identify the contract manager who shall serve as the point of contact for the executed contract.

C. GOVERNING LAW (Statutory)

Notwithstanding any other provision of this contract, or any amendment or addendum(s) entered into contemporaneously or at a later time, the parties understand and agree that, (1) the State of Nebraska is a sovereign state and its authority to contract is therefore subject to limitation by the State's Constitution, statutes, common law, and regulation; (2) this contract will be interpreted and enforced under the laws of the State of Nebraska; (3) any action to enforce the provisions of this agreement must be brought in the State of Nebraska per state law; (4) the person signing this contract on behalf of the State of Nebraska does not have the authority to waive the State's sovereign immunity, statutes, common law, or regulations; (5) the indemnity, limitation of liability, remedy, and other similar provisions of the final contract, if any, are entered into subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity; and, (6) all terms and conditions of the final contract, including but not limited to the clauses concerning third party use, licenses, warranties, limitations of liability, governing law and venue, usage verification, indemnity, liability, remedy or other similar provisions of the final contract are entered into specifically subject to the State's Constitution, statutes, common law, regulations, and sovereign immunity.

The Parties must comply with all applicable local, State and Federal laws, ordinances, rules, orders, and regulations.

D. BEGINNING OF WORK

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The bidder shall not commence any billable work until a valid contract has been fully executed by the State and the successful Contractor. The Contractor will be notified in writing when work may begin.

E. CHANGE ORDERS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
			Request to remove "were foreseeable." Rationale: There is no way to gauge what is foreseeable. The State shall not incur a price increase for changes that should have been included in the Contractor's proposal, were foreseeable , or result from difficulties with or failure of the Contractor's proposal or performance.

The State and the Contractor, upon the written agreement, may make changes to the contract within the general scope of the RFP. Changes may involve specifications, the quantity of work, or such other items as the State may find necessary or desirable. Corrections of any deliverable, service, or work required pursuant to the contract shall not be deemed a change. The Contractor may not claim forfeiture of the contract by reasons of such changes.

The Contractor shall prepare a written description of the work required due to the change and an itemized cost sheet for the change. Changes in work and the amount of compensation to be paid to the Contractor shall be



determined in accordance with applicable unit prices if any, a pro-rated value, or through negotiations. The State shall not incur a price increase for changes that should have been included in the Contractor's proposal, were foreseeable, or result from difficulties with or failure of the Contractor's proposal or performance.

No change shall be implemented by the Contractor until approved by the State, and the Contract is amended to reflect the change and associated costs, if any. If there is a dispute regarding the cost, but both parties agree that immediate implementation is necessary, the change may be implemented, and cost negotiations may continue with both Parties retaining all remedies under the contract and law.

F. NOTICE OF POTENTIAL CONTRACTOR BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

If Contractor breaches the contract or anticipates breaching the contract, the Contractor shall immediately give written notice to the State. The notice shall explain the breach or potential breach, a proposed cure, and may include a request for a waiver of the breach if so desired. The State may, in its discretion, temporarily or permanently waive the breach. By granting a waiver, the State does not forfeit any rights or remedies to which the State is entitled by law or equity, or pursuant to the provisions of the contract. Failure to give immediate notice, however, may be grounds for denial of any request for a waiver of a breach.

G. BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Either Party may terminate the contract, in whole or in part, if the other Party breaches its duty to perform its obligations under the contract in a timely and proper manner. Termination requires written notice of default and a thirty (30) calendar day (or longer at the non-breaching Party's discretion considering the gravity and nature of the default) cure period. Said notice shall be delivered by Certified Mail, Return Receipt Requested, or in person with proof of delivery. Allowing time to cure a failure or breach of contract does not waive the right to immediately terminate the contract for the same or different contract breach which may occur at a different time. In case of default of the Contractor, the State may contract the service from other sources and hold the Contractor responsible for any excess cost occasioned thereby.

The State's failure to make payment shall not be a breach, and the Contractor shall retain all available statutory remedies and protections.

H. NON-WAIVER OF BREACH

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The acceptance of late performance with or without objection or reservation by a Party shall not waive any rights of the Party nor constitute a waiver of the requirement of timely performance of any obligations remaining to be performed.



I. SEVERABILITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

If any term or condition of the contract is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and conditions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the provision held to be invalid or illegal.

J. INDEMNIFICATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
			For item #1: Sandata would like to make the following minor changes "...attributable to the willful misconduct, gross negligence, error, or omission of the Contractor,..." <i>Rationale: We deleted non-standard language.</i> For item #2: Sandata would like to delete #2 below and replace it with Section 9, Indemnification, of Sandata's standard License terms attached hereto. <i>Rationale: We have attached our standard indemnification language, which is preferable.</i>

1. GENERAL

The Contractor agrees to defend, indemnify, and hold harmless the State and its employees, volunteers, agents, and its elected and appointed officials ("the indemnified parties") from and against any and all third party claims, liens, demands, damages, liability, actions, causes of action, losses, judgments, costs, and expenses of every nature, including investigation costs and expenses, settlement costs, and attorney fees and expenses ("the claims"), sustained or asserted against the State for personal injury, death, or property loss or damage, arising out of, resulting from, or attributable to the willful misconduct, negligence, error, or omission of the Contractor, its employees, Subcontractors, consultants, representatives, and agents, resulting from this contract, except to the extent such contractor liability is attenuated by any action of the State which directly and proximately contributed to the claims.

2. INTELLECTUAL PROPERTY [Delete both paragraphs below and replace w/Sandata's standard indemnity – see Section 9 of Sandata's Subscription Agreement attached hereto]

The Contractor agrees it will, at its sole cost and expense, defend, indemnify, and hold harmless the indemnified parties from and against any and all claims, to the extent such claims arise out of, result from, or are attributable to, the actual or alleged infringement or misappropriation of any patent, copyright, trade secret, trademark, or confidential information of any third party by the Contractor or its employees, subcontractors, consultants, representatives, and agents; provided, however, the State gives the Contractor prompt notice in writing of the claim. The Contractor may not settle any infringement claim that will affect the State's use of the Licensed Software without the State's prior written consent, which consent may be withheld for any reason.

If a judgment or settlement is obtained or reasonably anticipated against the State's use of any intellectual property for which the Contractor has indemnified the State, the Contractor shall, at the Contractor's sole cost and expense, promptly modify the item or items which were determined to be infringing, acquire a license or licenses on the State's behalf to provide the necessary rights to the State to eliminate the infringement, or provide the State with a non-infringing substitute that provides the State the same functionality. At the State's election, the actual or anticipated judgment may be treated as a breach of warranty by the Contractor, and the State may receive the remedies provided under this RFP.

3. PERSONNEL



The Contractor shall, at its expense, indemnify and hold harmless the indemnified parties from and against any claim with respect to withholding taxes, worker's compensation, employee benefits, or any other claim, demand, liability, damage, or loss of any nature relating to any of the personnel, including subcontractor's and their employees, provided by the Contractor.

4. SELF-INSURANCE

The State of Nebraska is self-insured for any loss and purchases excess insurance coverage pursuant to Neb. Rev. Stat. § 81-8,239.01 (Reissue 2008). If there is a presumed loss under the provisions of this agreement, Contractor may file a claim with the Office of Risk Management pursuant to Neb. Rev. Stat. §§ 81-8,829 – 81-8,306 for review by the State Claims Board. The State retains all rights and immunities under the State Miscellaneous (Section 81-8,294), Tort (Section 81-8,209), and Contract Claim Acts (Section 81-8,302), as outlined in Neb. Rev. Stat. § 81-8,209 et seq. and under any other provisions of law and accepts liability under this agreement to the extent provided by law.

5. The Parties acknowledge that Attorney General for the State of Nebraska is required by statute to represent the legal interests of the State, and that any provision of this indemnity clause is subject to the statutory authority of the Attorney General.

K. ATTORNEY'S FEES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>g</i>			

In the event of any litigation, appeal, or other legal action to enforce any provision of the contract, the Parties agree to pay all expenses of such action, as permitted by law and if order by the court, including attorney's fees and costs, if the other Party prevails.

L. PERFORMANCE GUARANTEES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
		<i>g</i>	Please see Sandata's attached changes to Attachment B – Performance Guarantees.

Performance Guarantees are detailed in Attachment B – Performance Guarantees.

Contractor must collaborate with DHHS on an ongoing basis to adjust service levels as programs and services mature within the scope of the contract. DHHS shall have the right to modify, add or delete Performance Standards throughout the term of the contract should DHHS determine it is in its best interest to do so. Any changes or additions to performance standards will be made in good faith following acceptable industry standards, and will include the input of the Contractor so as to establish standards that are reasonably achievable.

All changes to the Performance Standards and/or Guarantees shall become an official part of the contract and shall continue throughout the term of the contract.

Failure to meet the minimum Performance Standards as specified may result in the assessment of damages as per the then-current Performance Guarantees' defined damages. Contractor will be notified in writing when liquidated damages are applied. In the event a Performance Standard is not met, the Contractor will have the opportunity to defend or respond to the insufficiency. DHHS shall have the right to waive damages if it determines that there were extenuating factors beyond the control of the Contractor that hindered the performance of services. In these instances, DHHS shall have the final determination of performance acceptability.



Should any compensation be owed to DHHS due to the assessment of damages, Contractor shall follow the direction of DHHS regarding the required compensation process.

REMEDIES FOR UNACCEPTABLE PERFORMANCE: Compliance with all provisions, service criteria, and standards for acceptable performance in this contract shall be determined at sole discretion of DHHS. In addition to other remedies identified herein, one or more of the following remedies may be imposed for failure to comply with the service performance-based standards described herein:

1. Contractor shall be required to submit and implement a reasonably acceptable corrective action plan.
2. Payment may be withheld or reduced pending satisfactory implementation of the plan per section IV.E.
3. The Contract may be terminated per section II.S.

The remedies listed above are in addition to all others specifically set forth herein, or any other remedies available at law or equity.

M. ASSIGNMENT, SALE, OR MERGER

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Either Party may assign the contract upon mutual written agreement of the other Party. Such agreement shall not be unreasonably withheld.

The Contractor retains the right to enter into a sale, merger, acquisition, internal reorganization, or similar transaction involving Contractor's business. Contractor agrees to cooperate with the State in executing amendments to the contract to allow for the transaction. If a third party or entity is involved in the transaction, the Contractor will remain responsible for performance of the contract until such time as the person or entity involved in the transaction agrees in writing to be contractually bound by this contract and perform all obligations of the contract.

N. CONTRACTING WITH OTHER NEBRASKA POLITICAL SUB-DIVISIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor may, but shall not be required to, allow agencies, as defined in Neb. Rev. Stat. §81-145, to use this contract. The terms and conditions, including price, of the contract may not be amended. The State shall not be contractually obligated or liable for any contract entered into pursuant to this clause. A listing of Nebraska political subdivisions may be found at the website of the Nebraska Auditor of Public Accounts.

O. FORCE MAJEURE

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Neither Party shall be liable for any costs or damages, or for default resulting from its inability to perform any of its obligations under the contract due to a natural or manmade event outside the control and not the fault of the



affected Party ("Force Majeure Event"). The Party so affected shall immediately make a written request for relief to the other Party and shall have the burden of proof to justify the request. The other Party may grant the relief requested; relief may not be unreasonably withheld. Labor disputes with the impacted Party's own employees will not be considered a Force Majeure Event.

P. CONFIDENTIALITY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>g</i>			

All materials and information provided by the Parties or acquired by a Party on behalf of the other Party shall be regarded as confidential information. All materials and information provided or acquired shall be handled in accordance with federal and state law, and ethical standards. Should said confidentiality be breached by a Party, the Party shall notify the other Party immediately of said breach and take immediate corrective action.

It is incumbent upon the Parties to inform their officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable by 5 U.S.C. 552a (m)(1), provides that any officer or employee, who by virtue of his/her employment or official position has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

Q. OFFICE OF PUBLIC COUNSEL (Statutory)

If it provides, under the terms of this contract and on behalf of the State of Nebraska, health and human services to individuals; service delivery; service coordination; or case management, Contractor shall submit to the jurisdiction of the Office of Public Counsel, pursuant to Neb. Rev. Stat. §§ 81-8,240 et seq. This section shall survive the termination of this contract.

R. LONG-TERM CARE OMBUDSMAN (Statutory)

Contractor must comply with the Long-Term Care Ombudsman Act, Neb. Rev. Stat. §§ 81-2237 et seq. This section shall survive the termination of this contract.

S. EARLY TERMINATION

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>g</i>			

The contract may be terminated as follows:

1. The State and the Contractor, by mutual written agreement, may terminate the contract at any time.
2. The State, in its sole discretion, may terminate the contract for any reason upon thirty (30) calendar day's written notice to the Contractor. Such termination shall not relieve the Contractor of warranty or other service obligations incurred under the terms of the contract. In the event of termination, the Contractor shall be entitled to payment, determined on a pro rate basis, for products or services satisfactorily performed or provided.
3. The State may terminate the contract immediately for the following reasons:
 - a. if directed to do so by statute;
 - b. Contractor has made an assignment for the benefit of creditors, has admitted in writing its inability to pay debts as they mature, or has ceased operating in the normal course of business;



- c. a trustee or receiver of the Contractor or of any substantial part of the Contractor's assets has been appointed by a court;
- d. fraud, misappropriation, embezzlement, malfeasance, misfeasance, or illegal conduct pertaining to performance under the contract by its Contractor, its employees, officers, directors, or shareholders;
- e. an involuntary proceeding has been commenced by any Party against the Contractor under any one of the chapters of Title 11 of the United States Code and (i) the proceeding has been pending for at least sixty (60) calendar days; or (ii) the Contractor has consented, either expressly or by operation of law, to the entry of an order for relief; or (iii) the Contractor has been decreed or adjudged a debtor;
- f. a voluntary petition has been filed by the Contractor under any of the chapters of Title 11 of the United States Code;
- g. Contractor intentionally discloses confidential information;
- h. Contractor has or announces it will discontinue support of the deliverable; and,
- i. In the event funding is no longer available.

T. CONTRACT CLOSEOUT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
6			

Contractor will provide, six (6) months prior to the end of the base contract period or any extension thereof, an Agency-approved Turnover Plan covering the possible turnover of contract requirements to DHHS, its designee, or a successor vendor. The Turnover Plan must be a comprehensive document detailing the proposed schedule, activities, and resource requirements associated with the turnover tasks. Bidder must describe their experience in transition activities of a similar EVV project.

DHHS reserves the right to have Contractor submit an additional updated Turnover Plan one (1) month prior to the end of the base contract or any extension thereof. The plan must describe Contractor's approach and schedule for transfer of activities and operational support information. The information must be supplied on media specified by and according to the schedule approved by DHHS. All items in this section must be covered and reflect appropriate timing. The timing and data requirements are illustrative only and do not limit or restrict DHHS's ability to require additional information from the selected Contractor or modify the turnover schedule as necessary.

Contractor must have a process for updating and managing the Turnover Plan, and delivering to DHHS, no later than three (3) working days before the expiration of the contract, copies of all relevant non-proprietary data, all documentation, including but not limited to the following:

1. Copies of working papers, including procedures, programs, and schedules;
2. Status of current projects;
3. Copies of correspondence (internal and external);
4. Listings of third-party software used by the contractor(s), including availability of the software for transfer or purchase by Medicaid or successor vendor(s);
5. Description of functional business process flows;
6. Operational and system information concerning sub-Contractors;
7. Documentation of ongoing outstanding issues;
8. Other documentation necessary to support contract operations; and
9. Other pertinent information necessary to take over and operate the project or to assume the operational activities successfully.
10. This information shall be provided to DHHS in paper form, or in electronic form via email, secure file transfer or electronic means as directed by DHHS.

Two (2) months prior to the end of the contract or any extension thereof, Contractor must appoint, with DHHS approval, a manager to coordinate and supervise all turnover activities.

Contractor must provide to DHHS one (1) month prior to the scheduled end of the contract, a Turnover Results Report documenting the completion and results of each part of the Turnover Plan. The outline and format of the



Turnover Results Report must be approved in advance by DHHS. Turnover will not be considered complete until this document is approved by DHHS. Contractor must not reduce operational staffing levels during the turnover without the prior written approval of DHHS.

All EVV data gathered from this contract and EVV contracts with DHHS-contracted entities is considered property of DHHS. Proprietary software programs will not be required to be delivered to DHHS pursuant to these Turnover Requirements. Contractor's solution must retain all data, documentation and associated media related to this contract to meet DHHS retention requirements throughout the life of the Contract and return all data to DHHS upon termination for any reason.

All provider and stakeholder training materials developed for this project become the property of Nebraska DHHS and will be transitioned per the Turnover Plan.

Upon contract closeout for any reason the Contractor shall within thirty (30) days, unless stated otherwise herein:

1. Transfer all completed or partially completed deliverables to the State;
2. Transfer ownership and title to all completed or partially completed deliverables to DHHS;
3. Return to DHHS all information and data, unless the Contractor is permitted to keep the information or data by contract or rule of law. Contractor may retain one copy of any information or data as required to comply with applicable work product documentation standards or as are automatically retained in the course of Contractor's routine back up procedures;
4. Cooperate with any successor Contractor, person or entity in the assumption of any or all of the obligations of this contract;
5. Cooperate with any successor Contractor, person or entity with the transfer of information or data related to this contract;
6. Return or vacate any State owned real or personal property; and,
7. Return all data in a mutually acceptable format and manner.

Nothing in this Section should be construed to require the Contractor to surrender intellectual property, real or personal property, or information or data owned by the Contractor for which DHHS has no legal claim.

U. RECORDS RETENTION

1. Contractor must maintain all pertinent financial and accounting records and evidence pertaining to the contract in accordance with generally accepted principles of accounting and as specified by the State of Nebraska Law. Upon request, access shall be granted to these records to any State or Federal Government entities or any of their duly authorized representatives.
2. Upon request, financial and accounting records shall be made available to the State of Nebraska's designee(s) at any time during the contract period and any extension thereof, and for ten (10) years from expiration date and final payment on the contract or extension thereof.
3. Other sections of this bid solicitation may contain additional requirements regarding record retention.



III. CONTRACTOR DUTIES

A. INDEPENDENT CONTRACTOR / OBLIGATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
S			

It is agreed that the Contractor is an independent contractor and that nothing contained herein is intended or should be construed as creating or establishing a relationship of employment, agency, or a partnership.

The Contractor is solely responsible for fulfilling the contract. The Contractor or the Contractor's representative shall be the sole point of contact regarding all contractual matters.

The Contractor shall secure, at its own expense, all personnel required to perform the services under the contract. The personnel the Contractor uses to fulfill the contract shall have no contractual or other legal relationship with the State; they shall not be considered employees of the State and shall not be entitled to any compensation, rights or benefits from the State, including but not limited to, tenure rights, medical and hospital care, sick and vacation leave, severance pay, or retirement benefits.

By-name personnel commitments made in the Contractor's proposal shall not be changed without the prior written approval of the State. Replacement of these personnel, if approved by the State, shall be with personnel of equal or greater ability and qualifications.

All personnel assigned by the Contractor to the contract shall be employees of the Contractor or a subcontractor, and shall be fully qualified to perform the work required herein. Personnel employed by the Contractor or a subcontractor to fulfill the terms of the contract shall remain under the sole direction and control of the Contractor or the subcontractor respectively.

With respect to its employees, the Contractor agrees to be solely responsible for the following:

1. Any and all pay, benefits, and employment taxes and/or other payroll withholding;
2. Any and all vehicles used by the Contractor's employees, including all insurance required by State law;
3. Damages incurred by Contractor's employees within the scope of their duties under the contract;
4. Maintaining Workers' Compensation and health insurance that complies with State and Federal law and submitting any reports on such insurance to the extent required by governing law; and
5. Determining the hours to be worked and the duties to be performed by the Contractor's employees; and
6. All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination alleged against the Contractor, its officers, agents, or subcontractors or subcontractor's employees).

If the Contractor intends to utilize any subcontractor, the subcontractor's level of effort, tasks, and time allocation should be clearly defined in the bidder's proposal. The Contractor shall agree that it will not utilize any subcontractors not specifically included in its proposal in the performance of the contract without the prior written authorization of the State.

The State reserves the right to require the Contractor to reassign or remove from the project any Contractor or subcontractor employee.

Contractor shall insure that the terms and conditions contained in any contract with a subcontractor does not conflict with the terms and conditions of this contract.

The Contractor shall include a similar provision, for the protection of the State, in the contract with any subcontractor engaged to perform work on this contract.



B. EMPLOYEE WORK ELIGIBILITY STATUS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor is required and hereby agrees to use a federal immigration verification system to determine the work eligibility status of employees physically performing services within the State of Nebraska. A federal immigration verification system means the electronic verification of the work authorization program authorized by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, 8 U.S.C. 1324a, known as the E-Verify Program, or an equivalent federal program designated by the United States Department of Homeland Security or other federal agency authorized to verify the work eligibility status of an employee.

If the Contractor is an individual or sole proprietorship, the following applies:

1. The Contractor must complete the United States Citizenship Attestation Form, available on the Department of Administrative Services website at <http://das.nebraska.gov/materiel/purchasing.html>
 The completed United States Attestation Form should be submitted with the RFP response.
2. If the Contractor indicates on such attestation form that he or she is a qualified alien, the Contractor agrees to provide the US Citizenship and Immigration Services documentation required to verify the Contractor's lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program.
3. The Contractor understands and agrees that lawful presence in the United States is required and the Contractor may be disqualified or the contract terminated if such lawful presence cannot be verified as required by Neb. Rev. Stat. §4-108.

C. COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT / NONDISCRIMINATION (Statutory)

The Contractor shall comply with all applicable local, State, and Federal statutes and regulations regarding civil rights laws and equal opportunity employment. The Nebraska Fair Employment Practice Act prohibits Contractors of the State of Nebraska, and their subcontractors, from discriminating against any employee or applicant for employment, with respect to hire, tenure, terms, conditions, compensation, or privileges of employment because of race, color, religion, sex, disability, marital status, or national origin (Neb. Rev. Stat. §48-1101 to 48-1125). The Contractor guarantees compliance with the Nebraska Fair Employment Practice Act, and breach of this provision shall be regarded as a material breach of contract. The Contractor shall insert a similar provision in all subcontracts for services to be covered by any contract resulting from this RFP.

D. COOPERATION WITH OTHER CONTRACTORS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Contractor may be required to work with or in close proximity to other contractors or individuals that may be working on same or different projects. The Contractor shall agree to cooperate with such other contractors or individuals, and shall not commit or permit any act which may interfere with the performance of work by any other contractor or individual. Contractor is not required to compromise Contractor's intellectual property or proprietary information unless expressly required to do so by this contract.



E. PERMITS, REGULATIONS, LAWS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The contract price shall include the cost of all royalties, licenses, permits, and approvals, whether arising from patents, trademarks, copyrights or otherwise, that are in any way involved in the contract. The Contractor shall obtain and pay for all royalties, licenses, and permits, and approvals necessary for the execution of the contract. The Contractor must guarantee that it has the full legal right to the materials, supplies, equipment, software, and other items used to execute this contract.

F. OWNERSHIP OF INFORMATION AND DATA / DELIVERABLES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
			Sandata would like to delete the below language and replace it with the following: Per Federal Code 45 CFR § 95.617(a) regarding software and ownership rights, Sandata understands and acknowledges that the State of Nebraska will have all ownership rights in new software developed specifically for the Nebraska EVV program when designed, developed or installed with Federal financial participation. However, pursuant to 45 CFR 95.617(c), Sandata anticipates that, as a SAAS provider, the software and deliverables hereunder are provided at established market prices and are sold or leased to the general public and, therefore, no ownership would be conveyed. In addition, to the extent Sandata is required to convey ownership, Sandata would retain a perpetual, royalty free, irrevocable, transferable license on such work, including a right to create derivative works. Sandata would then retain exclusive ownership over such derivative work. <i>Rationale: The above CFR language applies to Sandata's SaaS product and is language that Sandata uses in every RFP submission.</i>

TO BE DELETED AND REPLACED WITH THE ABOVE LANGUAGE

The State shall have the unlimited right to publish, duplicate, use, and disclose all information and data developed or obtained by the Contractor on behalf of the State pursuant to this contract.

The State shall own and hold exclusive title to any deliverable developed as a result of this contract. Contractor shall have no ownership interest or title, and shall not patent, license, or copyright, duplicate, transfer, sell, or exchange, the design, specifications, concept, or deliverable.

G. INSURANCE REQUIREMENTS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

The Contractor shall throughout the term of the contract maintain insurance as specified herein and provide the State a current Certificate of Insurance/Acord Form (COI) verifying the coverage. The Contractor shall not commence work on the contract until the insurance is in place. If Contractor subcontracts any portion of the contract the Contractor must, throughout the term of the contract, either:



1. Provide equivalent insurance for each subcontractor and provide a COI verifying the coverage for the subcontractor;
2. Require each subcontractor to have equivalent insurance and provide written notice to the State that the Contractor has verified that each subcontractor has the required coverage; or,
3. Provide the State with copies of each subcontractor's Certificate of Insurance evidencing the required coverage.

The Contractor shall not allow any subcontractor to commence work until the subcontractor has equivalent insurance. The failure of the State to require a COI, or the failure of the Contractor to provide a COI or require subcontractor insurance shall not limit, relieve, or decrease the liability of the Contractor hereunder.

In the event that any policy written on a claims-made basis terminates or is canceled during the term of the contract or within six (6) years of termination or expiration of the contract, the Contractor shall obtain an extended discovery or reporting period, or a new insurance policy, providing coverage required by this contract for the term of the contract and six (6) years following termination or expiration of the contract.

If by the terms of any insurance a mandatory deductible is required, or if the Contractor elects to increase the mandatory deductible amount, the Contractor shall be responsible for payment of the amount of the deductible in the event of a paid claim.

Notwithstanding any other clause in this contract, the State may recover up to the liability limits of the insurance policies required herein.

1. WORKERS' COMPENSATION INSURANCE

The Contractor shall take out and maintain during the life of this contract the statutory Workers' Compensation and Employer's Liability Insurance for all of the contractors' employees to be engaged in work on the project under this contract and, in case any such work is sublet, the Contractor shall require the subcontractor similarly to provide Worker's Compensation and Employer's Liability Insurance for all of the subcontractor's employees to be engaged in such work. This policy shall be written to meet the statutory requirements for the state in which the work is to be performed, including Occupational Disease. **The policy shall include a waiver of subrogation in favor of the State. The COI shall contain the mandatory COI subrogation waiver language found hereinafter.** The amounts of such insurance shall not be less than the limits stated hereinafter. For employees working in the State of Nebraska, the policy must be written by an entity authorized by the State of Nebraska Department of Insurance to write Workers' Compensation and Employer's Liability Insurance for Nebraska employees.

2. COMMERCIAL GENERAL LIABILITY INSURANCE AND COMMERCIAL AUTOMOBILE LIABILITY INSURANCE

The Contractor shall take out and maintain during the life of this contract such Commercial General Liability Insurance and Commercial Automobile Liability Insurance as shall protect Contractor and any subcontractor performing work covered by this contract from claims for damages for bodily injury, including death, as well as from claims for property damage, which may arise from operations under this contract, whether such operation be by the Contractor or by any Subcontractor or by anyone directly or indirectly employed by either of them, and the amounts of such insurance shall not be less than limits stated hereinafter.

The Commercial General Liability Insurance shall be written on an **occurrence basis**, and provide Premises/Operations, Products/Completed Operations, Independent Contractors, Personal Injury, and Contractual Liability coverage. **The policy shall include the State, and others as required by the contract documents, as Additional Insured(s). This policy shall be primary, and any insurance or self-insurance carried by the State shall be considered secondary and non-contributory. The COI shall contain the mandatory COI liability waiver language found hereinafter.** The Commercial Automobile Liability Insurance shall be written to cover all Owned, Non-owned, and Hired vehicles.



REQUIRED INSURANCE COVERAGE		
COMMERCIAL GENERAL LIABILITY		
General Aggregate		\$2,000,000
Products/Completed Operations Aggregate		\$2,000,000
Personal/Advertising Injury		\$1,000,000 per occurrence
Bodily Injury/Property Damage		\$1,000,000 per occurrence
Medical Payments		\$10,000 any one person
Damage to Rented Premises (Fire)		\$300,000 each occurrence
Contractual		Included
Independent Contractors		Included
If higher limits are required, the Umbrella/Excess Liability limits are allowed to satisfy the higher limit.		
WORKER'S COMPENSATION		
Employers Liability Limits		\$500K/\$500K/\$500K
Statutory Limits- All States		Statutory - State of Nebraska
Voluntary Compensation		Statutory
COMMERCIAL AUTOMOBILE LIABILITY		
Bodily Injury/Property Damage		\$1,000,000 combined single limit
Include All Owned, Hired & Non-Owned Automobile liability		Included
Motor Carrier Act Endorsement		Where Applicable
UMBRELLA/EXCESS LIABILITY		
Over Primary Insurance		\$5,000,000 per occurrence
COMMERCIAL CRIME		
Crime/Employee Dishonesty Including 3rd Party Fidelity		\$1,000,000
CYBER LIABILITY		
Breach of Privacy, Security Breach, Denial of Service, Remediation, Fines and Penalties		\$10,000,000
MANDATORY COI SUBROGATION WAIVER LANGUAGE		
"Workers' Compensation policy shall include a waiver of subrogation in favor of the State of Nebraska."		
MANDATORY COI LIABILITY WAIVER LANGUAGE		
"Commercial General Liability & Commercial Automobile Liability policies shall name the State of Nebraska as an Additional Insured and the policies shall be primary and any insurance or self-insurance carried by the State shall be considered secondary and non-contributory as additionally insured."		

If the mandatory COI subrogation waiver language or mandatory COI liability waiver language on the COI states that the waiver is subject to, condition upon, or otherwise limit by the insurance policy, a copy of the relevant sections of the policy must be submitted with the COI so the State can review the limitations imposed by the insurance policy.

3. EVIDENCE OF COVERAGE

The Contractor shall furnish the Contract Manager, with a certificate of insurance coverage complying with the above requirements prior to beginning work at:

Department of Health and Human Services
 Division of Medicaid and Long-Term Care
 Attn: Delivery Services
 301 Centennial Mall, South
 P.O. Box 95026
 Lincoln, NE. 68509-5026

These certificates or the cover sheet shall reference the RFP number, and the certificates shall include the name of the company, policy numbers, effective dates, dates of expiration, and amounts and types of coverage afforded. If the State is damaged by the failure of the Contractor to maintain such insurance, then the Contractor shall be responsible for all reasonable costs properly attributable thereto.



Reasonable notice of cancellation of any required insurance policy must be submitted to the contract manager as listed above when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

4. DEVIATIONS

The insurance requirements are subject to limited negotiation. Negotiation typically includes, but is not necessarily limited to, the correct type of coverage, necessity for Workers' Compensation, and the type of automobile coverage carried by the Contractor.

H. ANTITRUST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>[Handwritten Initial]</i>			

The Contractor hereby assigns to the State any and all claims for overcharges as to goods and/or services provided in connection with this contract resulting from antitrust violations which arise under antitrust laws of the United States and the antitrust laws of the State.

I. CONFLICT OF INTEREST

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>[Handwritten Initial]</i>			

By submitting a proposal, bidder certifies that there does not now exist a relationship between the bidder and any person or entity which is or gives the appearance of a conflict of interest related to this RFP or project.

The bidder certifies that it shall not take any action or acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its services hereunder or which creates an actual or an appearance of conflict of interest.

The bidder certifies that it will not knowingly employ any individual known by bidder to have a conflict of interest.

The Parties shall not knowingly, for a period of two years after execution of the contract, recruit or employ any employee or agent of the other Party who has worked on the RFP or project, or who had any influence on decisions affecting the RFP or project.

J. STATE PROPERTY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>[Handwritten Initial]</i>			

The Contractor shall be responsible for the proper care and custody of any State-owned property which is furnished for the Contractor's use during the performance of the contract. The Contractor shall reimburse the State for any loss or damage of such property; normal wear and tear is expected.



K. SITE RULES AND REGULATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>g</i>			

The Contractor shall use its best efforts to ensure that its employees, agents, and Subcontractors comply with site rules and regulations while on State premises. If the Contractor must perform on-site work outside of the daily operational hours set forth by the State, it must make arrangements with the State to ensure access to the facility and the equipment has been arranged. No additional payment will be made by the State on the basis of lack of access, unless the State fails to provide access as agreed to in writing between the State and the Contractor.

L. ADVERTISING

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>g</i>			

The Contractor agrees not to refer to the contract award in advertising in such a manner as to state or imply that the company or its services are endorsed or preferred by the State. Any publicity releases pertaining to the project shall not be issued without prior written approval from the State.

M. NEBRASKA TECHNOLOGY ACCESS STANDARDS (Statutory)

Contractor shall review the Nebraska Technology Access Standards, found at <http://nitc.nebraska.gov/standards/2-201.html> and ensure that products and/or services provided under the contract are in compliance or will comply with the applicable standards to the greatest degree possible. In the event such standards change during the Contractor's performance, the State may create an amendment to the contract to request the contract comply with the changed standard at a cost mutually acceptable to the parties.

N. DISASTER RECOVERY/BACK UP PLAN

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>g</i>			

The Contractor shall have a disaster recovery and back-up plan, of which a copy should be provided upon request to the State, which includes, but is not limited to equipment, personnel, facilities, and transportation, in order to continue services as specified under the specifications in the contract in the event of a disaster. Also, please see the Business Continuity and Disaster Recovery Requirements as noted in Attachment A – RTM.



O. DRUG POLICY

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
G			

Contractor certifies it maintains a drug free work place environment to ensure worker safety and workplace integrity. Contractor agrees to provide a copy of its drug free workplace policy at any time upon request by the State.



IV. PAYMENT

A. PROHIBITION AGAINST ADVANCE PAYMENT (Statutory)

Payments shall not be made until contractual deliverable(s) are received and accepted by the State.

B. TAXES (Statutory)

The State is not required to pay taxes and assumes no such liability as a result of this solicitation. Any property tax payable on the Contractor's equipment which may be installed in a State-owned facility is the responsibility of the Contractor.

C. INVOICES

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:

Invoices for payments must be submitted by the Contractor to the agency requesting the services with a full report of the number of all participants who received services during the month and full calculations for invoiced amount, to support payment. Invoices should be submitted to: DHHS EVV Vendor Management, 301 Centennial Mall, NSOB5, Lincoln, NE, 68509. The terms and conditions included in the Contractor's invoice shall be deemed to be solely for the convenience of the parties. No terms or conditions of any such invoice shall be binding upon the State, and no action by the State, including without limitation the payment of any such invoice in whole or in part, shall be construed as binding or estopping the State with respect to any such term or condition, unless the invoice term or condition has been previously agreed to by the State as an amendment to the contract.

D. INSPECTION AND APPROVAL

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
			Sandata would like to add the following sentence: The state shall not inspect/evaluate without providing Sandata with advance written notice and such inspection and evaluation shall occur no more than once per year. <i>Rationale: Sandata may be subject to inspection under various contracts and we would want notice to coordinate such inspection. The annual limit for inspection is fairly standard language.</i>

Final inspection and approval of all work required under the contract shall be performed by the designated State officials.

The State and/or its authorized representatives shall have the right to enter any premises where the Contractor or Subcontractor duties under the contract are being performed, and to inspect, monitor or otherwise evaluate the work being performed. All inspections and evaluations shall be at reasonable times and in a manner that will not unreasonably delay work.

E. PAYMENT

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
			Sandata respectfully rejects the payment terms for the final implementation milestone and proposes the below alternate language. J. DELIVERABLES Percentages for Implementation Milestones would include below billing



			milestones, with specified deliverables tied to each milestone: Design Milestone: 20% of Implementation fees. Development Milestone: 20% of Implementation fees. Production Milestone: 60% of Implementation fees R3 Milestone Completion: 0% of Implementation fees. <i>Rationale: Work is being performed by Contractor with the approval of the State as set forth in the Project Plan, which incurs real costs and the completion of milestones as accepted by the State represents fulfillment of such services at which time payment should be rendered.</i>
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State will render payment to Contractor when the terms and conditions of the contract and specifications have been satisfactorily completed on the part of the Contractor as solely determined by the State. (Neb. Rev. Stat. Section 73-506(1)) Payment will be made by the responsible agency in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2401 through 81-2408). The State may require the Contractor to accept payment by electronic means such as ACH deposit. In no event shall the State be responsible or liable to pay for any services provided by the Contractor prior to the Effective Date of the contract, and the Contractor hereby waives any claim or cause of action for any such services.

F. LATE PAYMENT (Statutory)

The Contractor may charge the responsible agency interest for late payment in compliance with the State of Nebraska Prompt Payment Act (See Neb. Rev. Stat. §81-2401 through 81-2408).

G. SUBJECT TO FUNDING / FUNDING OUT CLAUSE FOR LOSS OF APPROPRIATIONS

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
<i>g</i>			

The State's obligation to pay amounts due on the contract for any fiscal years following the current fiscal year is contingent upon legislative appropriation of funds. Should said funds not be appropriated, the State may terminate the contract with respect to those payments for the fiscal year(s) for which such funds are not appropriated. The State will give the Contractor written notice thirty (30) calendar days prior to the effective date of termination. All obligations of the State to make payments after the termination date will cease. The Contractor shall be entitled to receive just and equitable compensation for any authorized work which has been satisfactorily completed as of the termination date. In no event shall the Contractor be paid for a loss of anticipated profit.

H. RIGHT TO AUDIT (First Paragraph is Statutory)

Accept (Initial)	Reject (Initial)	Reject & Provide Alternative within RFP Response (Initial)	NOTES/COMMENTS:
		<i>g</i>	Sandata would like to add the following sentence: The State shall not audit Sandata more than once per year. <i>Rationale: The annual limit for inspection is fairly standard language.</i>

The State shall have the right to audit the Contractor's performance of this contract upon a 30 days' written notice. Contractor shall utilize generally accepted accounting principles, and shall maintain the accounting records, and other records and information relevant to the contract (Information) to enable the State to audit the contract. The State may audit and the Contractor shall maintain, the Information during the term of the contract and for a period of five (5) years after the completion of this contract or until all issues or litigation are resolved, whichever is later. The Contractor shall make the Information available to the State at Contractor's place of business or a location



acceptable to both Parties during normal business hours. If this is not practical or the Contractor so elects, the Contractor may provide electronic or paper copies of the Information. The State reserves the right to examine, make copies of, and take notes on any Information relevant to this contract, regardless of the form or the Information, how it is stored, or who possesses the Information. Under no circumstance will the Contractor be required to create or maintain documents not kept in the ordinary course of contractor's business operations, nor will contractor be required to disclose any information, including but not limited to product cost data, which is confidential or proprietary to contractor.

The Parties shall pay their own costs of the audit unless the audit finds a previously undisclosed overpayment by the State. If a previously undisclosed overpayment exceeds one-half (0.5%) of one percent of the total contract billings, or if fraud, material misrepresentations, or non-performance is discovered on the part of the Contractor, the Contractor shall reimburse the State for the total costs of the audit. Overpayments and audit costs owed to the State shall be paid within ninety (90) days of written notice of the claim. The Contractor agrees to correct any material weaknesses or condition found as a result of the audit.

G. RESPONSES TO ATTACHMENT A - RTM

Please refer to the following pages for our response to all Attachment A - RTM requirements.

Attachment A

Electronic Visit Verification Requirements Traceability Matrix (RTM)

The Requirements Traceability Matrix (RTM) is used to document and track the project's solution requirements from the proposal through to testing to verify that each requirement has been completely fulfilled. The Contractor will be responsible for maintaining the set of Baseline Solution Requirements directly related to the configuration of the EVV System. Additions, modifications, and deletions to these requirements will be added and modified throughout the project so it is imperative that a current version of the matrix be maintained at all times.

Bidders to provide an initial RTM as part of its proposal. The Bidder should follow the instructions below. The Bidder must respond to requirements exactly as they are provided in this RFP. The Bidder should indicate how it will achieve full compliance (i.e., requirement fulfilled 100%).

Bidders are required to provide a response, using the appropriate codes provided in the tables below, for each requirement listed in the Functional Requirements Response Matrix below.

Ability Code	Condition	Description
S	Standard Function	The Solution fully satisfies the requirement as stated. Describe how the requirement is satisfied by the Solution.
W	Workflow or System Configuration Required	Current functionality of the Solution exists in the Solution and can be modified by a system administrator to meet this requirement. Describe how the requirement will be satisfied.
M	Modification Required	The Solution requires a modification to existing functionality to meet this requirement which requires a source code modification. The Solution will be modified to satisfy the requirements as stated or in a different format. Describe the modifications. Include an estimate of its impact or severity if not compliant, and the steps necessary to close the gap and achieve full compliance with the requirements. For system and/or product features that will support the requirement and close the gap, provide an estimated date when the capability will be available as part of the Bidder's baseline capability.
F	Planned for Future Release	This functionality is planned for a future release. Describe how the requirement will be satisfied by the Solution and when the release will be available.
C	Custom Design and Development	The Solution requires new functionality to meet this requirement which requires a source code addition. Describe the feature and its value. If the custom design and development requires 1000 or more hours, provide an assessment of the requirement gap, including an estimate of its impact or severity if not compliant, and the steps necessary to close the gap and achieve full compliance. For system and/or product features that will support the requirement and close the gap, provide an estimated date when the capability will be available as part of the Bidder's baseline capability.
N	Cannot Meet Requirement	The Solution will not satisfy the requirement. Provide an assessment of the requirement gap, including an estimate of its impact or severity if not compliant, and the steps necessary to close the gap and achieve full compliance. For system and/or product features that will support the requirement and close the gap, provide an estimated date when the capability will be available as part of the Bidder's baseline capability.
O	Other Software	If the requirement is to be satisfied through the use of a separate software package(s), identify those package(s) and describe how the functionality is integrated into the base system

Bidder's Response:

G.1 General Solution Requirements:

Describe how the bidder's solution will provide an Solution - including the business, information, and capabilities and functionality necessary for a full state implementation. This will also include training and support, documentation and implementation, operation, and maintenance activities. Solution should take advantage of open standards to support interoperability, real-time bi-directional exchange of data where feasible, efficient maintenance and upgrades, and interface with the heterogeneous technology environment of home care provider organizations. Solution to be flexible to meet the needs of multiple programs and services, which may change over time due to state or federal regulatory or policy changes, or the additional of additional programs.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
1	GS.1	Solution must be configurable to meet multiple programs and services, and flexible for subsequent addition of services and/or programs which may have different policies, procedures, business rules and benefit packages. Must be done in a manner that distinguishes services, eligibility groups and responsible payors as programs, waivers and services are subject to change throughout the contract.	Describe how the solution is configurable to serve multiple programs or services which have different policies, procedures, business rules and benefit packages (i.e., State Plan, specific HCBS waivers, etc.). Describe how this will be done in a manner that distinguishes services, eligibility groups, and responsible payors (Medicaid fee-for-service, Medicaid Managed Care organization, or other DHHS-contracted entity).	N/A	S	

Bidder's Response:

Sandata EVV is highly configurable to ensure we can tailor our solution to meet our client's unique needs without requiring full customization and/or software development. In all of our state implementations we have encountered and successfully met the requirement to support multiple payers, programs, and services with different policies, procedures, and reimbursement rates. As a best practice, Sandata encourages DHHS to set configurations and business rules at the program level, ensuring that all EVV activities are uniform across a specific program.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
2	GS.2	Solution must support a phased approach to deploying the solution for specific programs, services or provider-delivered EVV data.	Describe how the solution can support a phased approach to deploying the solution for specific programs, services or provider-delivered EVV data.	N/A	S	

Bidder's Response:

Sandata is flexible in our implementation approach, and we have deployed our solution in other states using a phased approach. The most common phased approach to launch the system and deploy a 'soft launch' where providers begin using their EVV system as soon as they are trained, recognizing that providers will receive training and adopt EVV over a staggered timeframe. This can allow extra time for providers and

their caregivers ‘get used to using EVV’ prior to mandatory use of the EVV system, and can make for a much better EVV launch experience for all. DHHS will see that our draft Implementation project plan recommends this soft launch implementation strategy.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
3	GS.3	Solution should allow Nebraska to take full advantage of national best practices and technological advances in: <ol style="list-style-type: none"> EVV systems; Uses of EVV data; Functionality; Mobile technology; Interoperability. 	Describe how the solution allows Nebraska to take full advantage of national best practices and technological advances in EVV systems, uses of EVV data, functionality, mobile technology and interoperability. Provide a functional and technical road map of the solution if available.	N/A	S	

Bidder's Response:

Sandata is the leading EVV vendor for statewide programs. As an innovator in the market, we were an early provider of a mobile application to capture visit information at the point of care; we are the first to deploy an EVV aggregator system; we are the first to offer ADA Section 508 compliant solutions as evidenced by our VPAT; and we are the first EVV vendor to become CMS Certified. Our IT and Product Development teams stay in the forefront of the latest technologies, industry trends, and stakeholder concerns.

Our functional and technical roadmap can be found in Attachment 9b.

THE PRODUCT ROADMAP IS CONFIDENTIAL INFORMATION THAT IS EXEMPT FROM PUBLIC DISCLOSURE PURSUANT TO Neb. Rev.Stat. §84-712.05(3)

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
4	GS.4	The solution should accommodate customer preferences for communications by email, text, mobile devices, or phones.	Describe how solution provides customer preferences for communications for all communication forms listed in the requirement.	S&C.BRC.5	S	

Bidder's Response:

Sandata has addressed this requirement via our standard alerts for late or missed visits, as well as our communication and outreach strategy.

Sandata EVV offers multiple escalating alerts available by email, text, and via our Sandata EVV Web portal. Alerts are sent to providers to ensure gaps of care are addressed in real time.

Sandata provides ongoing outreach and communications through a variety of channels for all stakeholders including email, web site information, webinars, participation in town halls, etc.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
5	GS.5	The solution should automate business processes and implement a series of automation processes to load data on a regular basis from different data sources.	Describe how solution uses a mix of manual and automated business processes. Provide functional and technical road map of the solution if available.	TA.BPM.4	S	

Bidder's Response:

Sandata is an expert in automated data interfaces for EVV to reduce the possibilities of human errors often associated with data entry, and always recommends automated data fees over manual data entry where possible. During implementation, Sandata will work with DHHS to determine the system(s) of record and appropriate frequency for each data interface. We can also allow data elements to be provided manually by the EVV portal user. For example, one state client required a diagnosis code for the 837 claims submission but was unable to provide the code via a data fee, so Sandata required the diagnosis code to be input by the provider on the EVV portal, and configured the system and trained providers to ensure success. Sandata has the data and interface experience to ensure a smooth exchange of data between Sandata EVV and the DHHS systems. Please refer to Attachment 9b for a functional and technical roadmap of the solution.

THE PRODUCT ROADMAP IS CONFIDENTIAL INFORMATION THAT IS EXEMPT FROM PUBLIC DISCLOSURE PURSUANT TO Neb. Rev.Stat. §84-712.05(3)

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
6	GS.6	The solution should accept the national provider identifier in all standard electronic transactions mandated under HIPAA.	Describe how the solution accepts the national provider identifier in all standard electronic transactions mandated under HIPAA.	IA.DS.14	S	

Bidder's Response:

Our solution accepts and stores the 10-digit NPI for home care providers. This ID is received via electronic transfer of provider data from DHHS. We can also house IDs for individual providers within the EVV system.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
7	GS.7	The solution should provide member and provider access to services via browser,	Describe how solution provides member and provider access to services via	TA.CS.14	S	

	voice response solution, or mobile device, and manual submissions.	browser, voice response, or mobile device, and manual submissions.			
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Bidder's Response:

As described in detail to our response to Section 3 Technical Considerations, Sandata's offering includes all of the following:

- **Sandata EVV:** Software as a Service web portals for providers and participant/family users to view and manage service delivery. Sandata EVV uses roles-based access for each user type, and allows users with appropriate permissions to review visits, make corrections, approve visits, and run operational reports. Sandata EVV includes the following modules:
 - **Sandata Scheduling:** Allows users to create and adjust schedules and also provides real-time and multi-level escalating alerts for late and missed visits. Sandata Scheduling is configurable and can be turned on or off for different programs (i.e. used for provider agencies but not required for self-directed services).
 - **Visit Verification:** Sandata's Assured Coverage™ offers multiple technologies to ensure that visit verification at the point of care captures all required 21st Century Cures data elements including:
 - **Sandata Mobile Connect® (primary method)** – An easy to use, HIPAA-compliant mobile application that captures visit data at the point of care. Sandata Mobile Connect can operate in a disconnected environment allowing for the capture of visit data even if a cellular connection is not available.
 - **Sandata Telephonic Visit Verification™ (“TVV™”) (alternate method)** – Automatic Number Identification (“ANI”) technology is used to validate telephone calls from the participant's identified phone number(s) to record visit data.
 - **Fixed Visit Verification™ (“FVV™”) (alternate method)** – A patented technology alternative to verify visits when no landline or cellular device is available.
- **Sandata Billing:** Comprehensive billing module configured to the DHHS 837 Companion guide that allows providers to electronically submit claims for properly verified visits.
- **Sandata Aggregator:** A vendor agnostic EVV Aggregator module that accepts data from any approved provider EVV system and applies standardized business rules to normalize all program data, regardless of source system.
- **Sandata Consumer Directed Care Suite:** Roles-based access for self-directed participants, caregivers and fiscal agent(s) to view, make corrections, and approve visits per program rules.

- **Sandata Jurisdictional View with Sandata Business Intelligence (“Sandata BI”):** Reporting access for DHHS with powerful management tools, dashboards and reports to give real time insight into the delivery of care.
- **Data Integration:** Robust data interface capabilities to intake data in batch or real time frequencies including: prior authorizations, participants, providers, and caregivers. Sandata EVV also exports data to support the DHHS Data Warehouse.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
8	GS.8	The solution should fully comply with section 508 accessibility. www.section508.gov	Describe how the solution fully complies with Section 508 accessibility requirements.	TA.CS.18	S	

Bidder's Response:

We ensure that electronic information and services, including but not limited to our Sandata EVV and Sandata Mobile Connect, comply with modern accessibility standards such as section 508 guidelines, section 504 of the Rehabilitation Act, and W3C's Web Content Accessibility Guidelines (WCAG) 2.0 AA and successor versions. An independent third-party vendor, TestPros, Inc., conducts annual independent testing of our applications to ensure we are always 508 compliant. We would be happy to share results from these reports, upon request.

The Sandata Mobile Connect application supports ADA compliance including the following:

- An on-screen virtual keyboard may be used to enter input data in data entry fields.
- Accessibility features (when enabled via the Settings menu in the MEmu Android 5.1 emulator) such as text content, text input caret location, and text attributes that make text information easier to read for users who may be visually impaired.
- A zooming feature and large text when the accessibility feature is enabled in the Settings menu.
- Support for a number of off-the-shelf headphones and speaker devices to support the visually impaired. The user merely plugs in his/her headphones into the cell phone's headphone jack.
- When the talk back accessibility feature is turned on via the accessibility settings on the device, tapping on the field elements and icons will trigger the functionality of the device reading the text element back to you.
- Fields that require field entry by the user which include Company ID, Username, Password, Client search field, etc. will also be read by the device when the talkback accessibility feature is turned on the device.
- Sandata Mobile Connect does not require user hearing nor user speech for access to any functionality, making it an ideal solution for the hearing or speech impaired.
- Focus in edit boxes is supported for data entry by way of a blinking cursor. Focus for other on-screen elements and controls, such as buttons and icons, is visible when used in concert with a compatible screen reader when the element is tapped once (tapping twice executes the command).

- User selected contrast and color selections and other participant display attributes are available.
- All graphic elements are programmatically tagged with ALT text so that they can be read by a screen reader. List of elements tagged with ALT text include:
 - Login Screen: Show Password padlock icon: Tagged with alt text 'Make Password Visible'; Hide Password padlock icon: Tagged with alt text 'Make Password Hidden';
 - Client Search Screen: Client search magnifying icon: Tagged with alt text "Enter search criteria here";
 - Start Visit Popup: Blue clock icon on Start Visit popup: Tagged with alt text "Start Visit";
 - Complete Visit Popup: Blue clock icon on Complete Visit popup: Tagged with alt text "Complete Visit";
 - Session Expiration Prompt: Blue Clock icon on session expiration: Tagged with alt text "session is about to expire";
 - Main Menu (Hamburger Icon): Menu icon: Tagged with alt text 'Menu';
 - Sign out button: Sign out button: Tagged with alt text 'Logout';
 - Client Voice Record button and Playback button: Red voice record button: Tagged with alt text "record"; Voice record playback button: Tagged with alt text "Play voice recording";
 - Client Verification submitted checkmark icon: Tagged with alt text 'client verification submitted'; and
 - Account disabled locked icon (Too many failed login attempts): Tagged with alt text 'Account locked'.
- When bitmap images are used to identify controls, status indicators, or other programmatic elements, the meaning assigned to those images is consistent throughout the application. Sandata Mobile Connect, when used in conjunction with Assistive Technology such as a compatible screen reader (e.g., Google TalkBack), supports the ability to access the information, field elements and functionality required for completion and submission of electronic forms, including all directions and cues.
- Support for timed responses is achieved by alerting the user and giving sufficient time to indicate more time is required via the Continue button of the Session Expiration screen of the mobile application. Application timeout and idle warning timeout functionality is configurable by program.
- Use of the application does not require fine motor skills as the current swift key default keyboard has arrow key capabilities to navigate through the fields in the login screen.

All Sandata EVV portals are also ADA compliant. The portals offer:

- Text equivalents for images, audio, and other forms of multimedia;
- Time-based media including audio, video and captioning for hard of hearing populations where applicable;
- Content that can be presented in different ways to accommodate meaningful sequence;
- Distinguishable content through use of color, context or markup, and audio control to make it easier for users to see and hear content;
- Keyboard accessible functionality;
- Enough/extended time for users to read and use content;
- Easy navigation to find content;
- Content that is readable and understandable;
- Predictability in how web pages appear and operate;

- Input assistance to help users avoid and correct mistakes; and
- Compatibility with assistive technologies such as Jaws Readers, etc.

G.2 Electronic Visit Verification Requirements

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
9	EVV.1	Solution must use a primary method that will be used to collect visit verification data as well as alternatives depending on the participant, location and caregiver. Each method must ensure accurate data collection of visit verification data elements.	Describe the primary method that will be used to collect visit verification data. Explain how the solution will ensure accurate data collection of visit verification data elements. Be specific about the technology and how the solution will meet the requirements for data collection.	N/A	S	

Bidder's Response:

Sandata recommends using our Sandata Mobile Connect application as the primary verification method since it supports visit verification in both a connected and disconnected mode. Across our payer business, over 60% of all visits are captured with Sandata Mobile Connect.

Sandata Mobile Connect and our other visit verification options capture the required Cures compliant data elements:

- Check in and check out dates and times;
- Caregiver ID;
- Participant ID;
- Service(s) performed; and
- Location.

Additional data elements may be required, optional, or removed based on program requirements. Sandata's alternate point of care EVV solutions also capture all of the required visit verification data points. Please refer to our response to Section 3 Technical Overview for additional information.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
10	EVV.2	Solution should provide capability for providers to submit the necessary verification information via alternate methods, should the primary mode of	Describe the alternate method that will be used to collect visit verification should the primary mode of submission be out of	PE.PI1.27	S	

		submission be out of service. (For example, if a handheld device is not working properly, the provider is able to phone in the visit information or submit it via a website portal.)	service or not viable in that location. Be specific about the technology and how the technology will meet the requirements to ensure accurate data collection.			
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Bidder's Response:

As described in detail in our solution overview in Section Three Technical Overview, in addition to the primary verification method (Sandata Mobile Connect), we offer two other options:

- Sandata Telephonic Visit Verification (TVV); and
- Sandata Fixed Visit Verification (FVV).

Each of these options captures all of the required data elements.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
11	EVV.3	The solution should have the capability to require providers to attest to the presence of hard copy documentation for any manual visit verification.	Describe how the solution can require providers to attest to the presence of hard copy documentation for any manual visit verification or manual updates.	PE.PI1.26	S	

Bidder's Response:

If a visit correction or manual visit verification is performed, the user is required to attest to the presence of hard copy documentation during the entry of the manual visit. The system can also be configured to require a reason code for visit corrections and manual visits.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
12	EVV.4	The solution should verify visit components within program requirements when the caregiver initiates the visit verification. Each visit initiated through the EVV module will be captured, whether or not the visit is verified.	Describe how the solution has the ability to verify components within the program requirements when the caregiver initiates the visit verification, whether it is verified or not.	PE.PI1.25	S	

Bidder's Response:

All of the visit information is captured in the system at the point of care and is automatically verified as the visit capture is taking place. For example, if a caregiver clocks in to initiate the start of a visit, Sandata EVV records the start of the visit, the location of the visit, the identity of the participant, and the identity of the caregiver. If required data is missing, or if the caregiver does not clock out, the visit is placed in an exception status and will not be verified until the required data elements are corrected.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID		Gap Description and Recommendation for Closure
13	EVV.5	Solution must allow multiple caregivers and/or agencies to provide services to a client/participant on the same day, either at the same time or at different times of that day.	Describe how the solution will allow multiple caregivers and/or agencies to provide services to a client/participant on the same day, either at the same time or at different times of that day. Describe how any concurrent services will be evaluated for billing purposes.	N/A	S	

Bidder's Response:

Sandata EVV supports multiple caregivers and or agencies to provide services to a participant on the same day, either at the same time or at different times of that day in accordance with program rules. Each caregiver will be required to clock in and out of the system to record the required visit data.

Services will be evaluated for billing purposes in accordance with the state's 837 companion guide. For example, if two unique billing providers deliver care to the same participant, each billing provider will submit a separate claim. If the same billing provider delivers care to same participant on the same day, the services may be rolled up into a single claim if program business rules allow or each service can be billed separately. The exact rules for configuration are defined as part of the implementation process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
14	EVV.6	Solution must allow a caregiver and/or agency to record visits to multiple clients/participants on the same day.	Describe how the solution will allow a caregiver and/or agency to record visits to multiple clients/participants on the same day.	N/A	S	

Bidder's Response:

Sandata EVV allows a caregiver and/or agency to record visits to multiple participants on the same day. The caregiver will be required to clock in and out for each unique participant visit.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
15	EVV.7	Solution must allow for multiple service delivery locations to be included within a single visit.	Describe how the solution allows for multiple service delivery locations to be included within a single visit.	N/A	S	

Bidder's Response:

Sandata EVV supports multiple service delivery locations to be included within a single visit. For example, the visit can start in the home and end in the community, and location will be recorded in each instance. In accordance with the latest CMS guidance issued in August 2019, Sandata EVV also supports recording the start or end of a visit with the designation of "Home" or "Community".

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
16	EVV.8	Solution must allow a caregiver and/or agency to provide services to a group of members in a single visit.	Describe how the solution will allow a caregiver and/or agency to provide services to a group of members in a single visit.	N/A	S	

Bidder's Response:

Sandata EVV supports group visit functionality to capture visits when one or more caregivers are providing to one or more participants at the same time. For example, using Sandata Mobile Connect, the caregiver adds the first participant, chooses the service from the drop down menu, and selects "Start Group Visit". See Figure 23.



Figure 23. Caregivers can select an unlimited number of participants for a group visit and record start and end times

At the end of the visit, the caregiver completes the visits within a group individually or together as a group (if the check-out process is the same for all clients). See Figure 24.

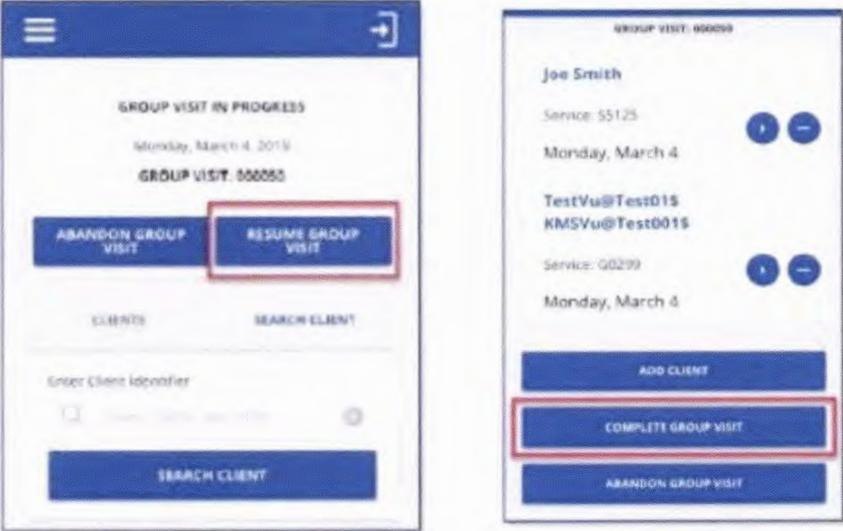


Figure 24. To check-out, the caregiver simply presses resume group visit and then complete group visit within the Sandata Mobile Connect application.

For Sandata TVV, the IVR is scripted instructing the caregiver to “Press 1” to start a Group Visit. The caregiver can then enter in an unlimited number of client IDs to start the visit. Similarly a group visit code is generated which is entered in during check-out for each client receiving services within that group. Clients can receive care during the visit according to their needs, the visit does not need to start or end at the same time.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
17	EVV.9	Solution must allow a visit to span calendar days.	Describe how the solution will allow a visit to span calendar	N/A	S	

	days.	
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Bidder's Response:

Sandata EVV allows the caregiver to start a visit on one day by clocking in, and then clocking out of the visit on the following day. Sandata does not allow for a single visit to span more than 24 hours.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
18	EVV.10	Solution must accommodate self-directed and non-self-directed options.	Describe how the solution will accommodate self-directed and non-self-directed options.	N/A	S	

Bidder's Response:

As described in our solution overview in Section Three Technical Overview, Sandata EVV includes solutions for provider agencies and our Sandata Consumer Direct Care Suite for self-directed programs. Sandata EVV supports flexible configurations for each program. For example, one of the most common configurations is to require providers to schedule all visits, while turning off the scheduling option for self-directed users.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
19	EVV.11	Solution must assign a single, unique identifier to each EVV visit regardless of the number of activities/tasks associated with a visit.	Describe how the solution will assign a single, unique identifier to each EVV visit regardless of the number of activities/tasks associated with a visit.	N/A	S	

Bidder's Response:

Each record in Sandata EVV is assigned a unique identifier that can be used to search and retrieve the information. Sandata utilizes both natural keys and assigned identifiers on each object to ensure that data can be identified and tracked. Examples of natural keys include provider and participant Medicaid IDs. Each visit record is assigned a unique identifier as it is created in the system.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
20	EVV.12	Solution must allow participants or their personal representatives access to a web portal to verify visits. Solution must provide alternative options available for those who cannot access the web portal to verify visits.	Describe how the solution will allow participants or their personal representatives access to a web portal to verify visits. Describe alternative options available in solution for those who cannot	N/A	S	

access the web portal to verify visits.

Bidder's Response:

Participants/personal representatives have three options to verify visits:

- 1) Consumer Direct Participant Portal;
- 2) Participant signature via Sandata Mobile Connect; and
- 3) Participant verification via Sandata TVV.

Participants or their personal representatives can view and approve visits using the Sandata Consumer Portal. For participants who cannot access the web portal, Sandata Mobile Connect and TVV support participant/representative verification at the point of care. Sandata Mobile Connect allows for participants/personal representatives to provide an electronic signature or voice recording verifying receipt of care at the end of each visit on the mobile application.

Sandata TVV includes participant/personal representative approval of the service and visit via the system's Interactive Voice Response feature, during the checkout process. The participant states their name and the date of the visit. The participant presses 1 if they would like to approve the visit clock in and out and duration, 2 to deny or 3 to replay. Finally, The participant presses 1 if they would like to approve the service delivered, 2 to deny or 3 to replay.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
21	EVV.13	Solution must provide for manual visit verification functionality in instances where the electronic verification is not made. Solution must be configurable to define and limit the circumstances when a manual verification can be made.	Describe how the solution provides for manual visit verification functionality in instances where the electronic verification is not made. Describe how the solution can be configurable to define and limit the circumstances when a manual verification can be made.	N/A	S	

Bidder's Response:

The Sandata EVV Web Portal supports manual visit correction and verification if the electronic verification is not completed at the point of care. Sandata EVV is configured to define when a visit may be manually entered, however, Sandata does not limit the number of edits to any given visit but can limit how far back in time a visit can be edited. Sandata does record a complete audit trail of all edits made on every visit.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
22	EVV.14	Solution must require authorized users to enter a reason for each modification or manual entry of verification data.	Describe how the solution requires authorized users to enter a reason for each modification or manual entry of verification data.	N/A	S	

Bidder's Response:

All manually entered visit data is tracked with a full audit trail and reason codes (which are fully customizable) as well as reason/resolution codes (required for CMS Certification) to support why manual entry has occurred.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
23	EVV.15	Solution must allow authorized users the ability to modify verification data understanding that manual verification parameters may vary between programs and services.	Solution must allow authorized users the ability to modify verification data understanding that manual verification parameters may vary between programs and services.	N/A	S	

Bidder's Response:

Sandata EVV supports configuring different modifications to verification data (called exceptions in our solution) at the service level. Sandata Care Exceptions are configurable and may be set as required, meaning the missing data must be corrected before the visit can move to the next step in the workflow, or simply require acknowledgement, meaning the visit has been recorded and the exception noted, but the visit is eligible to move to the next step in the workflow. Exact exception configuration will be determined during the implementation process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
24	EVV.16	Solution must allow authorized users to enter approved service locations to be associated to each participant for verification purposes.	Describe how the solution allows authorized users to enter approved service locations to be associated to each participant for verification purposes.	N/A	S	

Bidder's Response:

As a best practice Sandata recommends that all participant data, including location, is sent to us via a data feed from the system of record for participant data. However, Sandata EVV can also be configured to allow authorized users to add additional service locations via the web portal.

Sandata will provide DHHS with both the system of record location, as well as any incremental locations on the program data extract.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
25	EVV.17	Solution must compare all EVV transactions requiring a service authorization against the corresponding service authorizations to ensure the EVV transaction complies with the constraints of the authorization.	Describe how the solution compares all EVV transactions requiring a service authorization against the corresponding service authorizations to ensure the EVV transaction complies with the constraints of the authorization.	N/A	S	

Bidder's Response:

Authorizations are used to associate participants to the appropriate provider and Sandata EVV checks activity against the authorization when the schedule is created, and again prior to submittal of the claim. Any schedule without a valid authorization is placed in a conflict status (there is no authorization to support the schedule/visit) and cannot be transmitted to the caregiver. Any visit without a valid authorization is unable to be billed and is placed in a hold status.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
26	EVV.18	Solution must ensure that each approved service location includes, at a minimum, the street address, city, state, zip code, begin date, and end date.	Describe how the solution ensures that each approved service location includes, at a minimum, the street address, city, state, zip code, begin date, and end date.	N/A	S	

Bidder's Response:

Each service location includes the street address, city, state and zip code. Sandata records the date the service location was added (begin date) and when it was marked as no longer in use (end date). Sandata EVV keeps a full audit trail when locations are added and removed.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
27	EVV.19	Solution must verify location of services delivered. Solution must allow locations where there are multiple participants in the same geo-	Describe how solution verifies location, regardless of location type. If the solution utilizes GPS, describe how the solution	N/A	S	

		<p>fence, such as apartment buildings, or identify the location of service in rural areas where the mailbox address (and GPS location) and the residence itself may be some distance apart.</p>	<p>includes the ability to determine caregiver is at the approved participant's location at the time the service is occurring. Describe the size of the 'geo-fence' and how the Solution deals with locations where there are multiple participants within the same geo-fence, such as apartment buildings, or identify the location of service in rural areas where the mailbox address (and GPS location) and the residence itself may be some distance apart. If proposing a solution with GPS, describe how the solution addresses spoofing applications.</p>			
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Bidder's Response:

Sandata EVV visit verifications capture of location of care as follows:

- Sandata Mobile Connect uses GPS technology to capture visit location. GPS coordinates are only captured during check in and check out, verifying the caregiver is present at the location at the start and end of each visit. Sandata Mobile Connect has configurable geo-fencing. A geo-fence is applied to all address locations associated with the participant record and the application verifies whether the check in/out locations are within any of the participant's geo-fences. Since each participant has their own set of locations, having multiple participants with the same location isn't an issue. The Sandata Mobile Connect application will not start unless location services are enabled on the device which is needed for GPS capture. We also identify devices that have been Jailbroken and prevent application login. Jailbreaking a device is generally necessary to change the device's GPS behavior. We have a team of Mobile experts and a security team who monitor various trends in the mobile market to ensure that we continue to enhance our application to prevent spoofing.
- Sandata TVV uses valid and acceptable phone numbers for each participant to verify location. Each service location can be assigned up to four phone numbers. Sandata TVV uses ANI technology to validate the phone number where the call originates. If the number called from does not match to a pre-loaded and acceptable phone number(s) for the participant, it is automatically flagged for further review as an exception.
- Sandata's Fixed Visit Verification devices collect electronic visit verification data when telephone and mobile visit verification are not available at the participant's home. In these cases, providers request an FVV device for a participant. Once the device is requested and approved, the device is registered to the participant and we recommend it be fixed to the participant's location. We assume one device per participant.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
28	EVV.20	Solution must capture, track and verify data with respect to personal care services	Describe how solution will capture all the data elements	PE.PI1.22	S	

	or home health services, including: 1. Type of service performed; 2. Individual receiving the service; 3. Date(s) of service; 4. Location of service delivery; 5. Individual providing the service; and 6. Time the service begins and ends.	necessary to verify a visit, including all elements listed.			
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Bidder's Response:

Sandata EVV captures all Cures required elements:

- **Type of Service:** When a caregiver checks in for a visit, the service that is associated with the schedule/authorization is automatically captured and does not need to be re-entered at the time of the visit. For visits where a schedule is not present (for example, in self-direct programs), caregivers can enter in a valid service code at check in.
- **Individual receiving the service:** The individual receiving service is automatically captured during the check-in process.
- **Date of the service:** All Sandata EVV visits specify a date of service. For mobile, telephony and fixed visits it is the date the visit is recorded, since the visit is recorded real-time. For manually entered visits via the portal, the date of service is an enterable field by the provider to allow retroactive visit entry and any associated modifications.
- **Location of the service delivery:** Sandata EVV is highly configurable and the system captures the location of care, compares that location to a valid location(s) on the participant record, and the system can flag service locations that do not match the participant's location(s) as informational exceptions or exceptions that must be corrected depending on program rules.
- **Individual providing the service:** During the clock in and clock out process, the caregiver enters their login credentials (Sandata Mobile Connect) or their login ID into the telephony system. This information is compared to the staff record to record staff identity.
- **Time the service begins and ends:** The exact time the service starts and ends is automatically captured on each check-in/out and not editable at the time of the visit.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
29	EVV.21	Solution must allow for services to be provided in locations (e.g., place of employment, family member's home) other than the participant's primary residence, by program and service.	Describe how solution allows for services to be provided in locations (e.g., place of employment, family member's home) other than the participant's primary residence, by program and service.	N/A	S	

Bidder's Response:

Sandata does not place any limits on where care may occur, and authorized users can associate an unlimited number of care locations with each participant. As noted earlier, in accordance with the latest CMS guidance issued in August 2019, Sandata EVV also supports recording the start or end of a visit with the designation of "Home" or "Community".

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
30	EVV.22	Solution must allow for visits which begin and end at different locations.	Describe how solution shall allow for visits which begin and end at different locations.	N/A	S	

Bidder's Response:

The caregiver clocks in at the start of the visit, and clocks out at the end of the visit. Location is captured on the clock in and again at the clock out.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
31	EVV.23	Solution must have the ability to capture additional data elements as needed by DHHS to support ongoing program service changes.	Describe how solution has the ability to capture additional data elements as needed by DHHS to support ongoing program service changes.	N/A	S	

Bidder's Response:

Sandata EVV is flexible and configurable, and data elements may be required or optional based on program requirements.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
32	EVV.24	Solution must be able to flag a visit for review when any data elements recorded at the visit do not match the corresponding elements in the authorization.	Describe how solution flags a visit for review when any data elements recorded at the visit do not match the corresponding elements in the authorization.	N/A	S	

Bidder's Response:

If the provider is using Sandata Scheduling each proposed schedule is compared against the authorization before it can be finalized. Once the visit occurs, prior to allowing the claim to be finalized, the visit data is compared against the authorization and if the visit does not match the authorization it is placed in a hold status and is not eligible for submittal.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
33	EVV.25	Solution must be able to flag a visit for review when any required verification	Describe how the solution flags a visit for review when any required	N/A	S	

	elements are missing or if the recorded service location is not on a participant's list of approved locations.	verification elements are missing or if the recorded service location is not on a participant's list of approved locations.			
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Bidder's Response:

Care delivery is measured at each step in the process and Sandata EVV automatically flags the visit using care exceptions for additional follow up whenever care delivery does not meet appropriate program rules. Examples of standard care exceptions are shown in Table 10.

Table 10: Care Exceptions

Exception Type	Expected Action
Missing 21st Century Cures Data Element	If any of the required Cures data elements are not recorded, an exception is created and the visit requires a manual edit before it can be approved. Cures exceptions include participant identity, caregiver identity, clock in date/time, clock out date/time, service, and location.
Scheduling Exception	Caregiver did not start the visit at the scheduled start time. An exception is created and an alert is generated to the provider to let them know a gap in care has occurred. Other scheduling exceptions include visit duration shorter or longer than expected schedule.
Member/Designated Representative Visit and/or Service Approval	The participant or designated representative has not yet approved the visit. The approval may occur at the end of the visit at the point of care or after the visit (entered via the Sandata EVV Web Portal). If the visit is not verified by the appropriate party it is marked as unverified.

Sandata Care Exceptions are configurable and may be set as required, meaning the missing data must be corrected before the visit can move to the next step in the workflow, or simply require acknowledgement, meaning the visit has been recorded and the exception noted, but the visit is eligible to move to the next step in the workflow. Care exceptions are determined as part of the implementation process. Corrections and acknowledgements require the application of a reason code and a resolution code.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
34	EVV.26	Solution must include the ability to collect and store a list of approved service locations to be associated to each member for verification purposes. Solution must ensure previous approved locations are retained when updated locations are added.	Describe how solution includes the ability to collect and store a list of approved service locations to be associated to each member for verification purposes. Describe how previous approved locations are retained when updated locations are added.	N/A	S	

Bidder's Response:

As a best practice Sandata requires DHSS to provide participant detail to include at least one valid location of care for each participant. Authorized users may then manually add an unlimited number of service locations. If a location is no longer valid (i.e. participant moves), authorized users have the ability to remove the location from the active list. Sandata EVV maintains a full audit trail of all locations in the system. The ability to add or remove participant locations is configurable and will be determined as part of the implementation process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
35	EVV.27	Solution should identify participant services received for those enrolled in selected programs.	Describe how solution identifies participant services received for those enrolled in selected programs.	CM.PI1.1	S	

Bidder's Response:

Sandata EVV records the service provided for each participant on each visit. For visits that are scheduled, the service to be provided is part of the schedule. For unscheduled visits, the service can either be selected by the caregiver at the time service is delivered or must be corrected before the visit can move to the next step in the workflow.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
36	EVV.28	Solution should provide authorized users the ability to bypass/override the location verification edit during verification review, and must have a way to log this activity in the system.	Describe how solution provides authorized users the ability to bypass/override the location verification edit during verification review, and how that is logged in the solution.	N/A	S	

Bidder's Response:

Sandata EVV has the option to set location as a required exception, meaning that if the location of care does not match a current, valid location associated with the participant record the visit is flagged and must be acknowledged and a location provided. Sandata EVV also has the option to turn geo fencing/ location comparison off, and the visit location is recorded but not compared to valid locations associated with the participant record. Reporting is available to allow DHHS to review visits based on distance from the client's location. This flexible configuration allows DHHS to determine how to address location capture to meet your program requirements.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
37	EVV.29	Solution must provide the ability for unscheduled visits to be flagged for	Describe how solution provides unscheduled visits to be flagged	N/A	S	

	review/validation when appropriate.	for review/validation when appropriate.			
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Bidder's Response:

Sandata Scheduling is an optional module, and the EVV system can be set up to require schedules to be required or optional. If Scheduling is required, all unscheduled visits are flagged for review and validation. If scheduling is optional, unscheduled visits are allowed and are not flagged for review. Scheduling can be required for provider agencies and optional for self-directed programs.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
38	EVV.30	Solution must provide flexible and configurable HIPAA compliant alerts of pending, late, and missed visits by program and/or service where client/participant impact determines the alert levels and notifications.	Describe how solution provides flexible and configurable HIPAA compliant alerts of pending, late, and missed visits by program and/or service where client/participant impact determines the alert levels and notifications.	N/A	S	

Bidder's Response:

Sandata Scheduling supports multi-level escalating alerts whenever a scheduled visit does not start on time. Alerts are sent in near real time and are configured during the implementation phase in the provider EVV system. Sandata recommends the following standard configuration for escalating alerts:

- **1st alert (i.e., 15 minutes past scheduled visit time)** – sent to the scheduling provider agency. The provider agency should contact the caregiver and determine whether they are still able to deliver care.
- **2nd alert (i.e., 30 minutes past scheduled visit time)** – sent to the scheduling provider agency and optionally to the payer or other designated entity responsible for care delivery. This alert indicates a potential gap in care is occurring and action is required. If the caregiver is unable to provide the service, an alternate caregiver should be assigned to the schedule in accordance with the backup plan.
- **Missed alert (i.e., 60 minutes past scheduled visit time)** – sent to the scheduling provider agency and optionally to DHHS or other designated entity responsible for care delivery. This alert indicates a gap in care has occurred and the provider is not in compliance with the schedule.

Sandata includes multiple modalities for alerts; they are available via the Sandata EVV system, text messages, email, and through reporting.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
39	EVV.31	Solution must provide the ability for authorized users to configure tolerance levels (e.g., 10 minutes past the scheduled start time) that define when a visit is recorded as 'missed' or 'late' depending on the program and/or service.	Describe how solution provides the ability for authorized users to configure tolerance levels (e.g., 10 minutes past the scheduled start time) that define when a visit is recorded as 'missed' or 'late' depending on the program and/or service.	N/A	S	

Bidder's Response:

As described in response to Requirement 38, Sandata offers multi-level alerting with different notification time frames and recipients of each alert. Alert configuration is available at the payer level and is completed during the implementation period by Sandata personnel.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
40	EVV.32	If solution utilizes a mobile application, it should enable use of GPS-enabled mobile smartphones and tablets using the Android or Apple iOS mobile operating systems, running versions that are compatible at a minimum with the current and two previous versions of the mobile operating system, with stable, real-time app-based access to the EVV system to properly verify and document visits and access other visit or scheduling related system features. a) Providers and individual caregivers must have the choice of using smartphones or tablets and either mobile operating system, with mobile app provided to providers at no charge. b) Cost of devices and cellular data service is the responsibility of the provider organization or individual provider.	Describe how solution enables use of GPS-enabled mobile smartphones and tablets using the Android or Apple iOS mobile operating systems, running versions that are compatible at a minimum with the current and two previous versions of the mobile operating system, with stable, real-time app-based access to the EVV system to properly verify and document visits and access other visit or scheduling related system features. Describe how providers and individual caregivers have the choice of using smartphones or tablets and either mobile operating system, with mobile app provided to providers at no charge.	N/A	S	

Bidder's Response:

Sandata Mobile Connect is a free application available for Android and iOS smartphone and tablet devices to support visit verification at the point of care. If Sandata Scheduling is used, schedules will automatically be sent to the application whenever the application is connected to WIFI or via a data plan. The application is always available to record visits at the point of care, even in a disconnected mode. Visit data is stored and

encrypted on the application, and transmitted using encryption as soon as the device has connectivity. Sandata Mobile Connect operates on the current and at least the last two versions of the mobile operating system. For example, for iOS we currently support versions 10 to 12 and for Android we support versions 5.1.2 to 9.0.

Minimum software requirements as of the date of this response are as follows:

Sandata EVV:

- Browser: Chrome, Mozilla Firefox, Microsoft Edge;
- Adobe Reader 8 or better for PDF Reporting; and
- JAWS version 18 or higher when needed for accessibility.
- RAM: 2GB Windows 7/8/10;
- Hard Disk: 1GB free hard disk space (minimum);
- Video Card: Supports 1024 x 768, 16-Bit or higher;
 - Processor: Pentium 4 (2GHz) or better; and
 - Internet Connection: High Speed Broadband (ex. Cable/FIOS/DSL).

Mobile Device Requirements (for a BYOD model)

- Android 5.0.2+; or
- iOS (9 or higher) (Recommended);
- GPS enabled; and
- 4.5 screen recommended.

Mobile Hardware Requirements

- Processor: 1GHz or higher;
- Disk Space: ~200Mb;
- Display: – Smartphone: 480 x 800;
- Built in GPS; and
- Internet Connection: Required for syncing or for running in connected mode. 3G, 4G preferred or Wi-Fi or higher is sufficient.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
41	EVV.33	Solution should support use of mobile, GPS-enabled, app-based technology for visit verification and documentation, and	Describe how solution supports use of mobile, GPS-enabled, app-based technology for visit	N/A	S	

		otherwise minimize the need for the use of landlines or separate, in-home devices for the EVV function except as necessary given remote and or unusual terrain.	verification and documentation, and otherwise minimizes the need for the use of landlines or separate, in-home devices for the EVV function except as necessary given remote and or unusual terrain.			
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Bidder's Response:

Across our payer business, over 60% of all visits are captured with Sandata Mobile Connect, and many programs far exceed that percentage Sandata Mobile Connect works in both a connected and disconnected mode, ensuring that a visit can always be captured and verified regardless of whether cellular or Wi-Fi connectivity is available at the point of care. The data is automatically transmitted to the Sandata EVV application as soon as the device is connected via WI-FI or cellular service. All data on the device is encrypted at rest and in motion.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
42	EVV.34	Solution should be minimally burdensome for providers to learn and use, while meeting state objectives for EVV use.	Describe how the solution is minimally burdensome for providers to learn and use, while meeting state objectives for EVV use.	CPM	S	

Bidder's Response:

In order to be minimally burdensome to the end-user community Sandata incorporates the following methodology:

- **Ability to Configure the System:** Sandata EVV is highly configurable, allowing us to set up the system to accommodate DHHS specific business rules.
- **Multiple options for verification:** Sandata's Assured Coverage allows end users to verify visits using multiple modalities. Our Sandata Mobile Connect application works in connected and disconnected modes and all methodologies support multiple care locations. We also offer point of care options in 13 different languages:
 - English
 - Spanish
 - Russian
 - Arabic Egyptian
 - Somali
 - Mandarin Chinese
 - Fulani
 - Serbian

- Hindi
- French (European)
- Nepali
- Swahili
- Vietnamese

- **Rehabilitation Act Section 508 Compliance:** As described in our response to Req. #8, all of Sandata’s solutions are Section 508 compliant, and support the use of Adaptive Technologies such as JAWS readers, etc.
- **Communication and Outreach:** Regular and ongoing communication about the program, policies, training, etc. is important so that all the impacted stakeholders are informed and have the opportunity to provide feedback to DHHS. We know from experience that outreach tools and methods will differ between different EVV program stakeholders, i.e. provider agencies vs. self-directed participant, and can share our experience as well as outreach materials and templates to support DHHS outreach and communication efforts.

Sandata has significantly expanded our recommendations on the number, types, and frequency of communications about EVV. For example, we recommend that in addition to outreach to closely impacted stakeholders such as providers, it is useful and recommended to communicate on a regular basis with state legislators and the state Governor’s office as appropriate. It is helpful to keep these stakeholders informed and up to date on the program, so they are prepared if concerns or issues are raised by citizens.

In every implementation, our customers, working with Sandata, have established an EVV website which is regularly updated with information on EVV policies, training events, and Frequently Asked Questions. Providing a “one stop” shop to get EVV information is extremely valuable.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
43	EVV.35	Solution must provide for a consistent rules-based billing and scheduling software platform across all service providers. Only claims where the service has been verified and the services are within Medicaid limit rules must be sent to the Payer’s payment system.	Describe how solution will provide for a consistent rules-based billing and scheduling software platform across all service providers. Only claims where the service has been verified and the services are within Medicaid limit rules are to be sent to the Payer.	N/A	S	

Bidder’s Response:

Sandata Scheduling provides consistent rules-based scheduling for providers to use to manage care delivery. Once the visit is verified, Sandata

Billing allows providers to submit 837 claims formatted in accordance with the DHHS Companion Guide. Sandata Billing checks to ensure all required visit elements are present and that the visit matches a valid authorization before the claim can be submitted. Any visits with missing data or visits that do not match to an authorization are placed in a hold status.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
44	EVV.36	Solution should be capable of supporting the following business rules/procedures: a) Allow for only certain providers to enter service tasks based on program needs and rules. b) Certain programs may require service tasks to be entered in the EVV system for only certain provider types, whereas others may require providers to document service tasks through the current paper process or other alternative processes.	Describe how solution is capable of supporting the business rules / procedures noted, based on provider types, services and program needs and rules.	N/A	S	

Bidder's Response:

Sandata EVV supports a flexible configuration where service tasks may be set as not available, optional, or required. Service tasks rules are set at the program level.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
45	EVV.37	Solution must provide for unique user identifications for individuals who work for more than one entity. Contractor must have the ability to manage how those identifications are requested, assigned, and maintained.	Describe how solution provides for unique user identifications. Describe in detail how solution utilizes unique user identifications, and master user identifications if one individual is assigned multiple unique user identifications; and how those identifications are requested, assigned, and maintained.	N/A	S	

Bidder's Response:

Sandata EVV has the option to store a unique identifier for each caregiver. The unique ID would be sent to us from the DHHS system of record and stored on each caregiver's profile in the EVV system. If DHHS is not able to provide a unique identifier, Sandata has worked with other state programs to require the use the caregiver's social security number on each caregiver record. Regardless of whether a DHHS provided identifier or

Social Security Number is used, Sandata can then provide information and reporting via our Sandata Business Intelligence tool.

It should be noted that as each caregiver is added to the EVV system, they are also assigned a unique login ID (email address) and will set their own password. The caregiver will use this login ID to access their schedules and to clock in and out of visits on the mobile application. Each caregiver is also assigned a unique ID (per provider agency) to use to clock in and out of telephonic visits.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
46	EVV.38	Providers may have more than one user identifier, based on NPI, Medicaid ID, etc. Solution should manage each individual identifier and master provider ID within solution.	Describe how each individual provider identifier and master provider ID are assigned and managed within the solution.	N/A	S	

Bidder's Response:

Our solution accepts and stores the 10-digit NPI for home care providers. This ID is received via electronic transfer of provider data from DHHS. We can also house unique identifier for individual providers (defined per the Q&A as providers not working for an agency) within the EVV system. Sandata EVV stores multiple identification fields on the caregiver record including NPI, Medicaid ID, etc. Caregivers can be manually entered or provided via a data file.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
47	EVV.39	Solution should utilize a flexible business rules engine to allow for customization and modification when program or service changes occur.	Describe how solution utilizes a flexible business rules engine to allow for customization and modification when program or service changes occur. Describe which modifications can be made by DHHS staff and which will be made by the Contractor.	N/A	S	

Bidder's Response:

EVV uses a proprietary Business Rules Engine to allow our configuration team to set up and configure the system according to program requirements. The Sandata Configuration team is responsible for managing all configuration changes for the program. Many configuration changes, such as revising the list of manual correction reason codes or altering geofence exception, can be made fairly quickly. More complex changes, such as altering system configuration due to a service code change, will require full requirement documentation and approval prior to any system changes being made.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
48	EVV.40	Solution should have the capability for manual overrides to be entered by authorized system users.	Describe how solution has the capability for manual overrides to be entered by authorized system users.	N/A	S	

Bidder's Response:

A user with Visit Maintenance permissions can correct visits that are determined to have visit exceptions based on DHHS program requirements. Examples of common edits to visit exceptions include but are not limited to:

- Adjusting visit start or visit end times; and/or
- Approving a scheduled visit where the clock in or clock out occurred outside of the expected time frame.

The system maintains a record for each visit delivered as part of the clock-in and clock-out process. In order to make corrections to a visit record, a user logs in using their unique ID and password and makes any of the allowed corrections to the visit data. The system captures each correction, recording a timestamp including the date and time, identity of the system user, and a reason code for why the correction is being made as shown in Figure 25.

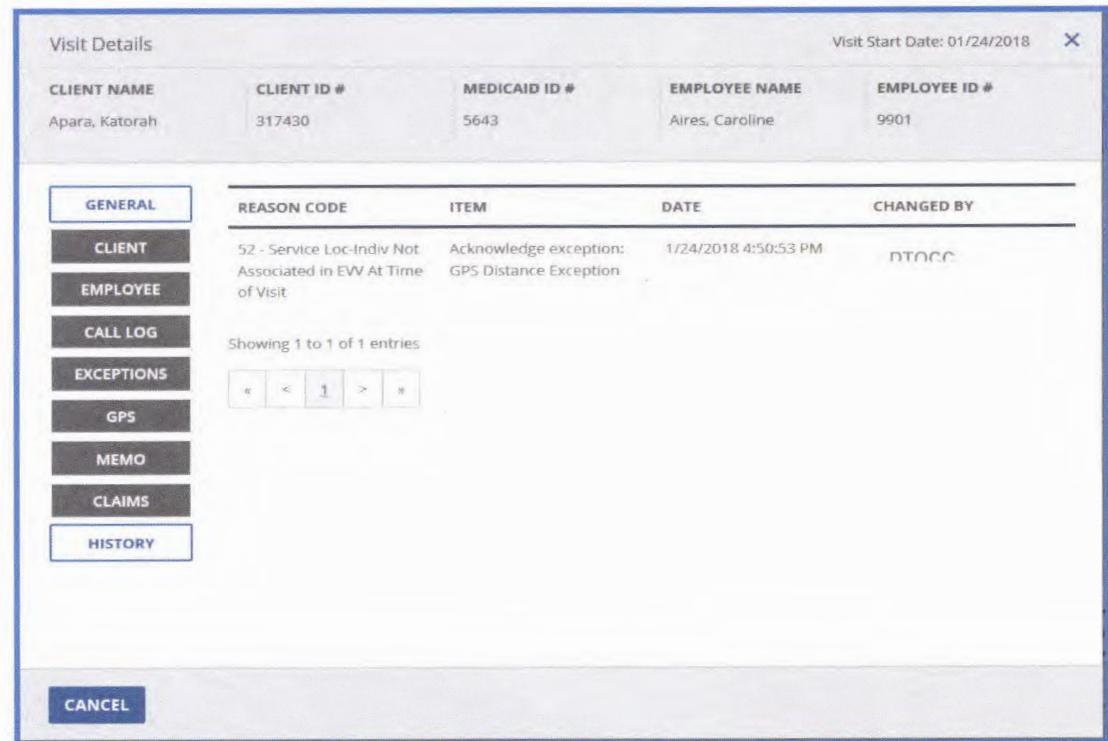


Figure 25: If a visit has a manual adjustment, Sandata EVV maintains a full audit trail of the detail, including the person making the change.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
49	EVV.41	Solution should provide real time jurisdictional views for DHHS and other state agencies: ie., allow viewing, dashboards and reporting for specific programs, agencies, geographical locations, etc.	Describe how solution will provide real time jurisdictional views for DHHS and other state agencies.	N/A	S	

Bidder's Response:

Sandata provides a real time Jurisdictional View for DHHS and other state agencies to view visit data across the entire program. DHHS will have administrative rights to your Jurisdictional portal and can set up users as required. Sandata also offers our Business Intelligence tool which provides dashboards, graphical reporting, and ad hoc user defined reporting capabilities.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
50	EVV.42	Solution should notify a provider if required EVV data is incomplete or invalid. Solution must have consistent methods for handling incomplete or invalid data.	Describe how solution notifies a provider if required EVV data is incomplete or invalid and describe how the solution handles that data.	N/A	S	

Bidder's Response:

Sandata EVV includes complex visit checking logic, executing a continuously operating process to validate transaction data against program requirements. Any discrepancies to program rules are flagged as exceptions. EVV users can view all exceptions and make corrections to incomplete or invalid data in the Visit Maintenance screen of their Sandata EVV portal.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
51	EVV.43	Solution should have the capability to turn the scheduling functionality on or off at DHHS option without impacting other EVV system functionality. Ability to turn scheduling on or off must be at agreed level of granularity, i.e., program, service, recipient, provider, etc., for which the scheduling applies.	Describe how, at DHHS option, solution's scheduling functionality can be turned on or turned off without negatively impacting other EVV system functionality, and at what level of granularity (program, service, recipient, provider, etc.) the scheduling option applies.	N/A	S	

Bidder's Response:

Sandata Scheduling exceptions can be turned on or off or be set as optional at the program or service level making the use of scheduling required or optional. As a best practice Sandata encourages DHHS to make the decision to use Scheduling during the implementation period.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
52	EVV.44	<p>Solution should have the ability to prevent any individual from electronic sign-in for work shift, or otherwise attempting to electronically verify and document a service, under the following conditions:</p> <ul style="list-style-type: none"> a) The individual does not have a current, in-force employment relationship, or an executed, up-to-date contract, with the properly licensed and certified Medicaid provider organization providing and billing for the service; b) The individual is not authorized by the Medicaid certified and billing provider to enter information in the EVV system on behalf of that provider; c) DHHS has excluded the individual from using the EVV system due to non-compliance with EVV-related requirements, misuse or abuse of the EVV system, or a pattern of incomplete or inaccurate attempts to verify or document a service; d) The individual provider, the billing provider business organization, or the type of service is not approved for that beneficiary, based on prevailing prior authorizations and service plans approved for the beneficiary; or e) The individual provider is not physically present at the beneficiary's location. 	<p>Describe how solution prevents any individual from electronic sign-in for work shift, or otherwise attempting to electronically verify and document a service, under the following conditions:</p> <ul style="list-style-type: none"> a) The individual does not have a current, in-force employment relationship, or an executed, up-to-date contract, with the properly licensed and certified Medicaid provider organization providing and billing for the service; b) The individual is not authorized by the Medicaid certified and billing provider to enter information in the EVV system on behalf of that provider; c) DHHS has excluded the individual from using the EVV system due to non-compliance with EVV-related requirements, misuse or abuse of the EVV system, or a pattern of incomplete or inaccurate attempts to verify or document a service; d) The individual provider, the billing provider business organization, or the type of service is not approved for that beneficiary, based on prevailing prior authorizations and service plans approved for the beneficiary; or e) The individual provider is not physically present at the beneficiary's location. 	N/A	N	Sandata has provided a description of how our EVV solution addresses each of these requirements based on best practices developed over the past ten years and implemented in 25 state and managed care programs nationally.

Bidder's Response:

Sandata EVV only allows authorized users who have been granted access to the system to log and use the system. In our implementations, the payer is responsible for providing a data feed of authorized providers who must then participate in training before receiving their EVV system login credentials. Providers are responsible for adding and maintaining their caregivers in the system. It is the Provider's responsibility to maintain accurate and up to date employment records, and to promptly deactivate any caregiver who may be missing any of the required elements (in force employment relationship, contract, license, etc.). Just as the program operates today, it will remain the Provider's responsibility to comply with DHHS program rules.

Each user in the system is set up using roles-based access and permissions. Sandata is HITRUST certified and we follow the principle of least access to all data. Users should only be set up and given the minimum level of access required to perform their duties.

Sandata Billing provides all of the required checks and balances, and will not allow claims to be submitted by an individual provider, billing provider organization, type of service, etc. if the visit does not match the prior authorization. All visits with missing or unmatched visit data are placed in a hold status.

Capture of location is a required element in the EVV system, and Sandata does not allow visits to be marked as complete if the location is not captured at the point of care or acknowledged by a system user. Participant verification via signature/voice recording help to ensure the caregiver and the participant are actually together.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
53	EVV.45	Solution should support fraud and abuse investigations.	Describe how the solution supports fraud and abuse investigations.	PE.P12.13	S	

Bidder's Response:

Sandata EVV supports fraud and abuse investigations with the following tools:

- Sandata Billing ensures only claims with valid visits are submitted for payment;
- Assured Coverage at the point of care accurately captures visit data, removing potential human error or time sheet 'rounding' by caregivers;
- Assured Coverage includes a participant verification of service delivery to further reduces errors and fraud;
- Sandata Jurisdictional View offers comprehensive data, reporting and analytics tools to support compliance programs and program integrity audits and investigations; and
- Electronic audit trails can be used to support potential fraud investigations/reviews by the DHHS' Compliance team and/or Nebraska's

Office of Inspector General.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
54	EVV.46	Solution should support retrieval and presentation of data associated with geographic indicators such as by state, by county, by zip code, by peer group, or other geographical indicators specified by DHHS.	Describe how solution supports retrieval and presentation of data associated with geographic indicators such as by state, by county, by zip code, by peer group, or other geographical indicators specified by DHHS.	N/A	S	

Bidder's Response:

Sandata Business Intelligence includes a wide range of features that provide the ability to quickly analyze program metrics, allow drill down access to support targeted analysis, and create new dashboards through a user-friendly interface. DHHS users can create their own customized dashboards easily and quickly access datasets, filters (such as geographic indicators), sorting criteria, create calculated fields, and select from numerous different visualization styles simply by pointing and clicking and preview your changes as you build.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
55	EVV.47	Solution should accommodate service authorizations across multiple programs, service types, and funding sources.	Describe how solution accommodates service authorizations across multiple programs, service types, and funding sources.	N/A	S	

Bidder's Response:

Sandata EVV is configurable and supports service authorizations across multiple programs and different types of authorizations (visits, hours, units, etc.). During the implementation the Sandata team will work with DHHS to review authorization data specifications to ensure authorizations are automatically loaded for providers.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
56	EVV.48	Solution should provide systems-based edits and audits to ensure correct and complete formatting of data submitted to solution by provider organizations,	Describe how solution provides systems-based edits and audits to ensure correct and complete formatting of data submitted to the	N/A	S	

		individual providers, approved alternative EVV systems, or other DHHS-approved parties; and complete verification and documentation of each visit.	solution by provider organizations, individual providers, approved alternative EVV systems, or other DHHS-approved parties; and complete verification and documentation of each visit.			
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Bidder's Response:

Sandata Aggregator normalizes data from any approved third party EVV system and applies standardized business rules to ensure the visits are properly verified. Sandata Aggregator is an exceptions-based system, like our Sandata EVV system, and providers will see the exceptions against the DHHS program requirements, correct any exceptions in the source EVV system, and resubmit corrected visits for reprocessing. Sandata recommends that visits be transmitted by the third-party vendor as they occur to ensure DHHS has visibility into visits throughout their life cycle.

Sandata has developed a proven process using standard data exchange for third party interfaces as shown in Attachment 10, standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
57	EVV.49	Solution should improve oversight of provider performance, beneficiary access, care coordination and transitions, and program expenditures and utilization.	Describe how the solution will improve oversight of provider performance, beneficiary access, care coordination and transitions, and program expenditures and utilization.	N/A	S	

Bidder's Response:

Sandata Jurisdictional View provides reporting access for DHHS with oversight capabilities that integrate powerful management tools, reporting, and auditing tools to give real-time insight into the delivery of care.

In addition, the Account Executive provides an Executive Summary that demonstrates the overall value of the EVV program, and highlights potential areas of opportunity. The Executive Summary focuses on key activities and trends such as percentage of visits auto-verified, average number of visits/participants, total visit volume, and other key program metrics. The report provides an overview of program activity, with specific dashboards and analysis such as system anomalies, as well as patterns of system utilization. For example, we report on the trending of visits verified through our system along with pertinent analysis of the data. This formal report will be instrumental for monitoring and measuring the effectiveness of the program, and will highlight potential areas of fraud, waste, and abuse to support program integrity functions.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
58	EVV.50	Solution should ensure compliance with approved service plans and prior authorizations and monitor the receipt, timeliness and completeness of authorized Medicaid home-based services.	Describe how solution ensures compliance with approved service plans and prior authorizations and monitors the receipt, timeliness and completeness of authorized Medicaid home-based services.	N/A	S	

Bidder's Response:

Sandata Scheduling allows authorized users to create schedules that are in compliance with prior authorizations and offers real-time alerts for late/missed visits to ensure timeliness of Medicaid home-based services. The Sandata system can also require the caregiver to document the tasks provided at the visit and the system can confirm those tasks.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
59	EVV.51	Solution should enable each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support all types of provider organizations, individual caregivers, and employment with individual caregivers.	Describe in detail how solution enables each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit.	N/A	S	

Bidder's Response:

Each provider will have access to Sandata EVV through a secure, HIPAA compliant web portal. Authorized users will have access to use the EVV data as it is captured in real time at the point of care. Providers will be able to create schedules (Sandata Scheduling), view and correct visit data (Sandata Provider Portal) and submit claims for services rendered (Sandata Billing). A robust reporting suite is also available as they look to better understand visit, service, participant, and caregiver trends.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
60	EVV.52	Solution should enable each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support add or delete user access for individual (employed)	Describe in detail how solution enables each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) use with the capabilities for add or delete	N/A	S	

	caregivers, add or update information on users (such as individual identification numbers, photos, name changes, professional credentials), and restrict or suspend user access.	user access for individual (employed) caregivers, add or update information on users (such as individual identification numbers, photos, name changes, professional credentials), and restrict or suspend user access.			
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Bidder's Response:

Each provider EVV portal will initially be set up with one user as an Administrative User. This role allows the provider to add caregivers, update user information, add additional Administrative Users and restrict or suspend user access using the Sandata EVV security module as shown in Figure 26.

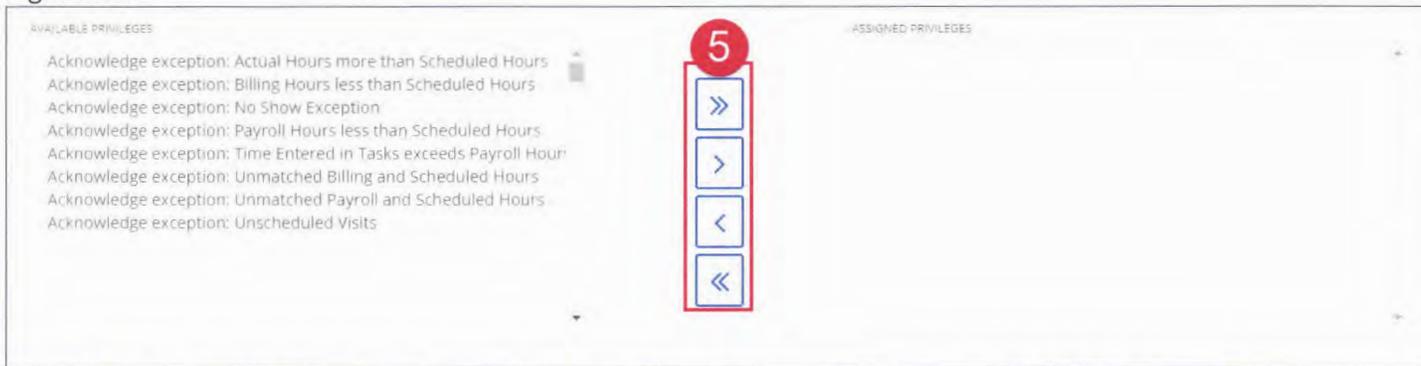


Figure 26. Each individual user is assigned roles-based privileges in the security set up screen.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
61	EVV.53	Solution should enable each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support: scheduling of individual service providers, timesheet creation, and real-time availability of individual schedules with notification of changes.	Describe in detail how solution enables each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support scheduling of individual service providers, timesheet creation, and real-time availability of individual caregiver schedules with notification of changes.	N/A	S	

<p>Bidder's Response:</p> <p>Provider users with appropriate roles-based access can use Sandata Scheduling. Based on their permissions, they can create, edit, or delete schedules. Once the visit is scheduled, the individual service provider has near real time access to their schedule in the Sandata Mobile Connect application. As schedules are added or modified, the caregiver will be able to see all changes in real time in the Sandata Mobile Connect application whenever the application has connectivity. Once the visit has been verified, all visit data is available to support reporting, including timesheet reports via the portal. Sandata EVV also includes a standard Completed Visits export that providers can use to send visit data to their payroll vendor.</p>						
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Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
62	EVV.54	Solution should enable each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support different types of visits and workflows, including unscheduled visits.	Describe in detail how solution enables each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support different types of visits and workflows, including unscheduled visits.	N/A	S	

<p>Bidder's Response:</p> <p>Sandata EVV is configurable and allows for both scheduled and unscheduled visits as well as different types of visits. During the implementation Sandata will work DHHS to define all of the required visit types (i.e. hourly, by units, by visit, etc.) and configure the system to support visit capture.</p>						
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Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
63	EVV.55	Solution should enable each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support complete visit documentation, including tasks completed, notes, and assessments.	Describe in detail how solution enables each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support complete visit documentation, including tasks completed, notes, and	N/A	S	

assessments.

Bidder's Response:

Sandata EVV supports complete visit documentation including task entry, worker notes and non-clinical assessments. See Figure 27. Some state programs have used a questionnaire to identify participants that may require additional case manager review and assistance. The information is then available via reporting, allowing case managers, or other stakeholder's, visibility into participant needs. Sandata's non-clinical assessments are an important tool for care managers to receive near-real time point of care, actionable information regarding the participants that they manage. Provider office staff with appropriate permissions can view this data in near real time using the Sandata EVV portal.

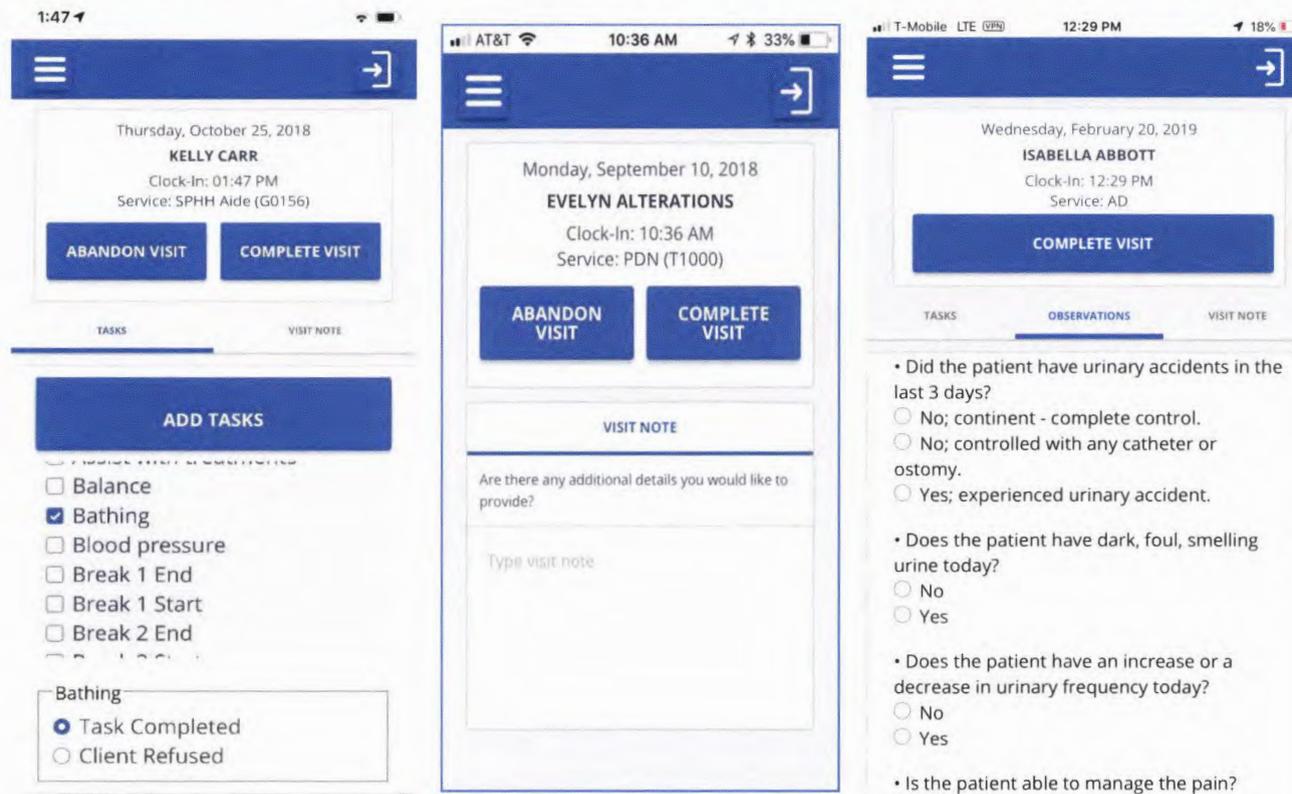


Figure 27: Sandata Mobile Connect allows the caregiver to document tasks, notes and non-clinical assessment responses during the visit.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
64	EVV.56	Solution should enable each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support alerts when scheduled visits are not performed, completed, or verified.	Describe in detail how solution enables each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support alerts when scheduled visits are not performed, completed, or verified.	N/A	S	

Bidder's Response:

As discussed in our response to Req. # 33, Sandata EVV includes complex visit checking logic, executing a continuously operating process to validate transaction data against program requirements. Sandata EVV includes standard alerts when scheduled visits are not performed. If any of the visit data collected does not match to program rules, the visit is flagged as an exception. Exceptions may be configured to be informational (the exception provides information about the visit and simply needs acknowledgement) or required (the exception must be corrected before the visit is marked as valid). All visits with exceptions are placed in a pending or hold status until the user (with roles- based access to our Visit Maintenance module) makes the required corrections.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
65	EVV.57	Solution should enable each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support provider compliance with use of Nebraska's solution.	Describe in detail how solution enables each provider of Medicaid home-based services with real-time access to and use of the solution and the EVV data they (or their employees) submit, with electronic data interchange capabilities to support provider compliance with use of Nebraska's solution.	N/A	S	

Bidder's Response:

The provider will be able to monitor visit activity, including caregiver EVV Compliance, in real time. They will also have reports to better understand staff and agency compliance trends. DHHS will have Sandata Business Intelligence, which includes Sandata's recommended compliance reporting package. DHHS will also have the ability to create your own compliance metrics and reporting.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
66	EVV.58	Solution should be capable of capturing, storing, and utilizing multiple Nebraska-specific generated provider identification numbers utilized for atypical and typical providers.	Describe how solution is capable of capturing, storing, and utilizing multiple Nebraska-specific generated provider identification numbers utilized for atypical and typical providers.	N/A	S	

Bidder's Response:

Sandata EVV supports multiple identification numbers for each provider, including Medicaid ID, NPI, and API.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
67	EVV.59	The solution should use a medical code set for coding diseases, signs and symptoms, abnormal findings, and external causes of injuries/diseases, as stipulated in 45 CFR Part 162.1002.	Describe how solution uses the currently HHS-mandated code sets and edits data during entry.	S&C.IC.2	N	Sandata has provided our standard process to support medical code set data.

Bidder's Response:

Sandata EVV accepts and stores on the participant record the medical code set for diagnosis codes as part of our standard authorization feed. Sandata EVV does not include functionality for users to enter signs, symptoms, abnormal findings, or external causes of injuries/diseases as our solution is not designed to support the clinical coding process.

G.3 Aggregator Requirements

In order to ensure comprehensive EVV data management and reporting, all data captured by the state solution should be combined with data consolidated from any provider agency solutions. In this open vendor model, the state Solution will provide aggregator functions to ensure the appropriate consolidation, processing and tracking of all Services covered within the DHHS programs. To meet the requirement for system use, providers must either (1) use the state-contracted solution resulting from this RFP or (2) at the provider's own expense and sole responsibility, use an alternative system that meets the requirements defined by DHHS. Any such certified alternative system must transmit all data to the state-contracted solution on a secure, seamless, real-time basis consistent with DHHS-approved specifications. DHHS is also open to alternative solutions and Contractor suggestions that have proven successful in other implementations.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
68	AG.1	DHHS is implementing an open vendor EVV solution that must aggregate data from its own system, as well as data from	Describe how solution's aggregator function works, and how it uses this aggregated data	N/A	S	

	<p>individual providers' systems, to be submitted in a format approved by DHHS. The Contractor must use this aggregated data to conduct all appropriate EVV editing and reporting operations. DHHS is open to alternative solutions that have proven successful in other implementations.</p>	<p>to conduct all appropriate EVV editing and reporting operations. Provide a description of how the state Solution will receive the aggregated data, and how the solution will handle and manage that data. Describe any alternative solutions that have proven successful in other implementations.</p>			
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Bidder's Response:

Sandata Aggregator normalizes data from any approved third party EVV system and applies standardized business rules to ensure the visits are properly verified. Sandata is the only vendor with an Aggregator in production today.

Sandata Aggregator is an exceptions-based system, like our Sandata EVV module, and providers will see the exceptions against the DHHS program requirements, correct any exceptions in the source EVV system, and resubmit corrected visits for reprocessing. Sandata recommends that visits be transmitted by the third-party vendor as they occur to ensure DHHS has visibility into visits throughout their life cycle.

The Sandata Aggregator's features include:

- Central data store for all visit data (Sandata EVV and Third Party EVV Systems);
- Application of program-specific rules across disparate systems;
- Jurisdictional View supports visit review and monitoring; and
- Jurisdictional View/ BI provide oversight/reporting of the program.

Sandata Aggregator is the single source where DHHS can view all visit information regardless of the visit source as shown in Figure 28.

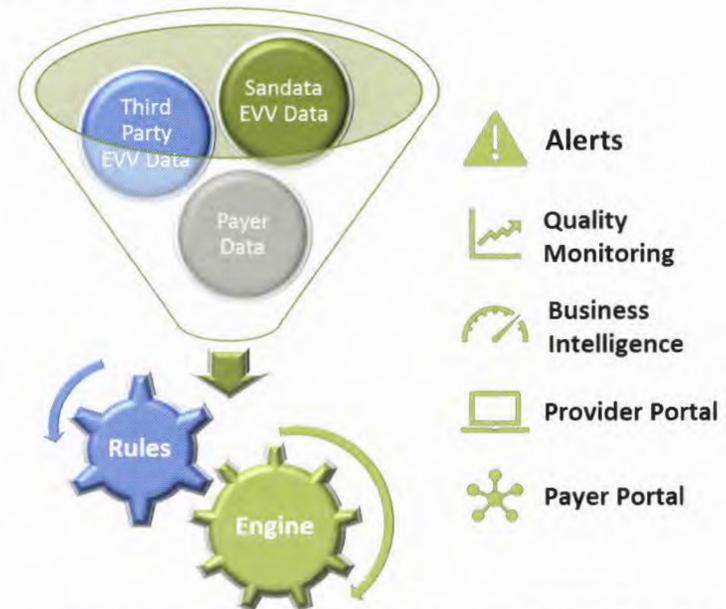


Figure 28: Sandata Aggregator incorporates all EVV data into a single holistic view for DHHS.

Sandata Aggregator receives the information about the caregivers, participants, and visits in real time. Within Sandata Aggregator, DHHS and

providers using third party EVV systems can view visits and visit status via a HIPAA-compliant web portal. Reports are available on demand; users can filter and sort visit information using a variety of fields; and reports are available in multiple formats (i.e., PDF, Excel, and csv).

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
69	AG.2	Solution should support the providers using this aggregator function, including at a minimum: interface support, training, customer support, communication of changes or enhancements.	Describe how solution supports the providers within this aggregator function, including at a minimum: interface support, training, customer support, communication of changes or enhancements.	N/A	S	

Bidder's Response:

Sandata has developed a proven Third Party EVV interface process using standard data exchange formats, registry and automated testing, supported by our Interface Technical help desk to ensure providers can successfully integrate their EVV vendor with our Aggregator solution as shown in Figure 29.

Examples of the process and materials provided to support the Sandata Aggregator and third-party EVV vendor data interface are available on the State of Ohio EVV website under the Alternate EVV Systems Section:
<http://www.medicaid.ohio.gov/INITIATIVES/ElectronicVisitVerification.aspx>

Third-Party EVV Interface Process

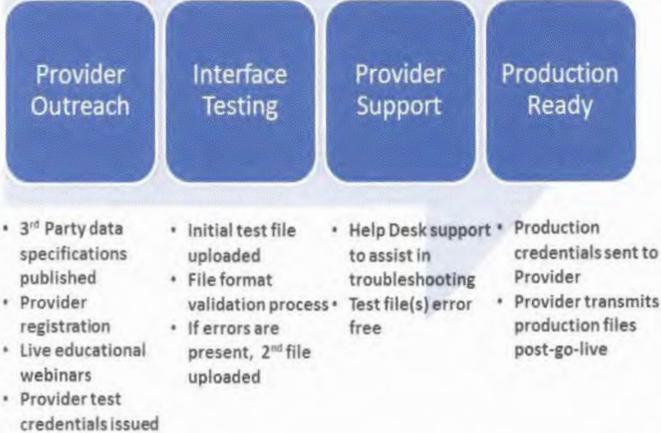


Figure 29. Sandata has a comprehensive process that includes outreach, testing, and help desk support to ensure providers successfully implement the data exchange process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
70	AG.3	Solution should be able to notify the provider if provider EVV solution visit data is incomplete or invalid when received.	Describe how solution notifies a provider if required EVV solution visit data is incomplete or invalid and how the aggregator function handles that data.	N/A	S	

Bidder's Response:

All of Sandata's interface specifications include an error handling process that indicates if a specific record has incomplete or invalid data in the file. See Attachment 10 for our standard Open EVV Interfaces. Providers using third party EVV systems can also view visit data status via their Aggregator portal. They can also run reports that provide more detail of incomplete or invalid visit data that requires correction and resubmission.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
71	AG.4	Solution should ensure that the data aggregator function can calculate total daily and weekly hours worked by caregivers. The data aggregator should be capable of aggregating hours across programs, providers, and members receiving services.	Describe how the data aggregator function calculates total daily and weekly hours worked by caregivers. Describe how the data aggregator will be capable of aggregating hours across programs, providers, and members receiving services.	N/A	S	

Bidder's Response:

Sandata Aggregator will display all actual hours worked and includes standard reporting showing daily and weekly hours worked by caregiver. DHHS will also have access to the Sandata Business Intelligence tool to support reporting on hours worked across programs and providers and participants receiving services. The Sandata system can also support each caregiver have a unique identifier so holistic caregiver hours worked reports are available across multiple provider agencies.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
72	AG.5	Solution must calculate visit time logged for each visit, and follow any rounding rules used as agreed with DHHS. Solution must be configurable depending on program and service requirements.	Describe how solution calculates visit time logged for each visit, including any rounding rules used. Describe how solution can be configured depending on program and service requirements.	N/A	S	

Bidder's Response:

Sandata EVV includes multiple configuration options for different rounding rules as well as units calculation. During the implementation, Sandata will work with DHHS to define the appropriate rounding rules for time worked as well as units calculation rules for billing.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
73	AG.6	Solution should interface in near real time with other qualified EVV systems utilized by other entities, such as providers.	Describe how solution will interface in near real time with other qualified EVV systems utilized by other entities, such as providers.	N/A	S	

Bidder's Response

Please see Attachment 10 for our standard Open EVV Interfaces. Sandata has successfully interfaced with provider systems in multiple state programs.

G.4 Privacy & Security Requirements:

The privacy of participant and provider data is critical to providing a safe, secure, confidential relationship between DHHS and its participants, partners and providers. The Solution must provide appropriate controls and capabilities within the system to ensure that the application meets security requirements and all data is secure, accurate and contained as required below.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
74	PS.1	Solution must provide capabilities and safeguards to ensure the security and integrity of all data, functions and access across all users. Solution must provide systems capabilities and safeguards to ensure the security and integrity of the EVV program, use of the solution, EVV system website and mobile apps, and the EVV data received from providers, including: a) The prevention of EVV system use, service verification, or EVV data access by provider organizations, individual	Describe how solution provides systems capabilities and safeguards to ensure the security and integrity of the EVV program, use of the solution, EVV system website and mobile apps, and the EVV data received from providers, including: a) The prevention of EVV system use, service verification, or EVV data access by provider organizations, individual providers, or others without	N/A	S	

	providers, or others without proper authorization and credentials; b) Electronic documentation and audit trails for all logins, system uses, errors, alerts, and changes to data, including corrections by billing providers.	proper authorization and credentials; b) Electronic documentation and audit trails for all logins, system uses, errors, alerts, and changes to data, including corrections by billing providers.			
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Bidder's Response:

Sandata follows industry best practices and standards and is in compliance with Medicaid confidentiality requirements, HIPAA requirements, including relevant HITECH amendments, NIST security and encryption requirements, W3C, SOX, and ISO 17799. We undergo annual SSAE-18 certification of our security and data protection capabilities and we are HITRUST CSF and NIST CsF certified. We continuously monitor state and national regulations (i.e., CMS EVV guidelines, federal security regulations, Trusted Exchange Framework and Common Agreement) to ensure our solutions meet changing regulatory guidance.

- a) Technical safeguards include strict access controls that utilize role-based access methods in accordance with the policy of least privilege. Sandata's extensive audit logging and monitoring capability is comprised of hardware, software, and procedural mechanisms to record, correlate, and analyze access and other activity within information systems. Manually entered visit data is tracked with a full audit trail and reason codes as well as resolution codes (required for CMS Certification) to support why manual entry has occurred.
- b) As users access the system, an automatic log is created and the system records which users have accessed confidential personal information. Sandata EVV includes security reports available to designated users to show system access, and all required data elements are included:
- User Name;
 - Date of Access;
 - Time of Access;
 - Name of Individual (First and Last) whose CPI was accessed;
 - Name of computer system used to access CPI; and
 - Query/Transaction used.

All manually entered visit data is tracked with a full audit trail and reason codes as well as resolution codes (required for CMS Certification) to support why manual entry has occurred.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
75	PS.2	<p>Solution must meet and contractor must document compliance with NIST SP 800-53 Rev. 4 and SP 800-53A Rev. 4 (moderate) security and privacy standards through the completion of a System Security Plan (SSP) per Attachment D prior to Go-Live. Contractor must provide a Plan of Action and Milestones (POA&M) for any items not fully compliant.</p> <p>Compliance is subject to a qualified independent security controls assessment prior to solution implementation.</p> <p>Security and privacy control requirements may be met by confirmed attestation of compliance (e.g., FedRAMP, SOC 2).</p> <p>The Contractor will be responsible for engaging a qualified independent security controls assessment contractor. DHHS shall approve the selection of the security assessment contractor.</p>	Describe how solution will meet the guidelines.	N/A	S	

Bidder's Response:

Our solutions are built, delivered and managed based on industry best practices and standards including NIST. We use an independent auditor to conduct security risk assessments. Note: Sandata has a long standing relationship with our security assessment vendor (Align) and we will provide DHHS with our annual report. We successfully completed our annual SSAE 18 SOC 1 Type 2 audit and are NIST Cybersecurity Framework and HITRUST CSF certified. The HITRUST CSF is a conglomerate of security controls defined by multiple sources, including HIPAA/HITECH, NIST 800-53, FedRAMP, CSA's CCM, ISO 27001, and others.

Risk assessments are conducted at least annually, or anytime there are material changes in business practices or the system environment, utilizing NIST Special Publication 800-53, *Guide for Conducting Risk Assessments*. Prior to Go-Live, we will complete a System Security Plan per Attachment D as well as provide a Plan of Action and Milestones (POA&M) for any items not fully compliant.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
76	PS.3	Solution must comply with the DHHS Information Security Policy	Describe how solution complies with the DHHS Information Security Policy.	N/A	S	

Bidder's Response:

Sandata has reviewed the DHHS Information Security Policy and confirms we adhere to the requirements.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
77	PS.4	Solution must provide for role-based access controls in a multi-tiered environment that allows DHHS and support coordinators and providers to create user roles and assign access to user roles for accessing system functions or viewing of appropriate levels of data. For instance, support coordination agencies serve recipients across multiple provider agencies and must be able to access information across provider agencies, but only for those individuals that the support coordination agency serves. Roles must be flexible, allow for modifications and must be configured by appropriate levels of management.	Describe how solution will provide for role-based access controls in a multi-tiered environment that allows DHHS and support coordinators to create user roles and assign access to user roles for viewing of appropriate levels of data. For instance, support coordination agencies serve recipients across multiple provider agencies and must be able to access information across provider agencies, but only for those individuals that the support coordination agency serves. Describe how the roles are flexible, allow for modifications and can be configured by appropriate levels of management.	N/A	S	

Bidder's Response:

Sandata's solution includes a flexible, user-friendly, role-based security set up. Sandata will work with DHHS to define the initial user roles and access to data using the principle of "least access" in accordance with HIPAA requirements. Provider agency staff will be assigned to specific roles based on job function (i.e., scheduler, staff intake/HR, biller, etc.). Set up and assignment of roles is highly configurable, and may be modified over time as program needs change. Permissions may also be assigned to individual users at the functional level. Set up and assignment of roles is flexible and configurable, and may be modified over time as program needs change.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
78	PS.5	Solution must provide secure handling and storage of all data, including all sensitive participant and provider information in accordance with Health Insurance Portability and Accountability Act (HIPAA) requirements, including the Health Information Technology for Economic and Clinical Health (HITECH) Act amendments and NIST SP 800-53.	Describe how solution provides for secure handling and storage of all data, including all sensitive participant and provider information in accordance with Health Insurance Portability and Accountability Act (HIPAA) requirements, including the Health Information Technology for Economic and Clinical Health (HITECH) Act amendments.	N/A	S	

Bidder's Response:

We securely handle and store all data according to industry best practices and standards, and we are in compliance with HIPAA requirements, including relevant HITECH amendments. All data received by Sandata is centrally stored in our private United States-based, geographically dispersed data centers.

Physical Security and Environmental Controls

Our facilities are locked and further secured through an electronic badge system. Building, data room, and premise security and environmental reviews are conducted annually. All visitors are required to sign the Visitor Log and show a valid proof of identity. The server room is monitored 24x7 by CCTV. Video files are reviewed monthly. The facility has fire monitoring and suppression systems and the data room has primary A/C cooling with secondary A/C unit to ensure ability to meet cooling requirements. Building, data room, and premise security and environmental reviews are conducted annually.

Network Security

The only way to access Sandata environments is to traverse Sandata's firewalls. Firewall logs are continually monitored and a review of findings is documented on the weekly checklist. We apply application and database security measures across our data centers. Employees may access systems via a secure VPN allowed on basis of need and access authorization level. All Sandata users are assigned a unique user ID and password. Strict password use policies have been established that require employees to treat their passwords as highly confidential and to be secured at all times.

Browser Security

Sandata encrypts all data transmissions. Access to the application is done only via the use of a secure internet browser with 256-bit encryption. All automated transfers are encrypted to ensure that all PHI is protected in accordance with all laws and regulations as documented in Sandata's internal security policies. All data interfaces into and out of Sandata systems use data encryption standards that meet both Sandata and customer requirements. All standard protocols are supported such as HTTPS, SSH, and SFTP. All client data is treated as PHI and protected as such. System and application logs are captured and maintained.

Encryption

To meet all federal security standards, Sandata encrypts data both at rest and in transit.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
79	PS.6	Solution must monitor for all real or potential security incidents and privacy breaches. Notification must be received within 24 hours of identification, with expected impacts (known at the time) and remediation approach to be coordinated with DHHS.	Describe how solution provides monitoring and notification. Describe how notification will be delivered within 24 hours of identification, with expected impacts (known at the time) and remediation approach to be coordinated with DHHS.	N/A	S	

Bidder's Response:

Sandata uses a combination of internal and third party external vulnerability scanning and monitoring for detection of external attacks. We monitor all network access, maintain logs of all attempts to access networks and receive notification of any unusual activity on Sandata's network. Threat management and breaches are immediately escalated to the Security team. Regular tests of office security integrity are conducted. Sandata's outside IT support provider is directed to periodically attempt unauthorized access to Sandata's server and reports the results to the Security officer. An independent auditor conducts scans on a semi-annual basis and results are reviewed to identify corrective actions and a timeline for remediation, if needed.

All workers are required to immediately report suspected security incidents (for example virus infections, hacking, data theft, and suspicious activity) to their manager or the Security Officer directly. The Security Officer will initiate an investigation and/or involve the appropriate support organizations to correct the problem or address the situation. Sandata's Security Officer is responsible for investigating and coordinating our response to security incidents and security policy violations. An incident report will be written in accordance with the Security Incident Management policy. We will provide notification to appropriate DHHS staff in the event of a breach within 24 hours and coordinate remediation efforts with DHHS.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
80	PS.7	Solution must have the capability to detect, prevent and reduce the potential likelihood or impact of fraudulent use of	Describe how solution has the capability to detect and prevent fraudulent use of the EVV	N/A	S	

		the EVV system.	system.			
<p>Bidder's Response:</p> <p>Sandata EVV creates a shared environment supporting real-time communication, transparency, improved efficiency, and program integrity. Our solution accurately captures visit data, removing potential human error or time sheet 'rounding' by caregivers. We also include Participant verification of service delivery to further reduce errors and fraud. DHHS will have access to our Sandata Jurisdictional View which offers comprehensive data, reporting and analytics tools to support compliance programs and program integrity audits and investigations.</p> <p>To further detect and prevent fraudulent use of the EVV system, we also have strict access controls that utilize role-based access methods in accordance with the policy of least privilege. Also, all manually entered visit data is tracked with a full audit trail and reason codes as well as resolution codes (required for CMS Certification) to support why manual entry has occurred. Sandata provides detailed reporting on patterns of manual edits to assist in EVV compliance management.</p>						

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
81	PS.8	Solution must have the ability to monitor, track and report any modifications to the EVV system data. Solution must have the ability to track and report modifications to the EVV system data input elements after the direct service worker has checked in or out for services, including the name of the provider staff making the changes and the reason for changes.	Describe how solution has the ability to track and report modifications to the EVV system data input elements after the direct service worker has checked in or out for services, including the name of the provider staff making the changes and the reason for changes.	N/A	S	

<p>Bidder's Response:</p> <p>EVV Web Portal supports manual edits for those users who have the appropriate roles-based permissions. All edits to visit data are captured with a full audit trail. Audits are considered addendums to the visit record, and the system shows both the original data and the change, as well as reason codes and resolution codes (required as well for CMS Certification) to support why manual entry has occurred. The audit trail shows who made the changes, what elements of the visit data were changed or added, as well as a date and time stamp for each edit.</p>						
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Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
82	PS.9	Solution must have the capability to limit providers' authority to modify service entries or input manual service entries	Describe how solution has the capability to limit providers' authority to modify service	N/A	N	Sandata has provided information on our standard capabilities based on best practices in our response.

		based on program rules which may vary between programs. This must include limiting the number or percentage of manual service entries a provider is allowed to enter.	entries or input manual service entries based on program rules which may vary between programs. This includes limiting the number or percentage of manual service entries a provider is allowed to enter.			
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Bidder's Response:

Sandata EVV does not limit the number of manual service entries as a best practice to ensure providers have the ability to make corrections so they are paid for all properly verified visits. Rather than setting limits, Sandata recommends DHHS include a robust compliance plan as part of its EVV program. Compliance plans are used to set and enforce expectations for visit verification to occur in real time at the point of care minimizing the need for manual edits after the fact.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
83	PS.10	Solution must allow for multi-factor authentication compatible with NIST SP 800-53 guidance for all or specific categories of users as determined by DHHS.	Describe how solution provides multi-factor authentication method of access control for all users as determined by DHHS.	N/A	F	This capability is available via our optional Single Sign On protocols and is available via the change order process.

Bidder's Response:

Sandata EVV addresses multi-factor authentication via our Single Sign On protocol. If DHHS would like to use SSO, this will be addressed during implementation using the change order process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
84	PS.11	Solution must provide for secure storage and complete, full-time online accessibility of all EVV data through defined security roles. This must include, but is not limited to the following: a. DHHS: Division of Medicaid and Long-Term Care Services; Division of Developmental Disabilities; DHHS Financial Services: Financial and Program Analysis; and Information Systems and Technology (IS&T); b. The Medicaid fiscal agent (FA and AWC) and any other state Medicaid Contractor(s) designated by DHHS;	Describe how solution provides for Secure storage and complete, full-time online accessibility of all EVV data through defined security roles. This includes, but is not limited to the entities identified in a-e.	N/A	S	

		<p>c. Attorney General's Office: Medicaid Fraud and Patient Abuse Unit;</p> <p>d. All support coordination agencies, case managers, and care coordinators designated by DHHS; and</p> <p>e. Medicaid enrolled providers of EVV mandatory services solely with respect to the specific service types and visits for which they are billing, the individual beneficiaries they are serving, and consistent with the applicable approved prior authorizations and service plans.</p>				
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Bidder's Response:

Sandata will work with DHHS to set up role-based access for entities addressed in Requirement #84 a - e to ensure each user only sees the features, functionality, and data appropriate for the user role using the principle of "least access" in accordance with HIPAA requirements. Set up and assignment of roles is flexible and configurable, and may be modified over time as program needs change. Permissions may also be assigned at the functional level.

- a. DHHS will have access over the entire EVV program.
- b. The Medicaid Fiscal Agent or other contractors will have access to the data/modules that DHHS permits.
- c. Attorney General's Office will have access to the data/modules that DHHS permits; we recommend the entire EVV program data.
- d. Support coordination agencies, case managers, and care coordinators will have access to only participants that they manage.
- e. Medicaid enrolled providers will have access to only their participants/caregivers.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
85	PS.12	Solution must limit access to only the authorized group of stakeholders.	Describe how solution limits access to only the authorized individual stakeholders.	TA.BI.9	S	

Bidder's Response:

Sandata will work with DHHS to grant role-based access with a distinct set of privileges to authorized individual stakeholders with unique user names and passwords. Providers establish role-based access for their individual staff members.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
86	PS.13	Solution must protect electronic protected health information (ePHI), personally identifiable information (PII), and federal tax information (FTI) from improper alteration or destruction,	Describe how solution protects electronic protected health information (ePHI), personally identifiable information (PII), and federal tax information (FTI) from	TA.SP.10	S	

	including authentication mechanisms to corroborate that ePHI, PII, and FTI has not been altered or destroyed in an unauthorized manner.	improper alteration or destruction, including authentication mechanisms to corroborate that ePHI, PII, and FTI has not been altered or destroyed in an unauthorized manner.			
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Bidder's Response:

Sandata protects confidential data through a robust information security program that integrates technical and non-technical controls for logical access, physical access, data retention and disposal, asset re-use and disposal, asset maintenance including record keeping, change management, configuration management, audit logging & monitoring, business continuity and disaster recovery, and physical security and environmental protection to ensure data has not been altered or destroyed in an unauthorized manner.

Sandata offers numerous controls to protect ePHI, PII and other information from improper alteration or destruction. These include:

Physical and Environmental Controls

We employ both physical security and environmental controls to control physical access to our data centers and protect systems from environmental hazards as described in our response to Req. # 78.

Network Security

We operate a secure network. Access into the Sandata environments must traverse firewalls. Firewall logs are checked during the weekly network review by Sandata personnel and a review of findings are documented on the weekly checklist. We apply application and database security measures across our data centers. Access to information and application system functions is restricted in accordance with our Security Policy. Employees may access systems via a secure VPN allowed on basis of need and access authorization level. All Sandata users are assigned a unique user ID and password. Strict password use policies have been established that require employees to treat their passwords as highly confidential and to be secured at all times. Changing passwords regularly is one way to prevent passwords from becoming compromised and the default varies from 30 to 90 days, depending on the particular system. Privileged user access rights are reviewed on a quarterly basis.

Data and Media Security

Sandata has detailed procedures for the destruction of confidential data residing on hard copy and/or electronic media that is no longer needed as described in detail in our response to Req. #120.

Vulnerability Scanning

Sandata uses third party external vulnerability scanning and monitoring for detection of external attacks. We employ a third party to establish and ensure all network access, maintain logs of all attempts to access networks and receive notification of any unusual activity on Sandata's network.

Threat management and breaches are immediately escalated to the Security team. Regular tests of office security integrity are conducted. Sandata's outside IT support provider is directed to periodically attempt unauthorized access to Sandata's server and reports the results to the Security officer. A third-party auditor conducts scans on a semi-annual basis and results are reviewed to identify corrective actions and a timeline for remediation, if needed.

Malware/Anti-Virus Protection

All of Sandata's servers and desktops are protected from Spyware and signatures are kept up to date automatically. We also utilize anti-virus and malware protection on our firewalls. Sandata has a process in place for anti-virus detection and repair and uses McAfee which continuously runs and updates to the most current version of Virus signatures.

Disaster Recovery / Business Continuity

Sandata has implemented preventative and protective measures to safeguard against disasters, business interruptions, and risks by offering timely failover in the event of a disaster, as described in detail in our response to Req.# 222.

Change Management Controls

The goal of our technical change management process is to ensure that standardized methods and procedures are used for efficient and prompt handling of all changes, in order to minimize the impact of change-related incidents upon service quality, and consequently to improve the day-to-day operations of the organization. This includes deployment of code, reports, configurations, patch updates, and firewall policy changes in the production environment for all applications and IT services. Specifically:

- New Application code changes;
- Existing application bug fixes;
- Application enhancement code changes;
- Emergency fixes of any sort (server or application – DB / Web);
- New Server builds;
- Applying service packs and patches;
- Third Party software installation on production servers;
- Infrastructure changes and repairs; and
- Any other changes that is not mentioned above but applied to production server / database or application level.

Audit Logging and Monitoring

Technical safeguards include strict access controls that utilize role-based access methods in accordance with the policy of least privilege. Sandata's extensive audit logging and monitoring capability is comprised of hardware, software, and procedural mechanisms to record, correlate, and

analyze access and other activity within information systems.

Human Resources

We follow several personnel security policies to address all new, current, and terminated employees. Sandata has robust personnel security procedures that apply to all phases of employment. Sandata performs formal screening procedures on prospective employees consisting of all or part of prior employment references / other verification of previous employment, evidence of stated academic and professional qualifications, credit reference checks for certain positions, criminal record checks and independent identity checks (e.g., passport).

As part of the onboarding process, Sandata provides new employees with information on our values, principles, policies, and procedures. Each new employee is required to acknowledge all policies including security and acceptable use. All employees and independent contractors sign a data confidentiality agreement with sanctions for violations made clear. Sandata uses progressive discipline for managing employees who violate established company or workplace standards. Upon termination, HR will notify parties required to disable company provided equipment, access, and communications and employees will immediately have network and workstation access to all information revoked. In addition, building, office, desk, and any other keys are recovered and all Sandata provided equipment, such as laptops and wireless will be recovered and checked.

All new employees/independent contractors are trained on confidentiality and security procedures including requirements, escalation, and policies. In addition, Sandata conducts semi-annual information security awareness training to reinforce the security policies and standards. All Sandata personnel receive HIPAA training as part of their new employee orientation and complete an annual HIPAA training program thereafter. The Human Resources Department tracks compliance with the annual renewal of HIPAA training each year with documentation kept in the employee's personnel file.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
87	PS.14	Solution must verify that a person or entity seeking access to electronic protected health information (ePHI), PII or FTI is the one claimed.	Describe how solution verifies that a person or entity seeking access to electronic protected health information (ePHI), PII or FTI is the one claimed.	TA.SP.11	S	

Bidder's Response:

Caregivers verify their identity by logging into Sandata's mobile application via a unique user name and password. Additionally, each authorized user can only access data by logging into the EVV system with their own unique name and password.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
88	PS.15	Solution must follow regulations that govern the safeguarding of information about applicants and beneficiaries. The following is the minimal set of information that must be safeguarded (1) Names, addresses and phone numbers; (2) Medical services provided; (3) Social and economic conditions or circumstances; (4) Agency evaluation of personal information; (5) Medical data, including diagnosis and past history of disease or disability; (6) Any information received for verifying income eligibility and amount of medical assistance payments. Income information received from the Social Security Administration (SSA) or the Internal Revenue Service must be safeguarded according to the requirements of the agency that furnished the data; and (7) Any information received in connection with the identification of legally liable third party resources.	Describe how solution follows regulations that govern the safeguarding of information about applicants and beneficiaries as listed in the requirement, including all safeguard procedures and compensating controls according to the HIPAA Security Rule. Describe the System Security Plan to be delivered prior to implementation, and if a draft is available provide the draft plan.	TA.SP.15	S	

Bidder's Response:

All client data is treated as PHI and protected in Sandata EVV. Note that not all of the listed data points are applicable to an EVV solution (i.e. EVV does not store information on income eligibility, etc.).

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
89	PS.16	<p>Solution must comply with provisions for Administrative Simplification under the HIPAA of 1996 to ensure the confidentiality, integrity, and availability of ePHI, PII and FTI in transit and at rest, including: HIPPA Privacy Rule</p> <ul style="list-style-type: none"> • Provide safeguards as described in the October 22, 1998 State Medicaid Director letter, Collaborations for Data Sharing between State Medicaid and Health Agencies; • Performs regular audits; and • Supports incident monitoring and reporting. 	<p>Describe how solution complies with provisions for Administrative Simplification under the HIPAA of 1996 to ensure the confidentiality, integrity and availability of ePHI, PII and FTI in transit and at rest, including all safeguards as described in the October 22, 1998 state Medicaid Director letter, Collaborations for Data Sharing between State Medicaid and Health Agencies. Describe regular audits performed. Describe how solution supports incident monitoring and reporting.</p>	TA.SP.18	S	

Bidder's Response:

HIPAA/Audit

Our solutions are built, delivered and managed based on industry best practices and standards including HIPAA. Sandata is committed to meeting or exceeding the expectation to “maintain reasonable and appropriate administrative, technical, and physical safeguards” for protecting PHI. We also successfully completed our annual SSAE 18 SOC 1 Type 2 audit and achieved HITRUST CSF Certification, which demonstrates Sandata’s compliance with HIPAA regulations through a rigorous security evaluation.

Encryption

To meet all federal security standards, Sandata encrypts data both at rest and in transit.

- **At Rest** - Sandata utilizes an enterprise storage solution with self-encrypting drives (“SEDs”) within the arrays to achieve Federal Information Processing Standards (“FIPS”) 140-2 compliance. All data contained on these drives (PHI or otherwise) is protected against unauthorized access, including media or hardware theft and tampering. All SEDs are certified by the NIST and Canadian Communications Security Establishment as meeting Level 2 security requirements for cryptographic modules as defined in the FIPS 140-2 Publication.
 - Sandata Mobile Connect uses SQLITE DB and is encrypted using 256 bit AES encryption to achieve compliance with NIST Special Publication 800-111: Guide to Storage Encryption Technologies for End User Devices. Passwords are not stored in the application.
- **In Transit** - To protect the delivery of sensitive data across the public internet, Sandata encrypts all data transmissions. We use proven, industry-standard security protocols such as TLS 1.2 as the basis for encryption technologies. HTTPS is used to encrypt data at the server side and decrypt it once received by the client PC.

Incident Monitoring / Reporting

Sandata has also implemented a risk assessment process to formally monitor and address information security risk associated with information systems, data, and the Sandata network. Risk assessments are conducted at least annually, or anytime there are material changes in business practices or the system environment, utilizing NIST Special Publication 800-53, Guide for Conducting Risk Assessments.

All workers are required to immediately report suspected security incidents (for example virus infections, hacking, data theft, and suspicious activity) to their manager or the Security Officer directly. The Security Officer will initiate an investigation and/or involve the appropriate support organizations to correct the problem or address the situation. Sandata's Security Officer is responsible for investigating and coordinating our response to security incidents and security policy violations. Depending on the circumstances, other Sandata business units may be involved in taking corrective or investigative action under the direction of the Security Officer. An incident report will be written in accordance with the Security Incident Management policy. We will provide notification to appropriate DHHS staff in the event of a breach.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
90	PS.17	Solution must verify identity of all users, and deny access to invalid users. For example: <ul style="list-style-type: none"> • Requires unique sign-on credentials (ID and password) • Requires authentication of the receiving entity prior to a system initiated session, such as transmitting responses to eligibility inquiries. 	Describe how solution verifies identity of all users, and denies access to invalid users.	TA.SP.22	S	

Bidder's Response:

Sandata EVV verifies the identity of all users and denies access to invalid users as all users must have unique sign on credentials (ID and password).

As part of our standard data interface specifications, Sandata provides authentication of the receiving entity prior to a system initiated data exchange.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
91	PS.18	Solution must enforce password policies	Describe how solution enforces	TA.SP.24	S	

		for length, character requirements, and updates.	password policies for length, character requirements and updates.			
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Bidder's Response:

Sandata EVV enforces password policies for length, character requirements and updates. These items are configurable based on DHHS requirements. The minimum password length is 12 characters for the various portals and 8 characters for Sandata Mobile Connect and must include at least one upper case letter, one lower case letter, one number, and one special character.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
92	PS.19	Solution must support a user security profile that controls user access rights to data categories and system functions.	Describe how solution supports a user security profile that controls user access rights to data categories and system functions.	TA.SP.25	S	

Bidder's Response:

Each Sandata EVV user is assigned a distinct set of privileges using strict access controls that utilize role-based access methods in accordance with the policy of least privilege.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
93	PS.20	Solution should permit supervisors or other designated officials to set and modify user security access profile.	Describe how solution permits supervisors or other designated officials to set and modify user security access profiles.	TA.SP.26	S	

Bidder's Response:

Sandata will work with DHHS to define user roles and user permissions. Set up and assignment of roles is flexible and configurable, and may be modified over time as program needs change. Supervisors with appropriate permissions can modify user security access profiles at any time.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
94	PS.21	Solution must include procedures for accessing necessary electronic Protected Health Information (ePHI), and PII in the event of an emergency; and continue protection of ePHI and PII during emergency operations.	Describe how solution includes procedures for accessing necessary electronic Protected Health Information (ePHI) and PII in the event of an emergency. Describe procedures and compensations to ensure	TA.SP.27	S	

continued protection of ePHI and PII during emergency operations. This may include Disaster Recovery and Business Continuity plans which provide these protections.

Bidder's Response:

Sandata has proven backup and recovery processes to ensure stakeholder access and a reliable platform for continuously collecting and transmitting data, including without disruption of service. Sandata's systems employ high availability techniques to ensure that if a server fails, other servers take over the duties of the failed server and virtualization to ensure we can redeploy healthy servers quickly and without incurring downtime. Our average uptime for EVV across all customers from 1/1/2016 to present is 99.980%.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
95	PS.22	<p>Solution should support the SMA (the covered entity) in its responsibility for:</p> <p>(i) Standard security management processes by implementing policies and procedures to prevent, detect, contain, and correct security violations.</p> <p>(ii) Implementation specifications, which are all required of the contractor:</p> <p>(A) Risk analysis: Conduct an accurate and thorough assessment of the potential risks, threats, and vulnerabilities to the confidentiality, integrity, and availability of electronic protected health information (ePHI), personally identifiable information (PII) and federal tax information (FTI) managed, stored and processed on behalf of the covered entity.</p> <p>(B) Risk management: Implement security measures sufficient to reduce risks, threats, and vulnerabilities to a reasonable and appropriate level to comply with § 164.306(a) (CFR 45.164.306).</p> <p>(C) Sanction policy: Apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures of the covered entity.</p>	Describe solution's standard security management processes, including all items noted in the requirements.	TA.SP.3	S	

		(D) Information system activity review: Implement procedures to regularly review records of information system activity, such as audit logs, access reports, and security incident tracking reports.				
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Bidder's Response:

Sandata's EVV systems have a high level of security and require protection as part of best management practices as is documented in a Security Plan. The security plan documents the structured process of planning adequate, cost-effective security protection for the EVV system including physical and environmental security; system, data and network security; and administrative and personnel security. The Security Plan will contain all required elements outlined.

Risk Analysis

In addition to our security audits (SSAE-18 and HITRUST CSF), Sandata uses a combination of internal and third party external vulnerability scanning and monitoring for detection of external attacks. We monitor all network access, maintain logs of all attempts to access networks and receive notification of any unusual activity on Sandata's network. Threat management and breaches are immediately escalated to the Security team. Regular tests of office security integrity are conducted. Sandata's outside IT support provider is directed to periodically attempt unauthorized access to Sandata's server and reports the results to the Security officer. An independent auditor conducts scans on a semi-annual basis and results are reviewed to identify corrective actions and a timeline for remediation, if needed.

Risk Management

- Risk identification: Risks are identified and categorized into groups.
- Risk analysis: Risks are analyzed based on qualitative and quantitative measures, including priority, degree of impact, and strategies for reducing risk.
- Risk strategies: Risk strategies are defined including risk acceptance, risk prevention, risk mitigation, and risk transfer.
- Risk monitoring: Risks are reviewed regularly and reassessed and communicated via the defined communication methodologies.

Sanction Policy

As part of the onboarding process, Sandata provides new employees with information on our values, principles, policies and procedures. Each new employee is required to acknowledge all policies including security and acceptable use. All employees and independent contractors sign a data confidentiality agreement with sanctions for violations made clear. Sandata uses progressive discipline for managing employees who violate established company or workplace standards.

Information System Activity Review

Sandata has strict procedures in place to regularly monitor audit logs, access reports, and security incident tracking reports. For example, each

time a visit is edited, the user is required to save the changes. The save process automatically initiates a re-validation of the visit data and flags any new exceptions that may be present on the record as a result of the edits. Sandata EVV also includes audit reports to show all visits with manual edits as part of the standard reporting suite.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
96	PS.23	Solution should alert appropriate staff authorities of potential violations of privacy safeguards, such as inappropriate access to confidential information.	Describe solution's capabilities for alerting appropriate staff authorities of potential violations of privacy safeguards, including inappropriate access to confidential information.	TA.SP.30	S	

Bidder's Response:

Sandata EVV uses roles based access and will not allow an unauthorized user to access confidential information. Any attempt to log into the system with an invalid ID or password will automatically lock the user out after three attempts. Sandata also continuously monitors our system for external attacks as part of our standard security protocols. In the event of a violation of our privacy safeguards, Sandata follows industry standard best practices for notification of security events.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
97	PS.24	Solution should provide "right of access" and "request for access" to individuals to protect ePHI, and PII in a timely manner, per agreed turnaround times, that allows it to be included in responses to inquiries and report requests.	Describe solution's process capabilities for providing 'right of access' and 'request for access' to individuals to protect ePHI, and PII in a manner that allows it to be included in responses to inquiries and report requests. Note timeframes required to provide information.	TA.SP.31	S	

Bidder's Response:

Sandata will work with DHHS during the implementation to configure the system roles and access levels to ePHI and PII in accordance with state policy. Should DHHS request information related to ePHI or PII outside of the EVV system, Sandata will adhere to the request and timeline in accordance with state policy.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
98	PS.25	Solution should contain verification mechanisms that are capable of authenticating authority (as well as identity) for the use or disclosure requested. For example: <ul style="list-style-type: none"> • Denies general practitioner inquiry for recipient eligibility for mental health services • Permits inquiries on claim status only for claims submitted by the inquiring provider. 	Describe solution's verification mechanisms that are capable of authenticating authority (as well as identity) for the use or disclosure requested.	TA.SP.32	S	

Bidder's Response:

As clarified in Q&A Question 40, this question asks the vendor to describe the solution's verification mechanisms that are capable of authenticating authorization (as well as identity) for the use or disclosure requested.

Sandata EVV requires all users to log into the system using a unique ID and password. Sandata checks the user ID and password to ensure it is valid and approved for access to data. Users are assigned roles based access that limits their ability to view data or access areas of the system. Roles are established during the program business rules sessions during implementation.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
99	PS.26	Solution must support encryption and decryption of stored ePHI, PII, and FTI or an equivalent alternative protection mechanism.	Describe solution's capabilities for supporting encryption and decryption of stored ePHI, PII and FTI or an equivalent alternative protection mechanism.	TA.SP.33	S	

Bidder's Response:

To meet all federal security standards, Sandata encrypts data at rest and supports decryption of stored data. Please refer to our response to Req.# 89.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
100	PS.27	Solution must support encryption of ePHI, PII and FTI that is being transmitted, as appropriate.	Describe solution's capability to support encryption of ePHI, PII and FTI that is being transmitted.	TA.SP.34	S	

Bidder's Response:

To protect the delivery of sensitive data across the internet, Sandata encrypts all data transmissions. We use proven, industry-standard algorithms such as TLS 1.2 as the basis for encryption technologies.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
101	PS.28	Solution should support integrity controls to guarantee that transmitted ePHI, PII, and FTI are not improperly modified without detection (e.g. provide secure claims transmission).	Describe solution's capability to support integrity controls to guarantee that transmitted ePHI, PII and FTI are not improperly modified without detection.	TA.SP.35	S	

Bidder's Response:

Sandata encrypts all data transmissions. Access to the application is done only via the use of a secure internet browser with 256-bit encryption. All automated transfers are encrypted to ensure that all PHI is protected in accordance with all laws and regulations. All data interfaces into and out of Sandata systems use data encryption standards that meet both Sandata and customer requirements. All standard protocols are supported such as HTTPS, SSH, and SFTP. System and application logs are captured and maintained.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
102	PS.29	Solution should provide data integrity of ePHI, PII and FTI by preventing and detecting improper alteration or destruction (e.g. double keying, message authentication, digital signature, check sums etc.).	Describe solution's capability to provide data integrity of ePHI, PII and FTI by preventing and detecting improper alteration or destruction.	TA.SP.36	S	

Bidder's Response:

Sandata protects data integrity and does not allow users to modify this type of information.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
103	PS.30	Solution must provide the capability that all system activity can be traced to a specific user or entity.	Describe solution's capability for all system activity to be traced to a specific user or entity.	TA.SP.37	S	

Bidder's Response:

As users access the system, an automatic log is created and the system records which users have accessed confidential personal information. Sandata EVV includes security reports available to designated users to show system access, and all required data elements are included:

- User Name;
- Date of Access;
- Time of Access;
- Name of Individual (First and Last) whose CPI was accessed;
- Name of computer system used to access CPI; and
- Query/Transaction used.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
104	PS.31	Solution should identify and respond to suspected or known security and privacy incidents; mitigate any harmful effects of security and privacy incidents that are known to the covered entity or business associate; and document security incidents and their outcomes. (Such as exceed maximum number of logon attempts.)	Describe how solution identifies and responds to suspected or known security and privacy incidents; mitigates any harmful effects of security and privacy incidents that are known to the covered entity or business associate; and document security incidents and their outcomes.	TA.SP.38	S	

Bidder's Response:

We take extensive measures to detect and prevent security incidents. For example:

- Sandata Mobile Connect accounts are automatically disabled and locked upon too many failed login attempts.
- We monitor all network access, maintain logs of all attempts to access networks and receive notification of any unusual activity on Sandata's network. Threat management and breaches are immediately escalated to the Security team. Sandata's outside IT support provider is directed to periodically attempt unauthorized access to Sandata's server and reports the results to the Security officer. An independent auditor conducts scans on a semi-annual basis and results are reviewed to identify corrective actions and a timeline for remediation, if needed.
- All workers are required to immediately report suspected security incidents (for example virus infections, hacking, data theft, and suspicious activity) to their manager or the Security Officer directly. The Security Officer will initiate an investigation and/or involve the appropriate support organizations to correct the problem or address the situation. An incident report will be written in accordance with the Security Incident Management policy. We will provide notification to appropriate DHHS staff in the event of a breach.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
105	PS.32	Solution must log system activity and enable analysts to examine system activity in accordance with audit policies and procedures (error diagnosis, and performance management) adopted by the agency.	Describe solution's capability for logging system activity and enabling analysts to examine system activity in accordance with audit policies and procedures adopted by the agency.	TA.SP.39	S	

Bidder's Response:

Sandata's extensive audit logging and monitoring capability is comprised of hardware, software, and procedural mechanisms to record, correlate, and analyze access and other activity within information systems. Each record in Sandata EVV is assigned a unique identifier that can be used to search and retrieve the information. Sandata utilizes both natural keys and assigned identifiers on each object to ensure that data can be identified and tracked. Analysts can thoroughly examine system activity in accordance with audit policies and procedures.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
106	PS.33	Solution must support procedures for guarding, monitoring, and detecting malicious software (e.g. viruses, worms, malicious code, etc.).	Describe solution's ability to support procedures for guarding, monitoring, and detecting malicious software.	TA.SP.41	S	

Bidder's Response:

All of Sandata's servers and desktops are protected from Spyware and signatures are kept up to date automatically. We also utilize anti-virus and malware protection on our firewalls. Sandata has a process in place for anti-virus detection and repair and uses McAfee which continuously runs and updates to the most current version. In addition to McAfee for traditional signature-based malware protection, Sandata utilizes Cylance as an integrated threat prevention solution that combines the power of artificial intelligence (AI) to block malware infections with additional security controls that safeguard against script-based, fileless, memory, and external device-based attacks. Cylance also serves Sandata as a full endpoint detection and response ("EDR") solution.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
107	PS.34	Solution should have the capability to provide provision of access to an authorized user or request.	Describe solution's ability to have provide provision or access to an authorized user or request.	TA.SP.42	S	

Bidder's Response:

Sandata will work with DHHS to set up authorized users and ensure they have access to data that is appropriate for their role and in full compliance with HIPAA security policies.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
108	PS.35	Solution should contain indicators that can be set to restrict distribution of ePHI, PII and FTI in situations where it would normally be distributed.	Describe solution's ability to contain indicators that can be set to restrict distribution of ePHI, PII and FTI in situations where it would normally be distributed.	TA.SP.43	S	

Bidder's Response:

Sandata uses a variety of mechanisms to restrict access to and distribution of ePHI and PII including:

- Unique credentials (user ID and password)
- User profiles to include name, user ID, agency, state, etc.
- Role-based access (including the use of designated administrators)
- Storing passwords with a non-reversible hash and encrypting in transit
- Ability to deny access to invalid users or establish a time period to suspend access
- Session time-out

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
109	PS.36	Solution should track disclosures of ePHI, PII and FTI; and provide authorized users access to and reports on the disclosures.	Describe solution's ability to track disclosures of ePHI, PII and FTI; and to provide authorized users access to and reports on the disclosures.	TA.SP.44	S	

Bidder's Response:

Sandata continuously monitors our systems for outside attempts to improperly access data. Sandata follows industry standard processes for notifying and addressing any unauthorized access to our solutions.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
110	PS.37	Solution must have standard Access Control specifications including, but not limited to:	Describe solution's capability for standard Access Control specifications, including all	TA.SP.5	S	

		(i) Assigning a unique name and/or number for identifying and tracking user identity. (ii) Establishing and implementing, as needed, emergency access procedures for obtaining necessary electronic protected health information (ePHI), PII, and FTI during an emergency. (iii) Implementing electronic procedures that terminate an electronic session after a predetermined time of inactivity. (iv) Implementing a mechanism to encrypt and decrypt electronic protected health information (ePHI), PII, and FTI.	identified items i through iv.			
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Bidder's Response:

We have rigorous access control specifications, including:

- (i) Ensuring all Sandata users are assigned a unique user ID and password for identifying and tracking user identity.
- (ii) Sandata has a proven backup and recovery plan for accessing all system data in the event of an emergency. Please see Attachment 11a for our Disaster Recovery Plan. Account lockout after a predetermined period of inactivity.
- (iii) An enterprise storage solution with self-encrypting drives (SEDs) within the arrays to achieve FIPS 140-2 compliance. All data contained on these drives (PHI or otherwise) is protected against unauthorized access, including media or hardware theft and tampering.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
111	PS.38	Roles and responsibilities of individuals should be separated through assigned information access authorization as necessary to prevent malevolent activity.	Describe solution's capability for separating roles and responsibilities of individuals through assigned information access authorization as necessary to prevent malevolent activity.	TA.SP.50	S	

Bidder's Response:

Sandata will work with DHHS to determine utilize role-based access for users in accordance with the policy of least privilege, which limits access authorization as necessary to prevent malevolent activity during the implementation process.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
112	PS.39	User account access authorization	Describe solution's ability to	TA.SP.51	S	

		should follow the concept of least privilege; allowing users access to only the information that is necessary to accomplish assigned tasks in accordance with business functions.	manage user account access authorization following the concept of least privilege – allowing users access to only the information that is necessary to accomplish assigned tasks in accordance with their business functions.			
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Bidder's Response:

Sandata's technical safeguards include strict access controls that utilize role-based access methods in accordance with the policy of least privilege.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
113	PS.40	Accounts should be disabled after 3 consecutive invalid login attempts.	Describe solution's process for disabling the account access after 3 consecutive invalid login attempts.	TA.SP.52	S	

Bidder's Response:

Sandata offers an account lockout security feature that is configurable by number of failed login attempts. Our default configuration is automatic lock out after three consecutive attempts.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
114	PS.41	User account access should be reviewed on a quarterly basis at a minimum. User accounts should be appropriately disabled as roles and responsibilities change.	Describe solution's process for reviewing user account access quarterly, and disabling accounts as user roles and responsibilities change.	TA.SP.53	S	

Bidder's Response:

Sandata reviews all of our internal user access at least quarterly and makes adjustments as needed. In addition, we make changes to internal user access whenever an employee joins or leaves the company, or moves into a new role.

Sandata EVV includes an administrative user role for each provider so that the provider may review access of their users, and add, remove or change access in accordance with DHHS policies.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS	Bidding	Gap Description and Recommendation for
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				Checklist ID	Ability Code	Closure
115	PS.42	After a State defined period of inactivity, the system should initiate a session lock; the session lock should remain in place until the user reestablishes access using established identification and authentication procedures.	Describe solution's ability to initiate a session lock after a state defined period of inactivity, and ensuring the session lock stays in place until the user reestablishes access using established identification and authentication procedures.	TA.SP.54	S	

Bidder's Response:

Sandata EVV is configurable to define the required period of inactivity that will initiate a system lock. During the implementation our team will configure the system to match DHHS policy.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
116	PS.43	Solution should enforce physical access authorizations for all physical access points (including designated entry/exit points) to the facility where the information system resides (excluding those areas within the facility officially designated as publicly accessible).	Describe how solution enforces physical access authorizations for all physical access points to the facility where the solution resides.	TA.SP.56	S	

Bidder's Response:

Sandata employs stringent physical security controls. Our facilities are locked and further secured through an electronic badge system. Employees use automatic screen savers when they leave their workstation and staff must log off at the end of the day. Sandata employs a clean desk policy requiring all paper documents to be protected by lock and key when not in use. Building Management provides after hours security of the facility including CCTV monitoring. All after hours personnel must enter /exit at the manned lobby level and only prescreened key holders have access to the building. The server room is monitored 24x7 by CCTV. Video files are reviewed monthly. The facility has fire monitoring and suppression systems and the data room has primary A/C cooling with secondary A/C unit to ensure ability to meet cooling requirements. Building, data room, and premise security and environmental reviews are conducted annually. All visitors are required to sign the Visitor Log and show a valid proof of identity, which includes date, time in, time out, purpose of visit, and signature. All visitors are escorted to the proper location.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
117	PS.44	Solution should maintain a current list of	Describe solution's process for	TA.SP.57	S	

		personnel with authorized access to the space where required (e.g. review and approval of access list and authorization credentials at least once every 180 days, removes personnel from the access list that no longer require access).	maintaining a current list of personnel with authorized access to the space where solution resides and the process for maintaining the list.			
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Bidder's Response:

Sandata maintains and regularly monitors the current list of personnel with authorized access to the facilities. If an employee is terminated, HR will notify parties required to disable access and communications, and employees will immediately have network and workstation access to all information revoked.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
118	PS.45	Physical access to information system distribution and transmission lines must be controlled within the facility to prevent unauthorized access.	Describe solution's ability to control physical access to information system distribution and transmission lines within the facility to prevent unauthorized access.	TA.SP.58	S	

Bidder's Response:

We take extensive measures to control physical access. For example, all after hours personnel must enter /exit at the manned lobby level and only prescreened key holders have access to the building. The server room is monitored 24x7 by CCTV. Video files are reviewed monthly. All visitors are required to sign the Visitor Log and show a valid proof of identity, which includes date, time in, time out, purpose of visit, and signature. All visitors are escorted to the proper location.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
119	PS.46	Solution must guard against unauthorized access to electronic protected health information (ePHI), PII, or FTI that is being transmitted over an electronic communications network.	Describe solution's capabilities for guarding against unauthorized access to ePHI, PII or FTI that is being transmitted over an electronic communications network.	TA.SP.6	S	

Bidder's Response:

The only way to access Sandata environments is to traverse Sandata's or AWS firewalls. Firewall logs are continually monitored and a review of findings is documented on the weekly checklist. We apply application and database security measures across our data centers. Employees may access systems via a secure VPN allowed on basis of need and access authorization level.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
120	PS.47	Solution should implement policies and procedures that govern the receipt and removal of hardware and electronic media that contain electronic protected health information (ePHI), PII or FTI).	Describe solution's policies and procedures that govern the receipt and removal of hardware and electronic media that contain ePHI, PII or FTI, and the process for maintaining policies and procedures.	TA.SP.7	S	

Bidder's Response:

Sandata has detailed procedures for the destruction of confidential data residing on hard copy and/or electronic media that is no longer needed. Information stored on DVD disks or similar medium are destroyed by physical destruction of the medium in Sandata's industrial shredder or in an otherwise reasonable manner. Paper documents containing information are shredded when no longer required. Removable storage devices (e.g., USB storage, DVD, etc.) holding information are kept in a locked compartment/room when not in use. Confidential information held on removable devices are erased or destroyed within five (5) business days. Permanent storage devices, such as hard drives or flash drives in computers being discarded are physically destroyed by perforation or chemicals. Drives to be reused, including those sold or donated, are erased by using erasure software to perform a three-time overwrite of hard drives.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
121	PS.48	Solution must enforce a sufficient level of authentication / identification against fraudulent transmission and imitative communications deceptions by validating the transmission, message, station or individual.	Describe solution's capability to enforce a sufficient level of authentication / identification against fraudulent transmission and imitative communications deceptions by validating the transmission, message, station or individual.	TA.SP.70	Choose an item.	

Bidder's Response:

Sandata periodically performs penetration and vulnerability testing to ensure tactics such as man in the middle, session hijacking and injection mechanisms are not possible with our solution.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure

122	PS.49	Sensitive data in transit that requires confidentiality protection must be encrypted following industry-standards when traversing entity boundaries. For data in transit where the only concern is the protection of integrity, hashing techniques and message authentication codes can be used instead of encryption.	Describe solution's ability to encrypt sensitive data in transit that require confidentiality protection, following industry-standards when traversing entity boundaries.	TA.SP.72	S	
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Bidder's Response:

Sandata encrypts all data transmissions. We use proven, industry-standard algorithms such as TLS 1.2 as the basis for encryption technologies.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
123	PS.50	Solution must use only FIPS Pub 140-2-approved (or higher) encryption algorithms.	Describe solution's process for using FIPS Pub 140-2 approved (or higher) encryption algorithms.	TA.SP.74	S	

Bidder's Response:

Sandata utilizes an enterprise storage solution with SEDs within the arrays to achieve FIPS 140-2 compliance. All SEDs are certified by the NIST and CSE as meeting Level 2 security requirements for cryptographic modules as defined in FIPS 140-2 Publication.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
124	PS.51	Solution must employ malicious code protection mechanisms at IT system information system entry and exit points and at workstations, servers, or mobile computing devices on the network to detect and eradicate malicious code.	Describe solution's capability to employ malicious code protection mechanisms at IT system information system entry and exit points and at workstations, servers, or mobile computing devices on the network to detect and eradicate malicious code.	TA.SP.75	S	

Bidder's Response:

All of Sandata's servers and desktops are protected from Spyware and signatures are kept up to date automatically. We also utilize anti-virus and malware protection on our firewalls. Sandata has a process in place for anti-virus detection and repair and uses virus protection which continuously runs and updates to the most current version. Sandata also utilizes Cylance as an integrated threat prevention solution that combines the power of artificial intelligence (AI) to block malware infections with additional security controls that safeguard against script-based, fileless, memory, and external device-based attacks. Cylance also serves Sandata as a full endpoint detection and response ("EDR") solution.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
125	PS.52	Solution must update malicious code protection mechanisms (including signature definitions) whenever new releases are available in accordance with IT system configuration management policy and procedures.	Describe solution's process for updating malicious code protection mechanisms (including signature definitions) whenever new releases are available in accordance with IT system configuration management policy and procedures.	TA.SP.76	S	

Bidder's Response:

Sandata has a process in place for anti-virus detection and repair and uses virus protection which continuously runs and updates to the most current version.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
126	PS.53	Solution must implement and maintain reasonable and appropriate administrative, technical, and physical safeguards for protecting ePHI, PII and FTI in accordance with the HIPAA Security Rule on a control by control basis as defined by the NIST Cybersecurity Framework and NIST SP 800-53.	Describe solution's capabilities for implementing and maintaining reasonable and appropriate administrative, technical, and physical safeguards for protecting ePHI, PII and FTI in accordance with the HIPAA Security Rule on a control by control basis as defined by the NIST Cybersecurity Framework and NIST SP 800-53.	TA.SP.77	S	

Bidder's Response:

Our solutions are built, delivered and managed based on industry best practices and standards including HIPAA and NIST. In fact, we conduct risk assessments at least annually, or anytime there are material changes in business practices or the system environment, utilizing NIST Special Publication 800-53, Guide for Conducting Risk Assessments.

Following is an overview of the reasonable and appropriate administrative, technical, and physical safeguards we employ to protect ePHI, PII and FTI in accordance with the HIPAA Security Rule:

- Administrative safeguards include, but are not limited to, limiting uses and disclosures of PHI to the “minimum necessary” and only when appropriate; adhering to workforce management expectations regarding supervision of employees with access to PHI; performing periodic assessments of Sandata’s information security program to evaluate if it meets HIPAA requirements; and implementing and periodically

testing incident response, business continuity, and disaster recovery plans.

- Sandata’s physical safeguards include robust facility access controls to limit physical access to authorized and appropriate individuals. Sandata also defines and enforces the proper use of and access to workstations and electronic media. Policies and procedures define the restrictions for the transfer, removal, disposal, and re-use of electronic media to ensure the appropriate protection of PHI.
- Technical safeguards include strict access controls that utilize role-based access methods in accordance with the policy of least privilege. Sandata has also implemented controls to ensure the integrity and transmission security of PHI is maintained.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
127	PS.54	Solution should support audit controls for hardware, software, and/or procedural mechanisms that record and examine activity in information systems that contain or use ePHI.	Describe solution’s ability to support audit controls for hardware, software, and/or procedural mechanisms that record and examine activity in information systems that contain or use ePHI.	TA.SP.9	S	

Bidder’s Response:

For the Sandata EVV application, we record every time a user views information for a participant. We can report on the user who was viewing the information, where they were in the system and what participants were viewed / accessed. Additionally, for reporting, Sandata can report on the criteria used to generate the report.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
128	PS.55	Contractor must provide a hosting environment for all solution components that has a Federal Risk and Authorization Management Program (FedRAMP) Certification, FedRAMP Risk Assessment that indicates compliance, has a documented NIST 800-53 Rev 4 at a “moderate” system risk assessment designation, or is Statement on Standards for Attestation Engagements (SSAE-16) SOC 1 Type 2 and SOC 2 Type 2 compliant.	Describe the solution’s hosting environment and how it meets identified standards.	N/A	S	

Bidder's Response:

Sandata's on-premises environment undergoes a SOC 1 Type 2 audit on a continual basis (reported on annually), and holds HITRUST CSF certification as well as HITRUST's certification of the NIST Cybersecurity Framework. NOTE: The HITRUST CSF can be mapped directly to FedRAMP, SOC 2, and NIST 800-53 Rev 4 (moderate baseline). AWS is FedRAMP compliant and undergoes SOC 1 Type 2 and SOC 2 Type 2 audits on a continual basis (reported on semi-annually). Further, AWS has been validated by third-party testing performed against the NIST 800-53 Revision 4 controls.

G.5 Reporting Requirements:

DHHS must meet all federal reporting requirements, as well as those imposed by Nebraska regulations and policies. In addition, Program Integrity efforts will depend heavily on reporting capabilities from the EVV visit and claim data. Describe in the specific requirements below how Bidder's Solution provides these capabilities.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
129	RR.1	Solution reporting module should provide reports in a variety of formats (hard copy, PDF, excel, csv, etc.).	Describe how the solution reporting module will make reports available in a variety of formats (hard copy, PDF, excel, csv, etc.).	N/A	S	

Bidder's Response:

Sandata EVV reports can be produced, printed and exported in multiple formats including PDF, Excel, and CSV. Reports are generated live within the application. After running a report, the user selects the "export" button and selects the desired export option from the drop down list.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
130	RR.2	Solution should make a complete set of data related to visits submitted for verifications, including but is not limited to the following elements, available for reporting: 1. Individual receiving services 2. Direct care worker 3. Provider 4. Location of visit 5. Date of visit 6. Start time of visit 7. End time of visit 8. Services delivered (e.g.,	Describe how the solution will make a complete set of data related to visits submitted for verifications, including but is not limited to the following elements, available for reporting: 1. Individual receiving services 2. Direct care worker 3. Provider 4. Location of visit 5. Date of visit 6. Start time of visit 7. End time of visit	N/A	S	

		respite, chore, personal assistance services) 9. Manual or electronic verification 10. Missed visits 11. Late visits 12. Independent verification by individual receiving services 13. Payer (like an MCO) 14. System which captured the visit data	8. Services delivered (e.g., respite, chore, personal assistance services) 9. Manual or electronic verification 10. Missed visits 11. Late visits 12. Independent verification by individual receiving services 13. Payer (like an MCO) 14. System which captured the visit data. Provide a complete list of data elements available for purposes of reporting.			
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Bidder's Response:

Our standard offering includes data extracts to support your enterprise data warehouse for additional analytics across your entire program. Please refer to Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
131	RR.3	The final library of standard reports will be developed under direction of DHHS. DHHS will have final decisions regarding report capabilities, frequencies, access and output methods.	Provide a listing and examples of the default standard library of reports available.	N/A	S	

Bidder's Response:

Sandata provides a standard reporting library based on our experience deploying our EVV solution nationally. Sandata will review the reporting library with DHHS to identify reporting needs for your specific program.

Please refer to Attachment 12 for samples of our standard reports.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
132	RR.4	Contractor should use a standard methodology for generating reports. Contractor's solution should provide ad hoc reporting functionality. Ad hoc reporting functionality will utilize "point and click" technology.	Describe the methodology for generating reports. Describe how bidder's solution will provide ad hoc reporting functionality, and how solution will utilize "point and click" technology.	N/A	S	

Bidder's Response:

With Sandata Business Intelligence, there are focused dashboards for DHHS users targeted at providing analysis into care delivery across the entire provider network. Sandata's Business Intelligence ("BI") tool includes a wide range of 'point and click' features that provide the ability to quickly analyze program metrics, allow drill down access to support targeted analysis, and create new dashboards through a user-friendly interface. Sandata's BI tool also allows authorized users to create alerts, schedule reports, and share and communicate reports through the built-in social platform. Please refer to Section 3, Technical Approach for more details on our Sandata BI capabilities.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
133	RR.5	Contractor must provide a report of verified visits that will be available to billing providers on an agreed cadence.	Provide an example of the report(s) of verified visits that will be available to billing providers.	N/A	S	

Bidder's Response:

Providers have access to on demand reports showing all verified visits. Please refer to Attachment 12 for sample reports of verified visits in our Billing-Claims Detail Report.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
134	RR.6	Solution must provide a report of visits not verified that will be available to billing providers.	Provide an example of the report of visits not verified that will be available to billing providers.	N/A	S	

Bidder's Response:

Please refer to Attachment 12 for sample report of unverified visits in our Visit Verification Exceptions Report.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
135	RR.7	Solution should be able to create a report of all daily transactions by type.	Describe how DHHS will be able to access a report of all daily transactions by type, and provide an example of the report.	N/A	S	

Bidder's Response:

DHHS system users with the appropriate reporting permissions can generate a report of all daily transactions – see the Call Listing Report in Attachment 12 for sample reports.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
136	RR.8	Solution's reporting system shall be configurable so that standard reports can be changed easily over the life of the contract.	Describe how the reporting system shall be configurable so that standard reports can be changed easily over the life of the contract.	N/A	S	

Bidder's Response:

Sandata continually makes revisions to existing reports and add new reports as existing functionality is enhanced and/or new functionality is released. Providers and participants will have access to report via their EVV portal. DHHS will have access to all reports via your Jurisdictional portal. Reports can easily be added or removed from the system configuration without downtime. With Sandata BI, DHHS can configure new dashboards and visualizations to create your own set of additional reports over the life of the contract.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
137	RR.9	Solution must provide for role-based access to reporting functionality and data rights. For example, providers must have access to reports for services they have provided and case managers will have access to reports for individuals for whom they manage care. (Not all users can access all reports.)	Describe how users will have role-based access to reporting functionality and data rights.	N/A	S	

Bidder's Response:

Sandata Aggregator uses roles-based access to assign specific reports to each user. Within Sandata EVV, reports are available based on the user's type. For example, a participant will only see a subset of the reports available to the provider and will have additional security applied to ensure that they view only their own information.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
138	RR.10	Solution should allow authorized users to design, save and share configurable dashboards and reports.	Describe how solution shall allow authorized users to design, save and share configurable dashboards and reports.	N/A	S	

Bidder's Response:

DHHS will have access to Sandata's Business Intelligence tool which allows authorized users to design, save and share configurable dashboards and reports.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
139	RR.11	Solution should provide the flexibility to vary time periods for reporting purposes and to produce reports on daily, monthly, quarterly basis, or other frequency specified by the State.	Describe how solution shall provide the flexibility to vary time periods for reporting purposes and to produce reports on daily, monthly, quarterly basis, or other frequency specified by the State.	PE.PI2.16	S	

Bidder's Response:

Within the Reporting module, users can select from both daily and/or date range reports. Users can specify the start and end date for the report to generate monthly, quarterly or other frequency reports as specified by the State.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
140	RR.12	Solution should support reporting roles to include access such that DHHS can designate individuals to review, analyze and report all data across payers, providers, direct care workers, and individuals receiving services.	Describe how reporting roles include user access so that DHHS can designate individuals to review, analyze and report all data across payers, providers, direct care workers, and individuals receiving services.	N/A	S	

Bidder's Response:

Sandata Aggregator uses roles based access for reporting. During the implementation Sandata will work with DHHS to set up all reporting roles in accordance with DHHS requirements.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
141	RR.13	Solution must have reporting functionality which will include tools to facilitate the presentation of data in meaningful ways, including tables, graphs and maps.	Describe how the reporting functionality will include tools to facilitate the presentation of data in meaningful ways, including tables, graphs and maps. Provide a	N/A	S	

			complete list of tools that will be included in the solution to facilitate the presentation of data.			
<p>Bidder's Response:</p> <p>Sandata Business Intelligence includes graphical and ad hoc reporting features, allowing users to create custom reports.</p>						

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
142	RR.14	Solution should collect and store data needed to produce reports consistent with data collection plan to assess quality and appropriateness of care furnished to participants of the waiver program.	Describe solution's capability to collect and store data needed to produce reports consistent with the data collection plan to assess quality and appropriateness of care furnished to participants of the waiver program.	TA.BI.10	S	
<p>Bidder's Response:</p> <p>Sandata EVV records all visit data gathered at the point of care and this data is available in real time and via on-demand reports. See Attachment 12 for examples of standard reporting.</p>						

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
143	RR.15	Solution should provide reports that allow users to drill down from summarized data to detailed data.	Describe solution's ability to provide reports that allow users to drill down from summarized data to detailed data.	TA.BI.5	S	
<p>Bidder's Response:</p> <p>Sandata's BI tool includes a wide range of features that provide the ability to quickly analyze program metrics, allow drill down access to support targeted analysis, and create new dashboards through a user-friendly interface.</p>						

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
144	RR.16	Solution should support retrieval and presentation of data associated with geographic indicators such as state, county, and zip code.	Describe solution's ability to support retrieval and presentation of data associated with geographic indicators such as state, county and zip code.	TA.FR.1	S	

Bidder's Response:

Sandata Business Intelligence reporting offers dynamic filters (including wild card searching) that allow the user to determine the exact content of the report by date range, participant, caregiver, schedule, service or other relevant filters including geographic indicators.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
145	RR.17	Solution should support federal reporting requirements when these requirements are met through the decision support services (DSS).	Describe how solution supports federal reporting requirements.	TA.FR.2	S	

Bidder's Response:

We export our data to the State's Enterprise Data Warehouse where federal reporting is completed.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
146	RR.18	Solution should support a variety of formats and output options (e.g. Word, Excel, html, Access database, GUI formats).	Describe how solution supports a variety of formats and output options.	TA.FR.4	S	

Bidder's Response:

Sandata EVV reports can be produced, printed, and exported in multiple formats including PDF, Excel, Word, CSV, and XML. PDF, Excel and CSV are validated for ADA compliance. Should DHHS require data to be imported into Access, the information can be exported as a .CSV file and imported into Access.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
147	RR.19	Solution should support simple queries and pre-formatted reports that are easy to access, follow a user-friendly protocol, and produce responses immediately.	Describe how solution supports simple queries and pre-formatted reports that are easy to access, follow a user-friendly protocol, and produce responses immediately.	TA.FR.6	S	

Bidder's Response:

Users with the appropriate permissions can generate pre-formatted reports via the Sandata EVV Reporting module. Every report has dynamic filters (including wild card searching) that allow the user to determine the exact content of the report, by date range, participant, caregiver, service or other relevant filters. Filters automatically change based on the available content in the report. Each report includes a summary of the query

and query results. Reports are generated on demand and presented immediately to the requesting user.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
148	RR.20	Solution should provide ad hoc reporting capability that presents summarized information on key factors (e.g. number of enrollees, total dollars paid) to executive staff upon request.	Describe how solution provides ad hoc reporting capabilities that present summarized information on key factors to executive staff upon request.	TA.FR.7	S	

Bidder's Response:

DHHS users can create their own custom / ad hoc dashboards easily through the Sandata Business Intelligence dashboard creation tool. Users can quickly select datasets, filters, sorting criteria, create calculated fields, and select from numerous different visualization styles simply by pointing and clicking and preview your changes as you build.

In addition, Sandata's Account Executive provides an Executive Summary that demonstrates the overall value of the EVV program, and highlights potential areas of concern regarding fraud, waste, and abuse. The Executive Summary focuses on key activities and trends such as percentage of visits auto-verified, average number of visits/participant, total call volume, and other key program metrics. The report provides an overview of program activity, with specific dashboards and analysis such as system anomalies, as well as patterns of system utilization. For example, we report on the trending of visits verified through our system along with pertinent analysis of the data. This formal report will be instrumental for monitoring and measuring the effectiveness of the program, and will highlight potential areas of fraud, waste, and abuse to support program integrity functions.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
149	RR.21	Solution should generate performance measures for specific business processes using predefined and ad hoc reporting methods.	Describe how solution generates performance measures for specific business processes using predefined and ad hoc reporting methods.	TA.PM.8	S	

Bidder's Response:

Sandata's Account Manager provides monthly reporting on performance measures required in the contract.

G.6 Technical Requirements:

Solution must be scalable, maintainable and supportable throughout the life of the contract to meet the needs of DHHS.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
150	TEC.1	Solution must have the capacity and scalability for future expansion to support additional populations or services. Additional services or programs may be added or removed from the EVV implementation at the sole discretion of DHHS. This may be related to state and federal regulations changes, budget appropriations, court proceedings and other factors. Solution must support implementation of Home Health services prior to January 1, 2023. Solution must maintain adequate capacity and scalability to add other DHHS or other Nebraska agency services as needed.	Describe how solution has the capacity for future expansion to support additional populations or services.	N/A	S	

Bidder's Response:

Our systems' capacity is easily expandable - today we support over 13,000 unique provider agencies, 690,000 members, and over 140,000,000 annual visits.

Sandata continuously monitors performance and capacity of our systems. Stringent monitoring ensures that all users (participants, providers, fiscal agents, and States) have unlimited access to all business functions when needed, and meets all performance expectations. We monitor database performance and measure statistics in terms of business transactions (i.e., number of calls, number of visits, number of visit verification changes, etc.) ensuring the maximum amount of time (the delta between the time a transaction is received by and then exits Sandata's systems) is minimized. Peak utilization of the system is monitored continuously and utilization levels are regularly evaluated against current capacity. The need for additional servers and/or network bandwidth is pre-planned and pre-staged to ensure sufficient capacity is always available in the event of sudden increase in traffic or a customer requirement for rapid deployment of additional capacity.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
151	TEC.2	Solution must have the capacity for	Describe in detail the description	N/A	S	

		ongoing growth to meet DHHS needs, including but not limited to: a) recording, storing and exchange of all data, including direct service worker and recipient service data; b) with at least six (6) years of data active in all actions and dashboards; and c) For at least ten (10) rolling years' data for reporting.	of capability available to meet each requirement.			
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Bidder's Response:

Sandata has the capacity for ongoing growth.

a) Sandata's EVV systems are configured to maximize availability, data storage and response times. Our systems' capacity is easily expandable - today we support over 13,000 unique provider agencies, 690,000 members, and over 140,000,000 annual visits.

b) Data is never archived or purged; rather it is available at all times to end users throughout the life of the contract without the need for restoration.

c) We retain data for 10 years and make it available for rolling year reporting via the Sandata Business Intelligence Tool.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
152	TEC.3	Solution must be configurable to support multiple programs or services which have different policies, procedures and business rules, all of which are subject to change during the contract.	Explain how solution will be scalable and configurable to add new functional features and support more users and service types in the future without affecting the underlying system architecture or system performance.	PE.PI1.23	S	

Bidder's Response:

Sandata's infrastructure and capacity allow us to provide over 150 million verifications a year and our technology is in use in over 400,000 homes daily. Sandata has the size, resources, and history to effectively scale and grow for new program expansions and to meet projected volumes for the DHHS EVV program.

We have experience growing and expanding our customer's EVV programs. For example, our most recent expansion involves taking the Ohio EVV program from three waivers and adding two additional waivers plus six Managed Care Organizations. The expansion will add another 5,000 providers and over 70,000 members, representing a 112% increase in providers, and a 184% increase in members. The system in Ohio will exceed 18.6 million visits per year once fully deployed.

Sandata excels at performance and expanding system capability to meet customer requirements through a combination of maintaining capacity to handle initial user volumes, pre-planning and pre-staging annual volume increases, and maintaining a flexible and expandable system architecture that allows rapid expansion as needed. The platform's capacity is monitored, and if capacity levels of 70% are reached, the resources are expanded. Using Oracle clustering technology, adding additional capacity to our backend system can be quickly and easily achieved.

Supported by over 70 IT staff, the solution's infrastructure is proactively maintained and managed by Information Technology professionals to ensure a high level of performance.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
153	TEC.4	<p>Solution must have a comprehensive audit trail:</p> <p>a) Solution must provide an audit trail or log which identifies all access to PHI.</p> <p>b) Audit trail or log used to identify access to protected health information must be retained for a minimum of ten (10) years.</p>	<p>Describe in detail the audit trail, including all field level data retained, to track all changes to business rules. Describe how solution provides an audit trail or log to identify accesses to PHI for a minimum of ten (10) years. Include in the description the data elements that are retained to document the access.</p>	N/A	S	

Bidder's Response:

Sandata EVV captures a full correction audit trail, recording the date, time, identity of the user, and a reason code(s) for why the correction is being made, as show in Figure 30.

Visit Details Visit Start Date: 10/31/2018 X

CLIENT NAME	CLIENT ID #	MEDICAID ID #	EMPLOYEE NAME	EMPLOYEE ID #
Alterations, Evelyn	612273	722912345678	Abercrombie, Rose	99101

	REASON CODE	ITEM	DATE	CHANGED BY
GENERAL				
CLIENT	83 - Telephony/MVV Not Available (requires free text explanation)	Acknowledge exception: Service Verification Exception	10/31/2018 2:32:24 PM	STXADMIN
EMPLOYEE				
CALL LOG	83 - Telephony/MVV Not Available (requires free text explanation)	Acknowledge exception: Client Signature Exception	10/31/2018 2:32:24 PM	STXADMIN
TASKS				
EXCEPTIONS	83 - Telephony/MVV Not Available (requires free text explanation)	Acknowledge exception: Visit Verification Exception	10/31/2018 2:32:24 PM	STXADMIN
GPS				
MEMO	Showing 1 to 3 of 3 entries			
CLAIMS	« < 1 > »			
HISTORY				

Figure 30: The audit trail shows who made the changes, what elements of the visit data were changed or added, as well as a date and time stamp for each edit.

Visit data can be edited according to program rules, but it cannot be deleted. Each time a visit is edited, the user is required to save the changes. The save process automatically initiates a re-validation of the visit data and flags any new exceptions that may be present on the record as a result of the edits. Once the visit is in a confirmed and approved state, it is eligible for submittal as a claim using Sandata Billing. Sandata EVV also includes audit reports to show all visits with manual edits as part of the standard reporting suite.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
154	TEC.5	Solution should be browser agnostic and must be maintained, updated and supported with a cadenced and planned schedule. NE DHHS currently uses Internet Explorer as the browser standard. For provider and client facing systems, the State of Nebraska requires that the systems support the industry standard browsers such as Chrome, Firefox, Safari as well as Internet Explorer. Solution should support the current versions of these browsers with minimum backward compatibility for two older browser versions. Solution roadmap should include plans to maintain compatibility with future browser versions.	Describe how solution provides full compatibility with selected browsers at current versions with backward compatibility for two older browser versions. Provide list of browsers supported, current versions supported and update / maintenance process.	TA.CS.6	S	

Bidder's Response:

Sandata EVV is accessed using standard web browsers including:

- Chrome Version 76
- Firefox Version 68

NOTE while Sandata EVV works with Microsoft Edge and Safari, Sandata has not formerly certified these browsers. Sandata does not recommend Internet Explorer as it is no longer supported by Microsoft.

Sandata supports the most current version of the listed browsers as well as backward compatibility for one previous version.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
155	TEC.6	Solution must include license and use of all software required to perform EVV capabilities and oversight.	Describe how licenses shall be provided as required by DHHS to allow users access to perform all necessary business functions.	N/A	S	

Bidder's Response:

Sandata has included an unlimited number of user licenses for our Sandata EVV solution. In addition, we have included 5 user licenses for DHHS for our Sandata Business Intelligence Tool. Additional Business Intelligence license are available via the change order process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
156	TEC.7	Unless otherwise mutually agreed to in writing, Contractor must maintain any and all hardware and software products required to support the solution at the most current to -2 version, including patches, fixes, upgrades, and releases for all software, firmware and operating systems. Any security patches must be maintained at most current level after thorough testing.	Describe method of maintaining all hardware and software patches, fixes, upgrades, and releases for all software, firmware and operating systems utilized by solution.	N/A	S	

Bidder's Response:

Sandata will provide operations support, maintenance, and ongoing configuration of the EVV solution for DHHS throughout the life of the contract.

This includes:

- Correcting deficiencies within the solution;
- Performing mass adjustments/changes to accommodate the EVV mandate, as requested or required;
- Routine maintenance such as performance optimization, database management, software/hardware upgrades, etc.;
- Using appropriate testing, configuration, and change control features;
- Updating system/user documentation and online help; and
- Maintaining approved, pre-launch customizations.

DHHS-specific Maintenance

After go-live, periodic maintenance releases for the system will be deployed to make sure that the system continues to meet the requirements of all customers, including DHHS. Our EVV solution will remain flexible and configurable and will support multiple programs and services for future expansion of additional programs and services as part of our system maintenance and change order process. Sandata will maintain the configuration of the existing system, including requests to change the table values, parameters, codes and hardcoded business logic as well as add additional recipients/providers assuming the expansion is for the same services, same scope, etc. Expansions and/or customizations requiring new services, scope, or capabilities will be implemented via the change order process.

General Systems Maintenance

Sandata's system maintenance follows a rigorous procedure. All system update patches are monitored and deployed by our patch management system. Patches are analyzed and scrutinized for validity. Once approved for deployment, they are scheduled and announced via our release notification process. Changes/Patches are deployed first to our development environment, then our QA environment, and then finally applied to Production.

Database Maintenance

Sandata has a database administration team led by a seasoned Vice President of Database Engineering with over 20 years of experience. We incorporate best practices into all aspects of database development, administration and change control to ensure smooth operations. All Oracle systems are monitored across environments by dedicated DBAs and their roles are clearly defined. Rights to databases are provided only after being thoroughly vetted, and are restricted to only enough rights needed to perform the requested actions. Rights are reviewed routinely and removed if no longer needed. Database changes are proposed, documented and made only after a review by the Change Control team, are generally scheduled after hours, and only after a backup copy of the affected system has been made.

Release Management

As a SaaS product, Sandata routinely releases functionality to benefit all its customers. We consider these to be 'point releases'.

Sandata's proposed solution includes two major components. The first component is our Assured Coverage EVV with Sandata Mobile Connect application as the primary method. The application is available for download in both the Google Play Store and the Apple Store. Users will download the application to their mobile device. As new releases become available, they are published to the respective stores and users are automatically prompted to download the latest version of the application.

Sandata EVV portals (for providers, state users, participants, etc.) are all SaaS, and all hosting, maintenance and enhancements are managed by Sandata. Sandata schedules periodic maintenance releases for the system to make sure that the system continues to meet the requirements of our clients as well as periodic updates to make sure the system meets the latest standards and regulations. Because our solution is offered as a SaaS system, Sandata personnel are responsible for all release deployments and all users are updated at the same time. Any high impact break fix issues are fixed and deployed ASAP.

Notifications

Sandata will notify DHHS and its EVV users in advance for all scheduled maintenance windows. Modifications and upgrades will be deployed during these scheduled windows. The only exceptions to this approach include high priority changes that cannot wait until the next scheduled release date, regulatory and legislative changes with specific implementation dates, and critical security fixes as appropriate. Notifications for scheduled maintenance and unscheduled outages will occur via email and we recommend that DHHS also post this information on the State's EVV Program website.

Please note that our telephony and mobile solutions allow the caregiver to check in and check out while the EVV system may be unavailable due to

system maintenance.

Schedule of Releases

Sandata uses Agile development practices, and our planned release frequency is once every four weeks. Contents and dates are subject to change based on changing customer requirements. For 2020, we are planning a two week release cycle with minimal downtime for our customers during the deployment.

Changes in Scope

The Sandata EVV solution is highly configurable, minimizing the need for customizations. If a system enhancement request or program expansion requires customization or unique configuration, the change order process will be used.

System Defects

A system defect is a flaw in the product that impedes the workflow of a customer. DHHS users can report a system defect via our Client Success help desk. Any high impact break fix issues are fixed and deployed ASAP. Our issue management system automatically escalates issues to the next level. The system will generate an alert within 24 hours of the missed planned completion date. If the issue remains unresolved for another 24 hours, the supervisor is notified. Lastly, should the issue remain unresolved for another 24 hours, the department head is notified.

System Enhancements

An enhancement is any additional feature or function that makes the product easier to use, improves workflow or end-user experience, embeds new technology and provides easier integration with other applications or databases. Enhancement requests can be submitted via our Client Success help desk or the assigned Account Executive. The timing of enhancements varies and is generally based on priority and our own product roadmap and schedule. Enhancements are applied across all customer EVV systems.

THE PRODUCT ROADMAP IS CONFIDENTIAL INFORMATION THAT IS EXEMPT FROM PUBLIC DISCLOSURE PURSUANT TO Neb. Rev.Stat. §84-712.05(3)

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
157	TEC.8	Solution should provide an environment where components can be added or replaced quickly and non-disruptively.	Describe how solution shall provide an environment where components can be added or replaced quickly and non-disruptively.	N/A	S	

Bidder's Response:

Sandata maintains all of our systems (both on premises and at AWS) that allows us to update or replace components without disruption or downtime.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
158	TEC.9	Solution should provide an architecture that has clearly defined service endpoints.	Provide a description of architecture and any architectural drawings.	N/A	S	

Bidder's Response:

Sandata EVV is a three-tier application. All components of the solution adhere to the policies and standards described above related to SaaS solutions. Sandata has included our architectural diagram as Attachment 13b based on our understanding of the RFP requirements.

THE ARCHITECTURAL DIAGRAM IS CONFIDENTIAL INFORMATION THAT IS EXEMPT FROM PUBLIC DISCLOSURE PURSUANT TO Neb. Rev.Stat. §84-712.05(3).

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
159	TEC.10	Solution must ensure all hardware, software, and communication components installed for use by state staff are compatible with the State's currently supported versions of the Microsoft Operating System, Microsoft Office Suite and Internet Explorer; and current technologies for data interchange.	Describe how the solution shall ensure all hardware, software, and communication components installed for use by state staff are compatible with the state's currently supported versions of the Microsoft Operating System, Microsoft Office Suite and Internet Explorer; and current technologies for data interchange.	N/A	S	

Bidder's Response:

Sandata EVV is accessed via an internet web browser. Sandata has provided the list of browsers supported in our response to Req. 154. As noted, Sandata supports Microsoft Edge as Microsoft Internet Explorer is no longer supported by Microsoft.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
160	TEC.11	Solution should provide context sensitive help (situational clarification and support associated with process specific steps), to support user activities (e.g. maintenance activities).	Describe how solution shall provide context sensitive help (situational clarification and support associated with process specific steps), to support user	N/A	S	

activities (e.g. maintenance activities).

Bidder's Response:

Sandata EVV provides situational clarification and support using hover over context for data fields within the application. In addition, our 24/7 Client Success (customer help desk) includes chat as well as an extensive library of searchable help documentation. Sandata EVV also includes a searchable user guide linked in the application.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
161	TEC.12	Contractor shall provide the solution's technical, functional, and performance documents as required by the IV&V Contractor.	Describe solution's process for maintaining and providing solution's technical, functional and performance documents as required by the IV&V Contractor.	N/A	S	

Bidder's Response:

The Implementation team will use DHHS' SharePoint for project documents, artifacts, and historical deliverables. All documents are versioned to ensure access to the most current documentation.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
162	TEC.13	Solution must support multiple web services standards, including web services, specifications, and adapters (e.g., ODBC, Web Service (WSDL, WS-*, SOAP, REST, UDDI, ODATA), JSON-WDP, MS SQL, SQL Server, Oracle, FTPS, SFTP, HTTPS, MSMQ).	Describe which web services standards the solution shall support: web services, specifications, and adapters (e.g., ODBC, Web Service (WSDL, WS-*, SOAP, REST, UDDI, ODATA), JSON-WDP, MS SQL, SQL Server, Oracle, FTPS, SFTP, HTTPS, MSMQ).	N/A	S	

Bidder's Response:

Sandata follows a Service Oriented Architecture approach to data mapping, transformation and integration ensuring that both source and destination are decoupled using a middleware layer accessed via standard file processes, REST, or SOAP via web service for all data transmission. In addition, we support multiple data exchange formats and adheres to key standards including XML, JSON and Delimiter Separated Values (i.e. comma or pipe). Our network supports all standard protocols including HTTPS, SSH, and SFTP.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
163	TEC.14	Solution should use technology-neutral interfaces that localize and minimize impact of new technology insertion or replacement.	Describe solution's technology-neutral interfaces that localize and minimize impact of new technology insertion or replacement.	TA.CM.4	S	

Bidder's Response:

Sandata has developed standard interfaces based on industry best practices to support data exchanges in the most efficient manner. See Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
164	TEC.15	Solution should develop data models (conceptual, logical and physical) that include mapping of information exchange with external organizations.	Describe solution's ability to develop data models that include mapping of information exchange with external organizations.	TA.DAM.3	S	

Bidder's Response:

As part of the implementation, Sandata will review with DHHS our interface specifications that define our minimum data set required for providing EVV services. Sandata maintains a conceptual logical data model providing a summary-level data model used for EVV solutions across the enterprise. In addition, central to our data management plan is our data dictionary. The data dictionary is developed and maintained using industry best practices. The data model and data dictionary are exposed to external entities via Sandata's OpenEVV family of interface specifications.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
165	TEC.16	Solution should apply single source of information methodologies.	Describe solution's ability to apply single source of information methodologies.	TA.DAM.7	S	

Bidder's Response:

Sandata EVV identifies a single source (system of record) to ensure each data point is defined (e.g. sourced from a DHHS system, entered at the point of care, etc.).

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
166	TEC.17	Solution should use standardized business rules definitions that reside in a separate application or rules engine.	Describe solution's ability to use standardized business rules definitions that reside in a separate application or rules engine.	TA.DM.1	S	

Bidder's Response:

Sandata EVV has a proprietary Business Rules Engine used by our configuration team to set up and configure the system according to program requirements.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
167	TEC.18	Solution should use a rules editor that maintains the current version of standardized business rules definitions in a language that business people can interpret and transforms them into machine language to automate them.	Describe solution's ability to use a rules editor that maintains the current version of standardized business rules definitions in a language that business people can interpret and transforms them into machine language to automate them.	TA.DM.2	S	

Bidder's Response:

Sandata uses a proprietary business rules engine that is updated to maintain the current version of DHHS specific business rules. Sandata provides documentation to DHHS of all configurations as part of our implementation process.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
168	TEC.19	Authorized user(s) must have access to user activity history and other management functions, including but is not limited to log-on approvals/ disapprovals and log search and playback.	Describe solution's ability for authorized users to have access to user activity history and other management functions, including but not limited to log-on approvals / disapprovals and log search and playback.	TA.LG.1	S	

Bidder's Response:

Authorized users will have access to user logs to show user activity history. Sandata also tracks login attempts/disapprovals and this information is available upon request.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
169	TEC.20	Contractor should provide a current product roadmap which provides details regarding planned updates, timing of product versions/releases, end of support (EOS) and end of life (EOL) for current and past versions. Roadmap should contain information regarding third-party products that the solution utilizes. Product roadmap should be updated quarterly.	Describe solution's product roadmap, release schedule, planned roadmap enhancements, any plans for end of support or end of life, and other product version/release information.	S&C.LC.11	S	

Bidder's Response:

Please see Attachment 9b for our current roadmap and planned release schedule. None of the solutions in this proposal have a planned end of support at this time.

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Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
170	TEC.21	Solution should use regionally standardized business rule definitions in both human and machine-readable formats.	Describe how solution uses regionally standardized business rule definitions in both human and machine-readable formats.	S&C.MS.10	S	

Bidder's Response:

Sandata EVV has a proprietary Business Rules Engine used by our configuration team to set up and configure the system according to program requirements. The resulting configuration is provided in a Microsoft Word format (Business Rules Document) with an accompanying Excel spreadsheet for DHHS review and approval.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
171	TEC.22	Solution should define and utilize system modules that can be interchanged without major system design.	Describe how solution defines and utilizes system modules that can be interchanged without major system redesign.	S&C.MS.14	S	

Bidder's Response:

Sandata EVV has flexible configuration and allows for modules such as Sandata Scheduling and Sandata Billing to be turned on or off based on DHHS program rules.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
172	TEC.23	Solution should use an intrastate rules engine separate from core programming with established interstate standardized business rules definitions.	Describe how solution uses an intrastate rules engine separate from core programming with established interstate standardized rules definitions.	S&C.MS.16	S	

Bidder's Response:

Sandata EVV has a proprietary Business Rules Engine used by our configuration team to set up and configure the system according to program requirements.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
173	TEC.24	All system design documents should utilize a widely supported modeling language (e.g., UML, BPMN).	Describe system design document modeling language which solution uses. DHHS utilizes Sparx Systems Enterprise Architect (EA) for modeling artifacts. Model artifacts shall be importable to the Sparx EA tool.	S&C.MS.18	S	

Bidder's Response:

Sandata uses UML for standard sequence diagrams.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
174	TEC.25	Modularity must be verified through extensive testing that demonstrates compliance with chosen interface standards and specifications.	Describe how testing will verify modularity using extensive testing that demonstrates compliance with chosen interface standards and specifications.	S&C.MS.4	S	

Bidder's Response:

As part of our system integration testing (SIT), all inbound and outbound interfaces are thoroughly tested to ensure that each interface is correctly formatted and transmitted as documented in the interface specification documents.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
175	TEC.26	Solution should leverage reliable messaging, including guaranteed message delivery (without duplicates) and support for non-deliverable messages.	Describe solution's message capabilities, including guaranteed message delivery and support for non-deliverable messages.	TA.SOA.2	S	

Bidder's Response:

Sandata uses industry standard message queues with persistence to ensure message delivery between subscribers and publishers.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
176	TEC.27	Contractor must develop and deliver a Conceptual Data Model that depicts the business area high-level data and general relationships for intrastate exchange.	Describe solution's conceptual data model and how it depicts the business area high-level data and general relationships for intrastate exchange.	IA.CDM.1	S	

Bidder's Response:

Sandata maintains a conceptual logical data model providing a summary-level data model used for EVV solutions across the enterprise. In addition, central to our data management plan is our data dictionary. The data dictionary is developed and maintained using industry best practices. The data model and data dictionary are exposed to external entities via Sandata's OpenEVV family of interface specifications.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
177	TEC.28	The system data models (conceptual, logical, and physical) delivered and developed by the contractor should identify relationships between key entities in the enterprise.	Describe solution's system data models which are delivered and developed by contractor and how contractor will identify relationships between key entities in the enterprise.	IA.CDM.2	S	

Bidder's Response:

Sandata maintains a conceptual logical data model providing a summary-level data model used for EVV solutions across the enterprise. In addition, central to our data management plan is our data dictionary. The data dictionary is developed and maintained using industry best practices. The data model and data dictionary are exposed to external entities via Sandata's OpenEVV family of interface specifications.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
178	TEC.29	Solution should utilize an intrastate metadata repository that defines the data entities, attributes, data models, and relationships sufficiently to convey the overall meaning and use of data and information.	Describe how solution will provide metadata information that defines the data entities, attributes, data models, and relationships sufficiently to convey the overall meaning and use of the data and information. Solution shall provide meta data information in industry standard export formats.	IA.DMS.2	S	

Bidder's Response:

Sandata EVV uses several proprietary meta data repositories within our solutions. Please see Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
179	TEC.30	Solution should define and utilize statewide standard data definitions, data semantics, and harmonization strategies.	Describe how solution defines and utilizes statewide standard data definitions, data semantics, and harmonization strategies.	IA.DMS.4	S	

Bidder's Response:

During the implementation process Sandata will work with DHHS to ensure we are using statewide standard data definitions for all data exchanges supporting EVV. Sandata has already achieved CMS certification for our system based on our standard process.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
180	TEC.31	Solution should support consumption of data in multiple formats from many sources, such as vital statistics, MCO encounter data, benefit manager encounter data (pharmacy, dental,	Describe how solution supports consumption of data in multiple formats from many sources.	IA.DS.11	S	

mental health), waiver program data, and census bureau.

Bidder's Response:

Sandata has provided our recommended standard formats for data exchange in Attachment 10, standard Open EVV Interfaces. We support data exchange in multiple formats. Based on the requirements as outlined in the RFP and Sandata EVV requirements, we have provided a summary of the DHHS required interfaces in Table 11. All planned data exchanges are assumed to use Sandata's standard interface specifications with one initial full file for files imported into Sandata EVV and incremental add/change/remove updates thereafter.

Table 11: DHHS EVV Data Integration Plan.

Data File / Interface	Responsibilities
Participant File	DHHS to provide file of all eligible participants for the program (will also include self-directed participants with assignment to the fiscal agent). This file will also support access to the participant/family portal.
Authorization File	DHHS will provide a file of all authorizations. Authorizations are used to associate participants to the provider, who will then be allowed to view and provide services using EVV to the participant.
Provider File	DHHS will provide a provider file with all providers for Sandata to set up provider EVV access
Self-Directed participant/caregiver Crosswalk File	DHHS will provide a file of all self-directed program caregivers with assignment to the appropriate participant(s).
Third Party EVV Interface	Sandata will provide data specifications to support provider system interfaces of EVV data from Third-party provider systems.
Data Warehouse Extract	Sandata will provide DHHS a standard data warehouse extract.
837 Claims File	Sandata will provide a claims file containing all approved visits for billing to be sent to the MMIS system for payment in the required 837 format.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
181	TEC.32	Solution's user interface or associated interfaces should provide text titles for frames to facilitate frame identification and navigation.	Describe how solution's user interface or associated interfaces provide text titles for frames to facilitate frame identification and navigation.	TA.CS.10	S	

Bidder's Response:

Please see Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
182	TEC.33	Solution's transactions must execute in a reasonable amount of time.	Describe solution's transaction execution time, and how execution time is monitored and reported.	TA.PM.5	S	

Bidder's Response:

Data received from interfaces are generally processed within three seconds 95% of the time. All data is timestamped and used for monitoring compliance. User-initiated queries will return results within three seconds for simple queries and 30 seconds when output is expected to be >10,000 rows. User interface response times are generally within two seconds. The addition, updating or deletion of data occurs generally within three seconds. Internal testing can validate this by measuring the process from action to completion.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
183	TEC.34	Solution should collect information in predefined formats.	Describe how solution will collect information in predefined formats, and identify formats used.	TA.PM.6	S	

Bidder's Response:

Data interfaces and automatic loading of data are achieved through standard formats. Please refer to Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
184	TEC.35	Solution must provide the ability to record and monitor the performance and utilization of resources within the overall system.	Describe how solution provides the ability to record and monitor the performance and utilization of resources within the overall system.	TA.PM.7	S	

Bidder's Response:

Sandata uses automated application and network performance measuring tools to help us monitor, manage, tune, and report performance. For example, Figure 31 shows our Network Operations Dashboard used to monitor the status of our network interfaces. Our internal monitoring tools have configurable alerts to efficiently and effectively notify our IT systems staff of any issues before they become major problems.

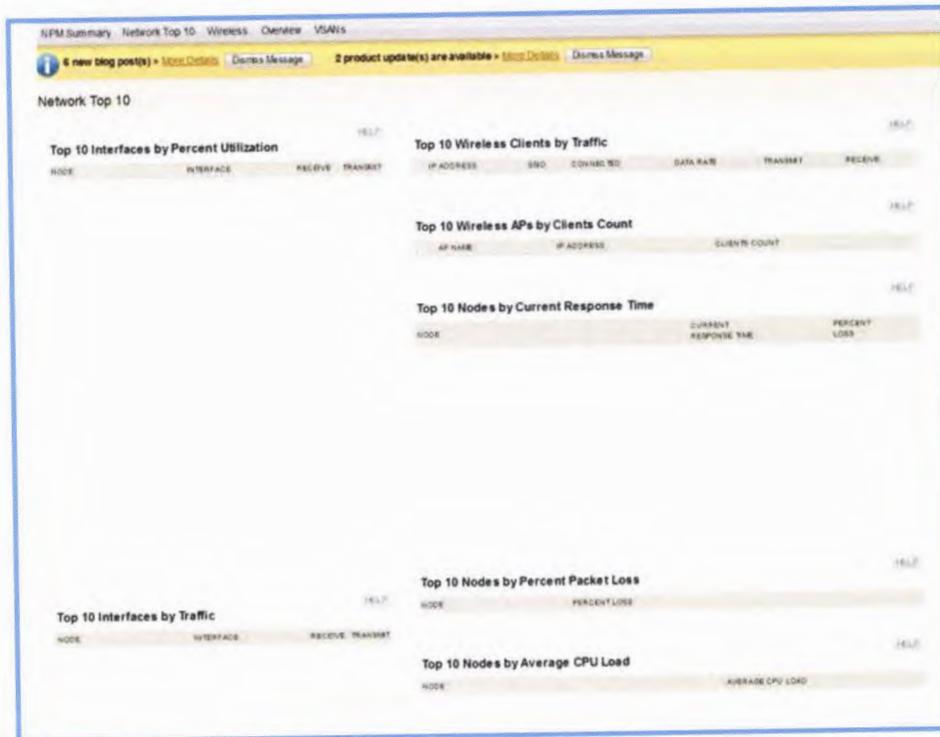


Figure 31. Sandata measures various network interface statistics as the ones shown in this graphic.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
185	TEC.36	The Department prefers cloud-based hosting for the solution. The delivery of the solution/services should be seamless with the hosting solution providing the flexibility to integrate other solutions for security and regulatory purposes in the future and be cost-	Describe solution's approach to hosting and how delivery of the solution will be seamless. Describe how hosting solution provides the flexibility to integrate other solutions for security and regulatory purposes in the future and be cost-effective	N/A	S	

	<p>effective and scalable. Solution must provide production, UAT and training environments. Solution must provide visibility into capabilities of development and SIT environments, and must provide access to SIT environment to support interface testing prior to UAT. Solution must provide ongoing access to a UAT environment for integration and solution testing during the operations phase to support approved changes via the approved change management process.</p>	<p>and scalable. Also show how solution meets State and Federal regulations, security and performance requirements. Describe the production, UAT and training environments.</p>			
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Bidder's Response:

Sandata EVV uses a hybrid hosting model with some aspects of our solution hosted on premise and other aspects hosted in AWS, providing a seamless delivery. During implementation Sandata will work with DHHS to identify any opportunities to leverage AWS integration capabilities.

Regulatory

Sandata follows industry best practices and standards and is in compliance with Medicaid confidentiality requirements, HIPAA requirements, including relevant HITECH amendments, NIST security and encryption requirements, W3C, SOX, and ISO 17799. We undergo annual SSAE-18 certification of our security and data protection capabilities and we are HITRUST CSF and NIST CsF certified. We continuously monitor local and national regulations surrounding relevant aspects (e.g., CMS EVV guidelines, federal security regulations, Trusted Exchange Framework and Common Agreement) to ensure our solutions meet changing regulatory guidance.



Environments

After the system is ready to move from a QA environment (following the completion of testing and product team's approval) we then build the client facing test system in the UAT environment. The UAT environment is locked down through IP Whitelisted. This allows only IP address ranges provided by our clients to have access the UAT environment. Since UAT is locked down via IP Whitelisting, and security access to UAT is similar to that of production, masking of production data is not required.

As is our standard practice, once those environments are built in UAT, the UAT Team performs and documents end to end test scenarios to ensure the system is functioning as designed per the business rules. We provide these same UAT Test Cases to the client for UAT execution along with our UAT test results showing them everything has passed.

The UAT environment is functionally equivalent to the production environment in terms of features, functions and product capability. As a best

practice, Sandata does not recommend sizing the UAT environment to use full production data sizes as it creates a burden on our clients to send us full files during the UAT process. However, upon receipt of test data for system integration testing and other testing purposes, Sandata will determine and adjust to ensure proper UAT functionality.

Sandata provides a training environment using training data that is created during the implementation process. The training environment does not contain any production data. Sandata will provide a training environment to ensure users maximize their experience and can become intimately familiar with the system prior to go-live. System users can use the training environment as a “sandbox” to practice the real-life scenarios as reviewed during training without the fear of compromising production data. The training environment will be maintained and updated as needed.

Once we will receive formal DHHS sign off of User Acceptance Testing as outlined in the Test Plan, the DHHS EVV system will be moved to a production environment and considered live, and available for use.

G.7 Data Management Requirements:

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
186	DM.1	Solution must verify that all fields defined as numeric contain only numeric data.	Describe how solution verifies that all fields defined as numeric contain only numeric data.	TA.SP.1	S	

Bidder's Response:
 As a result of our extensive quality assurance processes and testing, calculated data fields are validated and self-checking digits pass a specified check-digit test.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
187	DM.2	Solution must verify that all fields defined as alphabetic contain only alphabetic data.	Describe how solution verifies that all fields defined as alphabetic contain only alphabetic data.	TA.SP.2	S	

Bidder's Response:
 Field level checks for specific data validations including alphabetic fields only contain alphabetic data, numeric fields only contain numeric data,

date fields follow a standard date format, etc. are in place and ensure these data are valid and reasonable.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
188	DM.3	Solution must support data integrity through system controls for software program changes and promotion to production.	Describe how solution supports data integrity through system controls for software program changes and promotion to production.	TA.SP.23	S	

Bidder's Response:
 Data integrity is enforced through end to end testing whereby data is validated through each step of the CICD process. Access to data is strictly controlled via role-based security which strictly limits unauthorized access.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
189	DM.4	Solution should have the capability to handle requests for amendment and support timely action of making amendments to ePHI, PII and FTI about the individual in a designated record set.	Describe how solution handles requests for amendment and supports timely action of making amendments to ePHI, PII and FTI about the individual in a designated record set.	TA.SP.45	S	

Bidder's Response:
 Sandata will work with DHHS during implementation to review the data exchange requirements to ensure data is properly transmitted to and from the EVV system. Should DHHS require modifications to required data after the business rules and configuration are approved, these requests will be addressed via the change order process.

G.8 Integration and Interoperability Requirements:

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
190	IIO.1	Contractor will be responsible for understanding the business processes to automate and document appropriate workflows, business rules, data flow and metadata within the solution and work	Describe how the Contractor shall be responsible for understanding the business processes to automate and document appropriate workflows, business	N/A	S	

		collaboratively with the DHHS System Integration Team.	rules, data flow and metadata within the solution and work collaboratively with the DHHS system integration team.			
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Bidder's Response:

Sandata's implementation process includes detailed business requirements sessions that uncover and document DHHS-specific business rules, process workflows, and data specifications for the EVV program. We hold several sessions with DHHS staff related to data flows and systems specific to integrating with the required DHHS systems.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
191	IIO.2	Solution must support use of XML standard messaging format to ensure interoperability.	Describe how the solution will use XML standard messaging format to ensure interoperability.	TA.DC.9	S	

Bidder's Response:

Sandata most commonly uses JSON or XML formats for data exchange in with our state Medicaid programs, ensuring interoperability.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
192	IIO.3	Solution must provide for all service endpoints/APIs to be exposed to the DHHS Translator and be able to receive and submit messages through the Translator or other integration points as required.	Describe how solution provides for all service endpoints/APIs to be exposed to the DHHS Translator and are able to receive and submit messages through the Translator or other integration points as required.	N/A	S	

Bidder's Response:

Sandata is able to receive inbound data elements for participants, providers, authorizations, and third party EVV data as well as ability to provide claims validation and data warehouse extracts. See Attachment 10, standard Open EVV Interfaces for additional information.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
193	IIO.4	Contractor shall collaborate with all State enterprise contractors and solutions to accurately collect, process, and distribute applicable HIPAA EDI transactions.	Describe methods for collecting, processing and distributing applicable HIPAA EDI transactions.	N/A	S	

Bidder's Response:

Sandata will work with DHHS regarding all data exchanges. While we recommend our standard data specifications to support the program, Sandata can also support 837I and 837P transmissions as well as 278 EDI transactions. Sandata does not support the 835 EDI remittance at this time.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
194	IIO.5	Solution should have the ability to identify data or transaction errors in web services or batch file transactions and immediately notify the source system of the specific errors, where possible.	Describe how solution will have the ability to identify data or transaction errors in web services or batch file transactions and immediately notify the source system of the specific errors, where possible. Describe solution's method for error handling in data transfers.	N/A	S	

Bidder's Response:

Sandata provides automatic error handling logs as part of our standard interface process. Please see Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
195	IIO.6	Solution must be capable of supporting multiple data exchange protocols.	Provide a list of protocols supported.	N/A	S	

Bidder's Response:

All standard protocols are supported such as HTTPS, SSH, and SFTP.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
196	IIO.7	Solution must integrate with the existing and planned Nebraska DHHS systems. The Nebraska technology roadmap includes numerous in-process and upcoming system changes. Solution must maintain currency and integration points as DHHS Systems evolve.	Describe how the solution integrates with the Nebraska DHHS systems, and will continue to align and integrate with new systems as they evolve.	N/A	S	

Bidder's Response:

During the implementation Sandata will work with DHHS to document all required interfaces to support the EVV program. Should DHHS add new data exchanges or sources in the future, these changes will be addressed using the change order process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
197	IIO.8	Solution must securely transmit all raw data elements to DHHS and the Medicaid FMS agent in the DHHS-approved format and according to a DHHS-approved transmission schedule.	Describe how solution will securely transmit all raw data elements to DHHS and the Medicaid FMS agent in the DHHS-approved format and according to a DHHS-approved transmission schedule.	N/A	S	

Bidder's Response:

Sandata will provide DHHS a visit data extract to support the data warehouse. Sandata has provided our standard specifications in Attachment 10, standard Open EVV Interfaces. We will work with DHHS to establish the frequency of transmission during the implementation process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
198	IIO.9	<p>Solution must interface with the DHHS system modules and HCBS providers to authorize payment of claims based on verified delivery of services and compliance with the rules and regulations associated with the service.</p> <p>a) Contractor will work with DHHS and their billing agents and providers to establish a means for sending customized electronic 837s (electronic claims) to the DHHS systems for adjudication.</p> <p>b) The system architecture must be flexible enough to add future desired populations, programs, and services, which have different policies and procedures.</p> <p>c) 837 file format must be customized to meet DHHS requirements.</p> <p>d) Solution must have the capability to consolidate and submit claims on a weekly basis.</p>	Describe how solution will interface with the DHHS system modules and HCBS providers to authorize payment of claims based on verified delivery of services and compliance with the rules and regulations associated with the service. Describe how standard and custom 837 files can be used for claims submission. Describe how the system architecture is flexible enough to add future desired populations, programs, and services, which have different policies and procedures. Describe how 837 file format will be customized to meet DHHS requirements.	N/A	S	

Bidder's Response:

Sandata offers standard integrations with DHHS for submission of 837 files.

- a) Once a visit passes the visit validation, the next step in the process is a formatting validation, including a detailed format check of the 837 for valid 5010 compliance. This process ensures the visit is properly formatted in accordance with the requirements in DHHS' 837 Companion Guide. If the claim passes 5010 compliance checks, the claim will be submitted to the payer system for adjudication. Sandata Billing automatically tracks where the claim should be sent based on which payer is responsible for a specific participant. Sandata Billing claims resubmittal according to program rules.

Once the payer receives the 837, the response files including the 999 and 277 are returned to the provider through the current process. The provider will use the current process to monitor and address any issues identified by DHHS as part of their normal revenue cycle process.

- b) As described previously, Sandata EVV is flexible and expandable to add future desired populations, programs and services.
- c) All 837's generated from Sandata EVV are formatted in accordance with the requirements with the DHHS 837 Companion Guide.
- d) Providers have the flexibility to submit claims at the frequency required by DHHS policy.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
199	IIO.10	DHHS will extract data exports from DHHS systems to send to the solution to enable EVV processing. These exports will include data for eligible recipients, eligible providers, service plan, and prior authorization details. Solution must use DHHS file formats where needed and may use proprietary or modified standard formats as appropriate.	Describe how solution will support the data exports from DHHS systems, including standard or customized files. Provide standard file formats used for data transfers.	N/A	S	

Bidder's Response:

Sandata EVV supports integration and interoperability with the appropriate systems to support seamless data exchange between those systems and the EVV system. Sandata will work with DHHS to determine the system(s) of record and appropriate frequency for each data interface. Please refer to Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist	Bidding Ability	Gap Description and Recommendation for Closure
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200	IIO.11	Solution should take advantage of best practices for Medicaid EVV systems and electronic data interchange with Medicaid Management Information Systems and eligibility and enrollment systems.	Describe how solution takes advantage of best practices for Medicaid EVV systems and electronic data interchange with Medicaid Management Information Systems and eligibility and enrollment systems.	ID N/A	Code S	
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Bidder's Response:

Sandata provides statewide Medicaid EVV solutions to 25 states and MCOs. Our solutions, process, and team structure are all based on industry best practices developed since we first began providing payer EVV solutions in 2010. Our standard Open EVV Interfaces (Attachment 10) have been continuously improved and refined during each state Medicaid implementation, ensuring DHHS has the most robust and sophisticated data exchange option available today.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
201	IIO.12	Contractor must document all interfaces in an Interface Control Document (ICD) which will include data layout documentation, data mapping crosswalk, inbound/outbound capability and frequency of all interfaces. As new interfaces are required, ICDs for those will be created and shared with, and reviewed and approved by DHHS.	Describe how solution will document all interfaces in an Interface Control Document (ICD) which will include data layout documentation, data mapping crosswalk, inbound/outbound capability and frequency of all interfaces. Bidder will provide standard ICDs for existing interfaces with proposal. Describe how ICDs are maintained.	TA.SE.3	S	

Bidder's Response:

Sandata documents all interfaces within the Business Requirements Document (“BRD”) in a section dedicated to interfaces. The Sandata team will work with a cross functional team at DHHS to document all requirements in a formal BRD. Business requirements such as interface requirements, system access, alert rules, etc., are finalized and documented by this team and approved by DHHS. The BRD is a “living” document and will be updated throughout the life of the project as needed following a standard change process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
202	IIO.13	Contractor must design, develop and maintain interfaces. Each Application Program Interface (API) and component that will interface with the Systems	Describe how contractor will design, develop and maintain interfaces, keep them current, and include new APIs and	N/A	S	

		Integration Services Integration Platform will be documented using a mutually agreed upon ICD template. This effort is performed in collaboration with other stakeholders in the State's healthcare programs enterprise.	interfaces as developed.			
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Bidder's Response:
 Sandata will work with DHHS to review all interface requirements. Sandata has provided our standard Open EVV Interfaces as Attachment 10.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
203	IIO.14	Solution must be able to receive information in batch and individual transactions.	Describe how solution is able to receive information in batch and individual transactions.	PE.PI1.24	S	

Bidder's Response:
 Sandata supports both batch and real-time frequencies for most interfaces. Please see our standard Open EVV Interfaces located in Attachment 10.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
204	IIO.15	Solution must be able to exchange and track service authorization information (e.g., flat file, X12 278) with multiple external sources and the Integration Platform.	Describe how solution shall be able to exchange and track service authorization information (e.g., flat file, X12 278) with multiple external sources and the Integration Platform.	N/A	S	

Bidder's Response:
 We support the intake of authorization information from multiple, disparate sources. DHHS will provide a file of all authorizations in Sandata's standard format (See Attachment 10, standard Open EVV Interfaces). Authorizations are used to associate participants to the provider, who will then be allowed to view and provide services using EVV to the participant. Sandata supports data exchange via two mechanisms: a real-time, RESTful API and flat-file processing (DSV). While Sandata supports both mechanisms, the default is a RESTful API with JSON to greatly reduce complexity of customized implementations. Authorizations may be sent via a real-time RESTful API for processing. Sandata will take each request as it is received, process the authorization and return a response. During the implementation process we will work with DHHS to determine the appropriate frequency (batch or individual transactions) for this data.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
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205	IIO.16	Solution must have the ability to receive, store, and process provider and member data from the State's eligibility system, legacy MMIS, and Integration Platform, at a frequency and in a format determined by the State (e.g., daily).	Describe how solution shall have the ability to receive, store, and process provider and member data from the State's eligibility system, legacy MMIS, and Integration Platform, at a frequency and in a format determined by the State (e.g., daily).	N/A	S	
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Bidder's Response:

Sandata recommends using our standard interface specifications provided in Attachment 10, standard Open EVV Interfaces for participant and provider data.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
206	IIO.17	Contractor must work collaboratively with DHHS and other Contractors as required by DHHS.	Describe experience working collaboratively with other clients and vendors on previous projects.	N/A	S	

Bidder's Response:

Sandata is an expert in cross functional collaboration. Our teams routinely work with other vendors on each of our state programs, including Managed Care partners, IV&V vendors, IT vendors (DXC, Deloitte, etc.) to ensure a successful on time implementation.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
207	IIO.18	Solution must conduct information exchange (internally and externally) using MITA Framework, industry standards, and other nationally recognized standards.	Describe solution's capability in conducting information exchange using MITA Framework, industry standards and other nationally recognized standards.	TA.DAM.2	S	

Bidder's Response:

Table 12 shows our alignment with the Seven Conditions and Standards and our commitment to integration of the Medicaid Information Technology Architecture ("MITA") initiative with EVV business, architecture and data requirements. Sandata is the only EVV Vendor who has successfully completed CMS Certification for a statewide EVV solution. With Ohio as the first state to undergo CMS Certification specifically for the EVV module, CMS has indicated that they will be utilizing Ohio checklists and lessons learned for EVV certifications in other states.

Table 12: Sandata aligns to the CMS Seven Conditions and Standards to ensure DHHS has a fully compliant EVV solution.

CMS Standards and Conditions		Sandata's Alignment
Modularity Standard	Sandata EVV is developed using a flexible and modular approach. We support the separation of standardized business rule definitions from core programming and the availability of standardized business rule definitions.	
MITA Condition	In accordance with CMS requirements, DHHS and Sandata will jointly produce MITA Self-Assessments, Roadmaps, Concepts of Operation, and Business Process Models.	
Industry Standards Condition	Sandata aligns and incorporates industry standards, including HIPAA security, privacy and transaction standards; HITECH security standards, and accessibility standards established under Section 508C. For accessibility we perform testing specific to Section 508.	
Leverage Condition	Sandata EVV is a commercial product offered as a SaaS. We support the Leverage Condition by allowing states to transition from one EVV vendor to the next in accordance with industry best practices.	
Business Results Condition	Sandata EVV supports accurate and timely processing of claims by providing near real time data on services delivered directly to the MMIS system. This helps support effective communications with participants, providers, and the public.	
Reporting Condition	Sandata EVV produces transaction data and reports to support program evaluation, continuous improvement in operations, transparency, and accountability. Our Business Intelligence tool and EVV data extract supports dashboards and detailed data analysis.	
Interoperability Condition	Sandata EVV supports integration and interoperability with the appropriate systems to support seamless data exchange between those systems and the EVV system. We use and publish open interfaces and exposed Application Programming Interfaces.	

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist	Bidding Ability	Gap Description and Recommendation for Closure
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				ID	Code	
208	IIO.19	Solution should define and utilize information sharing and event notification standards to allow aggregated and integrated information.	Describe how solution defines and utilizes information sharing and event notification standards to allow aggregated and integrated information.	TA.LG.2	S	

Bidder's Response:
 Sandata supports data exchanges to support information sharing. See Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
209	IIO.20	Solution architecture must preserve the ability to efficiently, effectively, and appropriately exchange data with other participants in the health and human services enterprise.	Describe how solution architecture preserves the ability to efficiently, effectively and appropriately exchange data with other participants in the health and human services enterprise.	S&C.IC.6	S	

Bidder's Response:
 Sandata has the ability to accept data in various formats including JSON, XML, CSV and DSV (i.e. pipe) for a number of business domain elements such as members, providers, authorizations, schedules, and alternative EVV data.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
210	IIO.21	Solution should use open standards between all key interfaces where feasible.	Describe how solution uses open standards between all key interfaces where feasible.	S&C.MS.2	S	

Bidder's Response:
 Please refer to Attachment 10 standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
211	IIO.22	Solution should securely conduct electronic information exchange via an information hub when interfacing within the agency and with intrastate agencies.	Describe how solution securely conducts electronic information exchange via an information hub when interfacing within the agency and with intrastate agencies.	TA.DC.10	S	

Bidder's Response:

Please see Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
212	IIO.23	Solution should utilize a MITA-recommended ESB, automated arrangement, coordination, and management of system.	Describe how solution utilizes a MITA-recommended ESB, automated arrangement, coordination and management of systems.	TA.SOA.1	S	

Bidder's Response:

Our SOA and Enterprise Service Bus (“ESB”) approach to data mapping, transformation, and integration ensuring that both source and destination are decoupled using a middleware layer accessed via batch file processes or RESTful web service APIs.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
213	IIO.24	Solution should use RESTFUL and/or SOAP-based web services for seamless coordination and integration when interfacing with the U.S. Department of Health & Human Services (HHS) applications, and intrastate agencies.	Describe how solution uses RESTFUL and/or SOAP-based web services for seamless coordination and integration when interfacing with the US HHS applications and intrastate agencies.	TA.SE.2	S	

Bidder's Response:

Sandata uses RESTful web service APIs for data integration.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
214	IIO.25	Contractor should conduct system coordination between intrastate agencies and external entities.	Describe how contractor will conduct system coordination between intrastate agencies and external entities.	TA.SOA.4	S	

Bidder's Response:

Per the Q&A Response Question 47 Sandata will ensure that our EVV system interfaces support the correct state source systems using industry standards and acceptable data exchange practices.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
215	IIO.26	Solution must provide secure, HIPAA-compliant software and documentation for use by providers to submit electronic claims.	Describe how solution provides secure, HIPAA-compliant software and documentation for use by providers to submit electronic claims.	IA.DS.6	S	

Bidder's Response:

Sandata Billing is configured to the DHHS 837 Companion Guide to provide secure, HIPAA compliant 837 claims.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
216	IIO.27	Solution should comply with the SMA's standardized structure and vocabulary data for automated electronic intrastate interchanges and interoperability.	Describe how solution will comply with the SMA's standardized structure and vocabulary data for automated electronic intrastate interchanges and interoperability.	IA.DS.9	S	

Bidder's Response:

Sandata will work with DHHS during the implementation to review all data exchange requirements.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
217	IIO.28	Solution's Logical Data Model (LDM) should support identification of data classes, attributes, relationships, standards, and code sets for intrastate exchange.	Describe how solution's Logical Data Model supports identification of data classes, attributes, relationships, standards, and code sets for intrastate exchange.	IA.LDM.5	S	

Bidder's Response:

Sandata maintains a conceptual logical data model providing a summary-level data model used for EVV solutions across the enterprise. In addition, central to our data management plan is our data dictionary. The data dictionary is developed and maintained using industry best practices. The data model and data dictionary are exposed to external entities via Sandata's OpenEVV family of interface specifications.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
218	IIO.29	Solution must support or regulate connections with other information systems (e.g. solution to outside of the SMA authorization boundary) through the use of Interconnection Security Agreements. Interconnection Security Agreements document the interface characteristics, security requirements, and the nature of the information communicated over the connection.	Describe how solution supports or regulates connections with other information systems through the use of Interconnection Security Agreements which document the interface characteristics, security requirements, and the nature of the information communicated over the connection.	TA.SP.55	S	

Bidder's Response:

Sandata will work with DHHS during implementation to define all required data exchanges. See Attachment 10 for our standard Open EVV Interfaces.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
219	IIO.30	To minimize the amount of data being transferred across the State's commodity internet connections to cloud provider data centers, the State of Nebraska has established point-to-point private network connections to Microsoft Azure and Amazon AWS. Describe how the proposed solution utilizes one of these connections, or something similar, to transfer data to/from the State's on premise systems.	Describe how the proposed solution utilizes one of these connections, or something similar, to transfer data to/from the State's on premise systems.	N/A	S	

Bidder's Response:

Sandata's solutions are currently a hybrid cloud service utilizing AWS. Sandata may be able to leverage the State's AWS connection by transferring data between the two entities within AWS depending upon region subscriptions.

G.9 Business Continuity and Disaster Recovery Requirements

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
220	BCDR.1	Contractor should develop operational procedures in coordination with other enterprise module contractors to restore system availability.	Describe how solution shall integrate with other DHHS modules to ensure continuity of service and notification of service impacts automatically.	N/A	S	

Bidder's Response:

Sandata has a proven Disaster Recovery Plan (see Attachment 11a). Sandata will review our plans with DHHS to ensure DHHS will be able to have a comprehensive plan for cross – vendor disaster recovery.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
221	BCDR.2	<p>Contractor shall establish and maintain an EVV System Disaster Recovery and Business Continuity Plan. The draft version of the EVV System Disaster Recovery and Business Continuity Plan shall:</p> <p>A. Be submitted with the proposal; B. Be reviewed and approved by DHHS within timeframes agreed in approved work plan. C. Be compliant with Federal Guidelines identifying every resource that requires backup and to what extent backup is required.</p> <p>The EVV System Disaster Recovery and Business Continuity Plan must, at a minimum, address the following elements:</p> <p>A. Establish the purpose and scope of the Disaster Recovery and Business Continuity Plan; B. Acknowledge and ensure compliance with applicable HIPAA and HITECH standards; C. Describe the approach and strategy to</p>	<p>Provide a draft version of the EVV System Disaster Recovery and Business Continuity plan with proposal as noted. Plan should include RPO and RTO. The EVV System Disaster Recovery and Business Continuity Plan must, at a minimum, address the following elements:</p> <p>A. Establish the purpose and scope of the Disaster Recovery and Business Continuity Plan; B. Acknowledge and ensure compliance with applicable HIPAA and HITECH standards; C. Describe the approach and strategy to disaster recovery and business continuity; D. Describe recovery point performance specifications and RTO of no more than 48 hours; E. RPO is the maximum targeted period in which data might be lost from a disaster</p>	N/A	S	

	<p>disaster recovery and business continuity; D. Describe recovery point performance specifications and RTO of no more than 48 hours; E. RPO is the maximum targeted period in which data might be lost from a disaster incident. The EVV solution needs to ensure no more than 5 minutes' worth of data loss in case of a disaster. F. Establish roles and responsibilities for managing disaster recovery and business continuity; G. Identify risk areas; H. Describe protocols for managing disaster recovery and business continuity (during and after); I. Describe the approach to ongoing testing and validation of the EVV System Disaster Recovery and Business Continuity Plan; J. Describe the frequency of updates. At a minimum, the plan shall be updated annually, or as needed more frequently.</p>	<p>incident. The EVV solution needs to ensure no more than 5 minutes' worth of data loss in case of a disaster. F. Establish roles and responsibilities for managing disaster recovery and business continuity; G. Identify risk areas; H. Describe protocols for managing disaster recovery and business continuity (during and after); I. Describe the approach to ongoing testing and validation of the EVV System Disaster Recovery and Business Continuity Plan; J. Describe the frequency of updates. At a minimum, the plan shall be updated annually, or as needed more frequently.</p>			
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Bidder's Response:

Please find Sandata's standard EVV System Disaster Recovery as Attachment 11a and Business Continuity plan as Attachment 11b. Our detailed plans address items A – J in Req. #221.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
222	BCDR.3	<p>Contractor shall provide backup and recovery processes in the event of a system malfunction or disaster situation in accordance with the DHHS-approved EVV System Disaster Recovery and Business Continuity Plan. Contractor's backup and recovery processes shall promote the ability to rebound, resume operations, and minimize service disruption to solution users and stakeholders. This must include offsite electronic and physical storage in the United States. In addition, Contractor must identify the software and data backup approach. It is the responsibility of the Contractor to insure continued</p>	<p>Describe the backup and recovery processes in the event of a system malfunction or disaster situation in accordance with the DHHS-approved EVV System Disaster Recovery and Business Continuity Plan. Describe how the backup and recovery processes shall promote the ability to rebound, resume operations, and minimize service disruption to solution users and stakeholders. This includes offsite electronic and physical storage in the United States. In addition,</p>	N/A	S	

		connectivity and interface with the system.	identify the software and data backup approach.			
<p>Bidder's Response:</p> <p>The Sandata EVV system is designed with a robust, redundant, active/active, clustered database along with multiple processors to provide maximum availability to solution users and stakeholders. In the event of a system failure of any processor, the other processors in the cluster will automatically assume the load. The database is stored on multiple mirrored disks to ensure that a disk failure will not result in any down time for the customer. In addition, the system logs are shipped real-time to a replicated environment located at our disaster recovery site. In the event of a catastrophic outage in our primary data center, the disaster recovery database can be brought online in a few minutes. All data is replicated offsite in near real-time and is encrypted in transit and at rest.</p> <p>Sandata utilizes hardened data center facilities at each of our primary and secondary locations. Each facility has redundant power and cooling, and Internet connectivity and is supported by UPS power and generator. All data stored at our primary location is replicated in near-real time to the Recovery Location utilizing various replication methodologies and checks to ensure a mirrored copy always exists.</p>						

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
223	BCDR.4	Contractor must provide redundancies built into the architecture of the solution to maintain continual operations.	Describe redundancies built into the architecture of the solution to maintain continual operations. Describe how solution is designed to meet 99.5% uptime service level.	N/A	S	

<p>Bidder's Response:</p> <p>The Sandata EVV system is designed with a robust, redundant, active/active, clustered database along with multiple processors to provide maximum availability and provide continual operations. In fact, our average uptime across all customers from 1/1/2016 to present is 99.980%. In the event of a system failure of any processor, the other processors in the cluster will automatically assume the load. The database is stored on multiple mirrored disks to ensure that a disk failure will not result in any down time for the customer. In addition, the system logs are shipped real-time to a replicated environment located at our disaster recovery site. In the event of a catastrophic outage in our primary data center, the disaster recovery database can be brought online in a few minutes. All data is replicated offsite in near real-time and is encrypted in transit and at rest.</p> <p>Sandata utilizes hardened data center facilities at each of their primary and secondary locations. Each facility has redundant power and cooling,</p>						
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and Internet connectivity and is supported by UPS power and generator. The redundant EVV Call Servers are co-located at telephone switches in two separate locations. Each telephony customer is assigned two different toll-free numbers, one from each site. The EVV system will always accept calls at either location. In case of a system outage at either location, the customer can complete their EVV calls by dialing their alternate toll-free number.

Whether on premises or cloud-based, Sandata’s IT staff also utilizes back up processes and protocols to ensure the availability of systems and data. A full tape backup of the servers is completed each night. There are nine weeks of backup tapes available at any one time at the primary data center location and at our off-site location. There are four weeks stored offsite. Each month a full set of tapes are pulled from rotation and stored indefinitely at Sandata’s disaster recovery site. For safety, backup media is being stored in a fireproof and protected location and archive media is stored at a site that is remote from where the daily tapes are used.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
224	BCDR.5	Contractor must develop and deliver a Business Continuity Plan (BCP) for the solution and the Contractor company that: identifies essential missions and business functions and associated contingency requirements. These requirements include recovery objectives, restoration priorities, contingency roles, responsibilities and addresses maintaining essential business functions despite an information system disruption, compromise, or failure. This plan should be reviewed and updated on a yearly basis.	Describe essential missions and business functions and associated contingency requirements covered in the Business Continuity Plan. Include recovery objectives, restoration priorities, contingency roles, responsibilities, and address maintaining essential business functions despite an information system disruption, compromise or failure. Describe maintenance, review and update processes.	TA.SP.46	S	

Bidder’s Response:

We have proven backup and recovery processes to ensure stakeholder access and a reliable platform for continuously collecting and transmitting data without disruption of service. Sandata’s systems employ high availability techniques to ensure that if a server fails, other servers take over the duties of the failed server and virtualization to ensure we can redeploy healthy servers quickly and without incurring downtime.

Recovery strategies vary depending on the individual systems and levels of redundancy for each system. Our Business Continuity Plan contains our Recovery Time Objectives (“RTO”) and Recovery Point Objectives (“RPO”) which are targeted at 24 hours but are typically far less. The system is available 24x7 with the exception of planned downtime due to upgrades or maintenance. Sandata ensures 99.95% uptime (not inclusive of

scheduled maintenance periods).

Sandata’s Business Continuity Plan is updated quarterly by the Chief Information Officer, and reviewed annually by the Business Continuity Team, and tested on an annual basis. As outlined in our Business Continuity Plan, system availability targets a four-hour restoration from the start of the unscheduled downtime. Should file corruption be detected, our goal is to provide full file restoration within six hours of an incident.

Sandata provides incident response and contingency training to information system users consistent with assigned roles and responsibilities within 90 days of assuming an incident response role or responsibility and within every 365 days thereafter. Each member will step through the plan, and discuss responses to different scenarios. This review will be conducted annually to ensure each member is aware of any changes to such person’s role. The results of the test will be documented and reviewed by Senior Management. As part of the review, each member should:

- Call Tree – confirm that phone numbers are accurate and team leaders are able to provide and collect the correct information from each team member.
- Laptop Testing – confirmation that they are able to Virtual Private Network (VPN) into the Sandata network.
- Phone Testing – confirm they are able to connect to the Sandata phone system.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
225	BCDR.6	Solution must include an alternate storage site, which includes (at a minimum) necessary agreements to permit the storage and recovery of system backup information and the resumption of system operations for business functions within the time period specified. Contractor must establish alternate telecommunications services including necessary agreements to permit the resumption of information system operations for essential business functions.	Describe solution’s use of an alternate storage site, which includes necessary agreements to permit the storage and recovery of system backup information and the resumption of system operations for business functions within the time period specified. Describe how solution has established alternate telecommunications services including necessary agreements to permit the resumption of information system operations for essential business functions.	TA.SP.48	S	

Bidder’s Response:

Redundant Data Sites

Sandata utilizes hardened data center facilities at each of their primary and secondary locations. Each facility has redundant power and cooling, and Internet connectivity and is supported by UPS power and generator. All data stored at our primary location is replicated in near-real time to

the Recovery Location utilizing various replication methodologies and checks to ensure a mirrored copy always exists. Upon declaring a disaster, clearly defined processes and procedures are followed by Sandata’s engineers to handoff processing to the Recovery Location. When utilizing cloud-environments, Sandata’s technical solution involves utilizing multiple regions with failover between them.

Redundant Telecommunications

The redundant EVV Call Servers are co-located at telephone switches in two separate locations. Each telephony customer is assigned two different toll-free numbers, one from each site. The EVV system will always accept calls at either location. In case of a system outage at either location, the customer can complete their EVV calls by dialing their alternate toll-free number.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
226	BCDR.7	Solution must provide for the recovery and reconstitution of the information system to a known state after a disruption, compromise, or failure. Recovery of the information system after a failure or other contingency shall be done in a trusted, secure, and verifiable manner.	Describe how solution provides for the recovery and reconstitution of the information system to a known state after a disruption, compromise or failure. Describe how this is done in a trusted, secure and verifiable manner, and include anticipated RTOs.	TA.SP.49	S	

Bidder’s Response:

The Sandata EVV system is designed with a robust, redundant, active/active, clustered database along with multiple processors to provide maximum availability. In the event of a system failure of any processor, the other processors in the cluster will automatically assume the load. The database is stored on multiple mirrored disks to ensure that a disk failure will not result in any down time for the customer. In addition, the system logs are shipped real-time to a replicated environment located at our disaster recovery site. In the event of a catastrophic outage in our primary data center, the disaster recovery database can be brought online in a few minutes. All data is replicated offsite in near real-time and is encrypted in transit and at rest.

System availability targets a four-hour restoration from the start of the unscheduled downtime. Should file corruption be detected, our goal is to provide full file restoration within six hours of an incident.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
227	BCDR.8	A short-term uninterruptible power supply should be employed to facilitate an orderly shutdown of the information system in the event of a primary power source loss.	Describe how the facilities hosting the solution are designed to be resilient during a power source loss.	TA.SP.61	S	

Bidder's Response:

Sandata utilizes hardened data center facilities at each of their primary and secondary locations. Each facility has redundant power and cooling, and Internet connectivity and is supported by UPS power and generator. All data stored at our primary location is replicated in near-real time to the Recovery Location utilizing various replication methodologies and checks to ensure a mirrored copy always exists. Upon declaring a disaster, clearly defined processes and procedures are followed by Sandata's engineers to handoff processing to the Recovery Location. When utilizing cloud-environments, Sandata's technical solution involves utilizing multiple regions with failover between them.

G.10 Project Management and Implementation Requirements:

In any project of this magnitude, with stakeholders from so many different perspectives, quality project management skills and experience can make all the difference in quality. DHHS is focused on ensuring that the EVV project is structured in such a way to support a successful implementation. Bidder will describe below, how each facet of project management will be implemented and used.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
228	PMI.1	Contractor must utilize industry recognized project management approaches, such as PMI PMBOK in order to complete the scope of work. Contractor must follow an agreed project management lifecycle and implementation processes.	Describe how industry recognized project management approaches, such as PMI PMBOK, will be utilized in order to complete the scope of work. The description must specifically address the project management lifecycle and implementation processes.	N/A	S	

Bidder's Response:

Sandata uses proven project management processes and follows the best practices within recognized project management standards and guidelines. We have honed our implementation approach and major activities from our experience and successes implementing 25 payer EVV programs. Our Project Management Office (PMO) team members are experts in developing, managing and maintaining EVV project plans in MS Project. This team has over 183 years of collective experience in project management.

Project Management Approach

Our Project Management Strategy is designed to ensure the desired goals described below and includes:

- Establishing and maintaining the project schedule;
- Managing each phase of the implementation;
- Regular Project status meetings
- Assessing risk;
- Managing to project milestones and obtaining project sign-offs and approvals; and
- Providing Executive Team project governance.

We will also create a Business Requirements Document based on Project Management Body of Knowledge and Configuration Management System best practices, which will include, but not be limited to, the following elements:

- Purpose;
- General overview and configuration guidelines including assumptions, constraints and risks;
- System configuration elements including business rules, database design, and interface files and structures; and,
- External interfaces.

Please refer to Section 2.A of our response for additional details of our approach.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
229	PMI.2	Contractor must develop and maintain a Project Management Plan (PMP). The PMP must be delivered to DHHS within 30 days of contract signing. Included in the PMP will be the following: 1. Communications Plan 2. Change Management Plan 3. Staffing Management Plan 4. Quality Management Plan 5. Risk Management Plan 6. Issue Management Plan 7. Work Breakdown Structure. The PMP plan must be reviewed and approved by DHHS staff, and any identified adjustments will be made prior to signoff.	Describe development and maintenance of Project Management Plan (PMP), including the following: 1. Communications Plan 2. Change Management Plan 3. Staffing Management Plan 4. Quality Management Plan 5. Risk Management Plan 6. Issue Management Plan 7. Work Breakdown Structure. Describe how the PMP will be continuously maintained and communicated to DHHS, including related documents, as the project progresses. Describe process for providing PMP to DHHS for review and approval.	N/A	S	

Bidder's Response:

Sandata has policies and procedures in place to develop, maintain, and store EVV Project documentation including the Project Management Plan (“PMP”) and the individual plans that comprise it and the Project Work Plan. The PMP is dynamic, and plans will be updated throughout the entire project, as needed as well as communicated to DHHS. We will provide our PMP to DHHS for review and approval per your requirement. Each plan within our PMP is described below.

Communications Plan

DHHS and Sandata will work collaboratively to create a communications plan, adapting our standard plan to adhere to the requirements outlined in the DHHS Communications Management Plan. The plan will identify the types and frequency of communication required for the various stakeholders throughout the term of the contract as well as information pertaining to DHHS’ duties. This plan will be reviewed periodically during the implementation to determine if adjustments are appropriate to ensure clean, clear lines of project communication and updated as necessary to remain current and relevant to the environment and stakeholder needs.

Sandata’s standard Communications Management Plan defines the project’s structure and methods of information collection, screening, formatting, and distribution of project information. It also outlines understanding among project teams regarding the actions and processes necessary to facilitate the critical links among people, ideas, and information that are necessary for project success. The overall objective of our Communications Management Plan is to promote the success of the DHHS EVV project by meeting the information needs of project stakeholders and outline the goals of the communications efforts to reach and inform each group. Communications planning activities identify the appropriate level of communication for each project stakeholder, what information should be distributed and the frequency of communications. This plan also includes the vehicle of communications (email, face to face meetings, etc.).

Change Management Plan

During the inception and design phases of the project, the initial scope of the project is defined and accepted. However, as time goes on, the project progresses and the situations, environments and needs of the customer may change. Changes to the scope or deliverables provided within the project will be tracked, assessed and reviewed through a formal Change Order process. The Change Management process establishes an orderly and effective procedure for tracking the submission, coordination, review, evaluation, categorization, and approval for release of all changes to the project’s baselines.

Change orders for the DHHS EVV Project made during the implementation phase will be documented using the Issue Log. Change requests made after the implementation phase is complete, will be managed by Operations (Account Management). Once a Change Request is submitted, a tracker ticket is created along with the change request document including a description of the scope of changes, which may be reviewed with DHHS for additional clarification. The Sandata Development team evaluates request for feasibility and provides a high-level estimate, documented within the tracker ticket. DHHS then receives completed documentation with scope and estimate to determine whether to move forward with the

change. If approved, the request is prioritized and follows process as defined and managed through the Sandata Change Management Process. Please refer to Attachment 14, Sandata's Change Order Process for additional details.

Staffing Management Plan

A core component of our project management strategy is the development and management of an EVV Project Staffing Plan. The plan includes identified team members holding key positions will be detailed in a Staffing Plan developed specifically for this project. Included in the plan are the roles and responsibilities of each team member, the Full Time Equivalent of each illustrating the percentage of time allocated to the project, as well as estimates of time spent on-site for both the implementation and operations phases. A Responsibility Assignment Matrix ("RACI") is a component to our Staffing Plan as it describes the participation by various roles in completing tasks or deliverables for the DHHS project. The Staffing Plan also details the notification process and timelines should any changes occur to the staff and/or their contact information.

Quality Management Plan

Our rigorous quality management processes help to reduce the risk of implementation delays and number and types of defects, while at the same time provides us with the ability to deliver continuous process improvement at the enterprise and project levels throughout the life of the contract. Sandata manages quality at both the departmental and at the enterprise level. For example, our PMO teams continuously review our project delivery processes, tools and policies for appropriateness, accuracy, and compliance. Our Customer Care team incorporates continuous quality improvement via review of computer-generated and ad hoc reports, call monitoring, and retraining, as needed. We acknowledge that the Quality Management Plan is a core document for this project and will develop a Quality Management Plan specific to this engagement.

Risk Management Plan

Sandata has a formal risk-management process. The Sandata Project Manager's primary responsibility is to ensure risks are actively identified, analyzed and managed throughout the life of the project. During implementation, the risks for the EVV project may arise or be identified from any number of sources, or from any of the identified work streams. As they arise, risks will be captured in the centralized Risk Register document. Sandata's Risk Management Plan defines how risks associated with the DHHS EVV project will be identified, analyzed, and managed. It includes maximizing the probability and consequences of positive events and minimizing the probability and consequences of adverse events to project objectives. The Risk Management Plan outlines how risk management activities will be performed, recorded, and monitored throughout the lifecycle of the project and provides templates and practices for recording and prioritizing risks by the Project Managers. All risks are reviewed with the DHHS Project Team and discussed regularly as part of the implementation and project governance process.

Issue Management Plan

Sandata establishes an Issue Management Plan outlining our approach to managing project issues, along with associated mitigation plans and resolutions. As project-related issues are identified, they will be captured, described and tracked to resolution in the project's Issue Log. The Issue

Log is a living document that will capture identified tasks, open questions, or items to be addressed associated with the project. Sandata ensures effective communications regarding issue identification and resolution. Any project participants who wish to be notified of changes in the content of the Issue Log may configure their account on the state’s EVV Project collaboration/secure file storage system, to deliver email notifications when the issue log is revised. When the Issue Log has been updated, the Sandata EVV Project Manager will notify the EVV project leadership team via email, and those updates will be reviewed in the next project meeting.

Work Breakdown Structure

Sandata uses Microsoft Project to manage the project schedule as it is a proven industry standard tool for schedule management. The major phases of the implementation are shown in Section 2.A of the proposal.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
230	PMI.3	Contractor should utilize standard procedures and tools to track project items, decisions, issues, risks, defects, and resolutions.	Describe and provide examples of the procedures and tools that will track project items, decisions, issues, risks, defects, and resolutions.	N/A	S	

Bidder’s Response:

Risk Log

During implementation, risks to the EVV project may be identified by any of the work streams. As project-related issues are identified, they are captured, described and tracked to resolution in the project’s Issue Log. The Issue Log is a living document that will house any identified risks, open questions, items to be addressed associated with the project, and issue status. Sandata ensures effective communications regarding issue identification and resolution. Any project participants who wish to be notified of changes in the content of the Issue Log may configure their account on the projects EVV Project collaboration site, to deliver email notifications when the Issue Log is revised. On days when the Issue Log has been updated, the Sandata EVV Project Manager will notify the EVV project leadership team via email, and those updates will be reviewed in the next weekly project meeting.

Weekly Status Reports

The weekly project status matrix lists the upcoming defined project deliverables, open issues, and new issues in two matrices- the first based on delivery timing and activity type, and the second based on the criticality of an activity and its current ownership along with resolution recommendations. Tasks and deliverable information, including percentage of completion, will be sourced from the project work plan and schedule. Issues and risks will be sourced from the projects Issue Log and risk register. Please refer to Attachment 5 for a sample project status

dashboard.

Monthly Status Reports

In addition to the weekly status reports, Sandata will provide the DHHS Contract Manager and the entire implementation team a monthly status report that will include an overview of the project’s overall completion status, an updated work breakdown structure and schedule, planned activities for the month, deliverable status, time schedule for tasks, risk analyses, testing status and results, and strategic changes to the project’s plan, as applicable. Updates to the schedule will occur periodically as modifications to the schedule’s baseline and new dates are established on the project. Schedule changes are updated and published for all stakeholders.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
231	PMI.4	Contractor resources must participate in all levels of project governance as necessary, to include, but is not limited to: all monthly project steering committee meetings to discuss project activities, deliverables, milestones, risks, and issues; and all weekly operating committee meetings to discuss issues, risks, project progression, resource changes, and other areas related to the scope of work.	Describe how resources will participate in all levels of project governance as necessary, to include, but is not limited to: all monthly project steering committee meetings to discuss project activities, deliverables, milestones, risks, and issues; and all weekly operating committee meetings to discuss issues, risks, project progression, resource changes, and other areas related to the scope of work.	N/A	S	

Bidder's Response:

Following the face-to-face kick-off meeting, the Project Manager will conduct weekly virtual status meetings with the DHHS project team to track and report the progress of the implementation and ensure all project deliverables are met. As part of our standard governance process, Sandata’s Account Manager will schedule quarterly on-site meetings with DHHS leadership to review the overall health of the EVV program. We also will participate in DHHS’ monthly project steering committee meetings to discuss project activities, deliverables, milestones, risks, and issues; and all weekly operating committee meetings to discuss issues, risks, project progression, resource changes, and other areas related to the scope of work.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
232	PMI.5	Contractor must participate in and capture	Describe how Contractor staff	N/A	S	

		notes from all necessary project meetings. Contractor shall be responsible for creation and dissemination of all project meeting agendas, minutes, and necessary documentation.	shall participate in and capture notes from all necessary project meetings, and will be responsible for creation and dissemination of all project meeting agendas, minutes, and necessary documentation.			
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Bidder's Response:

The Project Manager will create an agenda for each meeting and document the minutes/notes. We post all meeting agendas, minutes, and other relevant documentation on the project site.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
233	PMI.6	Contractor should facilitate a project initiation kickoff meeting with key stakeholders and create a kickoff meeting presentation targeted to specific audiences. The presentation shall be submitted to and approved by DHHS.	Describe the project initiation kickoff meeting with key stakeholders and create a kickoff meeting presentation targeted to specific audiences. Describe support required from DHHS to complete kickoff presentation.	N/A	S	

Bidder's Response:

We lead a comprehensive onsite kick-off meeting with the collective Sandata and DHHS project teams to review the project scope, tools, plan, and documentation. The sales team and the implementation team jointly participate in the kick off meeting to ensure a smooth transition between the contracting process and the ongoing implementation. Key assumptions and plans for Business Rules are reviewed.

DHHS support is needed at the kick-off meeting including the Contract Manager, and Subject Matter Experts in the areas of Business Information and Technology Integration, IV&V, program experts, as well as executive and governance team members.

As noted in Section 2.A of the response, we are recommending that DHHS participate in "Get Ready" sessions prior to kick off to help you better prepare for the kick-off meeting and guide you as to the information needed for implementation and the key decisions to be made.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
234	PMI.7	Contractor must provide all deliverables and/or documentation as identified in the project's work plan.	Describe how all deliverables and/or documentation as identified in the project's work plan will be created and reviewed within Contractor's team prior to submission to	N/A	S	

DHHS for review and approval.

Bidder's Response:

Throughout the stages of the project, there are key milestones as well as documentation identified in the project's work plan that are the result of collaboration between the DHHS and Sandata project teams. Once the document is final, it will require senior DHHS personnel to review, approve, and sign off on. These key decision makers will be part of the Executive Sponsor Management Group, comprised of members of the Sandata Senior Team and DHHS representatives. This executive team will conduct final reviews and approve all major project documents in accordance with contract requirements.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
235	PMI.8	Contractor must provide a deliverable review and acceptance process which will be approved by DHHS. The following will need to be taken into account in the process: 1. The size and complexity of the deliverables will be taken into account when determining the length of time available for review cycles. Collaboration with DHHS staff for review turnaround expectations is required. 2. Any change control processes will be taken into consideration. 3. Informal walkthroughs of draft deliverables will be considered. 4. Simultaneous review of numerous deliverables will not be permitted without approval.	Describe the deliverable review and acceptance process to be approved by DHHS. Note how items 1-4 will be considered and addressed.	N/A	S	

Bidder's Response:

Sandata has included our proposed project plan as Attachment 8. The plan incorporates time for state review of each deliverable, based on our experience and the relative size of the deliverable. Sandata will work with DHHS to ensure any scope changes are addressed via the change order process. The Sandata team is available to support informal walkthroughs of draft deliverables upon request and we acknowledge and agree that review of numerous deliverables will not be permitted without approval.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
236	PMI.9	Contractor must submit a monthly status report. The report must contain the	Describe the process for creating a monthly status report	N/A	S	

	<p>following at a minimum:</p> <ol style="list-style-type: none"> 1. Current project work plan and schedule with percentage completes for milestones. 2. Overall completion status. 3. All past due tasks or milestones and the plan(s) for completing them. 4. Planned tasks and activities for the next 30 days. 5. Identification of any staffing issues or changes. 6. Current status on all identified issues. 7. Current status on all identified risks. 8. Current status on testing and metrics. 9. Current status on any service level agreements. 	<p>to include all items 1-9, along with examples. Draft monthly status report to be submitted with response.</p>			
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Bidder's Response:

Sandata will provide the DHHS Project Director and the entire implementation team a monthly status report that will include items 1 - 9 stipulated in Req. #236 as well as an updated work breakdown structure and schedule, planned activities for the month, deliverable status, time schedule for tasks, risk analyses, testing status and results, and strategic changes to the project's plan, as applicable. Updates to the schedule will occur periodically as modifications to the schedule's baseline and new dates are established on the project. Schedule changes will be updated and published on SharePoint for all stakeholders. Please refer to Attachment 15 for a draft of our monthly status report.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
237	PMI.10	Bidder shall provide a draft Project Work Plan with project time frames. Contractor will develop and submit the detailed PWP in the first 30 days of the contract. DHHS will retain final approval of the PWP.	Bidder shall provide a draft Project Work Plan with projected time frames.	N/A	S	

Bidder's Response:

Please refer to Attachment 8 for our draft Project Work Plan (PWP). We will develop and submit the detailed PWP in the first 30 days of the contract and DHHS will retain final approval.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
238	PMI.11	Contractor shall develop and maintain a detailed Project Work Plan (PWP) and a Gantt Chart that is aligned with the scope	Provide a sample Project Work Plan showing activities and timeframes for a recent	N/A	S	

		of the work outlined in this RFP. The PWP should identify realistic person hours of effort for each task and identify planned completion dates for all deliverables and milestones. All documents must be provided in a DHHS approved format that is accessible and readable by State staff.	successful EVV implementation.			
Bidder's Response:						
Please refer to Attachment 16 for a sample PWP showing activities and timeframes for a recent successful EVV implementation.						

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
239	PMI.19	DHHS will provide access to SharePoint (electronic document repository) for project documents and deliverables. The Contractor, DHHS staff and other Contractors with the appropriate security level must upload/attach new or revised versions of documents. The repository must perform version control and allow users to view all prior versions.	Describe how Contractor will support consolidated project documentation and reporting within the SharePoint site.	N/A	S	

Bidder's Response:

Sandata will use your SharePoint site as our document repository, and have experience using SharePoint for other projects. The Implementation team will use this site to facilitate timely communication and provide a shared repository for project documents, artifacts, and historical deliverables. All documents are versioned to ensure access to the most current documentation.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
240	PMI.12	Contractor must keep the detailed project work plan updated weekly and available on DHHS SharePoint project site.	Bidder to describe how they will meet the requirement.	N/A	S	

Bidder's Response:

The Sandata Project Manager will own maintaining and updating the detailed project work plan throughout the implementation. We will make weekly updates to the project work plan and distribute them on the SharePoint project site, and review upcoming project tasks and deadlines at the regular project meetings.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist	Bidding Ability	Gap Description and Recommendation for Closure
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Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
241	PMI.13	Contractor will develop an implementation plan and communications plan which will be reviewed and approved by DHHS.	Provide a sample implementation plan and communications plan that may be utilized for this project.	N/A	S	

Bidder's Response:

Please refer to Attachment 8 for the Draft DHHS EVV Work Plan and Attachment 4 for a sample communications plan (Outreach and Training Plan) that can be utilized for this project. We will tailor these sample plans to the requirements of the DHHS project.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
242	PMI.14	Contractor must provide all mutually agreed design and implementation deliverable work products to DHHS staff for approval before acceptance.	Describe how all mutually agreed design and implementation deliverable work products will be provided to DHHS staff for approval before acceptance.	N/A	S	

Bidder's Response:

Sandata will ensure all project deliverables will be submitted in the proper format and delivered to DHHS staff for approval before acceptance. All deliverables will follow industry standard practices and will be checked for quality.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
243	PMI.15	Contractor shall coordinate deliverable and milestone walkthroughs and participate in other project walkthroughs (if relevant) as required by DHHS.	Provide a description of the deliverable and milestone walkthrough process and provide any samples of artifacts with response.	N/A	S	

Bidder's Response:

We will coordinate with DHHS to conduct module and milestone walkthroughs, refine and maintain the project work schedule, report changes and dependencies and address and escalate schedule conflicts as they arise. Please see Attachment 8 for the Draft DHHS EVV Work Plan.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
244	PMI.16	Contractor must provide a Test Management Plan, including testing activities for development, configuration,	Describe the Test Management Plan, including testing activities for development, configuration,	N/A	S	

		interface validation, and performance testing.	interface validation, and performance testing. Samples of previous Test Management Plans may be submitted.			
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Bidder's Response:

Sandata's System Test Plan describes our testing approach for the project. The document includes:

- Test Strategy: rules the testing will be based on, including the givens of the project (e.g.: start / end dates, objectives, assumptions); description of the process to set up a valid test (e.g.: creation of test cases, specific tasks to perform, scheduling, data strategy, etc.).
- Execution Strategy: describes how the tests will be performed and process to identify and report defects, and to fix and implement fixes.
- Test Management: process to handle the logistics of the testing and all the events that come up during execution (e.g.: communications, escalation procedures, risk and mitigation, team roster)

Please refer to Attachment 17 for a sample Test Management Plan. We will tailor this sample based on the requirements for this project.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
245	PMI.17	Contractor shall be required to work collaboratively with DHHS and the DHHS Integration team to provide schedule information to be included in the overall integration plan. Elements necessary for the overall plan include, but is not limited to: start and end dates of major phases, key project milestones, integration points, cross module dependencies, and sufficient information to support the State DHHS reporting requirements.	Describe how Contractor has worked collaboratively with previously clients and their Integration teams to ensure alignment of technology and resources. Examples may be submitted.	N/A	S	

Bidder's Response:

Sandata provides the most experienced implementation teams in the industry today. We will work collaboratively with DHHS and the integration team to support an integrated project approach.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
246	PMI.18	Contractor staff must work with the DHHS project management resources to ensure alignment of activities and resources.	Describe the processes that will be used to work with the DHHS project management resources to ensure alignment of activities and resources.	N/A	S	

Bidder's Response:

The Sandata Project Manager will establish a regular cadence of meetings and touchpoints to ensure the Sandata and DHHS teams are in alignment and that activities are proceeding according to the project plan.

G.11 Communication and Training Requirements:

DHHS has been identifying and deploying improvements to the programs provided as part of their overall operational and quality management process. Preliminary information has been shared with key stakeholders through the MLTC Long-Term Care Stakeholder meeting, with additional updates on the DHHS website. To properly prepare all stakeholders for this EVV implementation, comprehensive communication and training will be extremely important. This may be one of the biggest differentiators to success. Provide below the specific ways in which bidder can improve acceptance and quality through well planned and delivered communication and training.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
247	CAT.1	Contractor must provide a draft Solution Communication and Training Plan. A final detailed Solution Communication and Training Plan shall be developed, reviewed and approved by DHHS within 45 calendar days of the contract start date. The approved Solution Communication and Training Plan shall address the following topics for both communication and training activities: A. Approach and scope (including all audience groups); B. Training and outreach activity, schedule, duration, types (i.e., in person, online, pre-recorded, real time, interactive, etc.), locations, for various stakeholder groups (all providers, recipients, etc.) by task; C. Assurances for providing timely, appropriate training and outreach activities for all stakeholders; D. Roles and responsibilities for all stakeholder types; E. Communication and training to support the initial implementation of solution; F. Post implementation training and outreach activities and frequency throughout the life of the contract; G. Training and outreach for newly approved and revalidating providers during the onboarding process; H. Languages that communication and	Provide a draft Solution Communication and Training Plan addressing all items A-I.	N/A	S	

		training will be provided in and basis for verifying accuracy of all translations; and I. Identification of standardized and ad hoc communication and training materials.				
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Bidder's Response:

During the implementation phase, the Sandata Account Executive will lead the outreach and training 'work stream'. They will work with DHHS to provide a detailed written Outreach (Communications) and Training Plan which addresses the agreed upon approach, methods, communications, training schedule, tools, and techniques for user / system documentation and training. The Training Plan will be tailored to address the needs of all EVV system users (e.g., DHHS, provider, caregiver, participant); however, in general, it will describe the training and outreach activities, materials, schedules, key assumptions, and delivery model for a standard EVV implementation as well as post-launch training activities throughout the life of the contract.

Please refer to Attachment 4, Draft Outreach (Communications) and Training Plan that contains all elements listed above. We will provide a final plan within 45 days of the contract start date for DHHS review and approval.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
248	CAT.2	Contractor must collaborate with DHHS to finalize a training schedule that will be approved by DHHS.	Describe how Contractor will collaborate with DHHS to finalize a training schedule that will be managed and approved by DHHS.	N/A	S	

Bidder's Response:

Sandata will collaborate with DHHS on the final training schedule. EVV training will be coordinated using a training calendar. As reflected in our draft DHHS project plan, our experience has shown that the ideal time to begin user training is 30 days or less prior to system go live. Users are more likely to retain the information being trained and less likely to require re-training.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
249	CAT.3	Solution must provide for development and implementation of technical and user training programs.	Describe how solution will provide for development and implementation of technical and user training programs.	PE.PI2.18	S	

Bidder's Response:

System user education will be included within the Outreach and Training Plan with more detailed information specific to each user type. External

communications, educational tools, and other pertinent information will be posted to the public EVV website and/or our LMS system, as appropriate.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
250	CAT.4	Contractor must provide Communication and Training Plan updates on the following basis: A. Prior to the scheduled pre- Solution Implementation training; B. Each time an Solution change or upgrade is implemented. The updated and DHHS approved plan shall be distributed to Solution users prior to the implementation of the system change or upgrade; and C. A complete review and update shall be performed on an annual basis within thirty (30) days of the start of each contract year. The annually updated, DHHS-approved plan shall be distributed or made available to all solution users.	Describe management of the ongoing Communication and Training Plan updates.	N/A	S	

Bidder's Response:

A training plan, including all communications and training schedule, will be developed and executed upon approval by DHHS. The plan will be customized to address the needs of all users. Sandata will submit a draft training plan for review with DHHS with the understanding that curriculum and schedule is subject to approval. The Outreach and Training Plan will be reviewed and updated, as needed:

- A. Prior to the scheduled pre-solution implementation training.
- B. Following a major upgrade or change in scope.
- C. Annually, within 30 days of the start of each contract year.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
251	CAT.5	Contractor must perform updates to standardized training and communication materials. Updated materials shall be reviewed and approved by DHHS on the following basis: A. At a minimum, on an annual basis in	Describe how updates to standardized training and communication materials are maintained as noted.	N/A	S	

		accordance with the training and communication schedule; and B. A minimum of 10 business days prior to a scheduled training or communication event. C. All updates must include a version identifier and date updated notation.				
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Bidder's Response:

Our Training Plan includes our standard written training and outreach materials for web-based training and self-study trainings. All materials are versioned and will be submitted to DHHS for approval a minimum of 10 business days prior to the first training session, and on an annual basis throughout the life of the contract.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
252	CAT.6	Contractor must provide training to all users of the solution prior to the implementation of EVV and on an ongoing basis during operations in accordance with the DHHS-approved EVV Communication and Training Plan and Materials.	Describe how the training will be delivered to all users of the solution prior to the implementation of EVV and on an ongoing basis during operations in accordance with the DHHS-approved EVV Communication and Training Plan and Materials.	N/A	S	

Bidder's Response:

Initial Training

While Sandata offers multiple training modalities, in our experience, end users often opt for independent web-based self-study or instructor-led webinars in lieu of classroom training. Our training options for initial training are summarized below.

- **Independent web-based training:** a training participant's independent review of online user-specific training PowerPoint materials, system demonstration of specific training scenarios, and reviews to confirm system and training competency. Independent web-based training is accessed on line via the LMS at any time. These materials will be maintained during the life of the contract.
- **Instructor-led web-based training (webinars):** a virtual room environment led by a Sandata Team trainer. Webinars can provide a convenient method for digesting the materials. Trainer led web-based trainings are scheduled for specific times and are accessed online and via phone.
- **Instructor-led classroom environment training sessions:** classroom environment led by a trainer covering similar content as the webinars and includes hands on computer exercises which helps accelerate learning. Instructor-led sessions are scheduled in central locations on specific dates and times at appropriate training facility locations throughout the state.

Learning Management System (“LMS”)

Sandata offers a full featured e-learning component to support initial training, as well as, a continuous learning/new hire training option throughout the life of the contract. (See Figure 32) Sandata is pleased to include LMS functionality for all users for the life of the contract.

This computer-based training not only helps scale the initial training but also provides an easy way for new service providers to learn the system. Given that the turnover of service providers may be significant, this will help DHHS to control costs over the lifetime of the project.

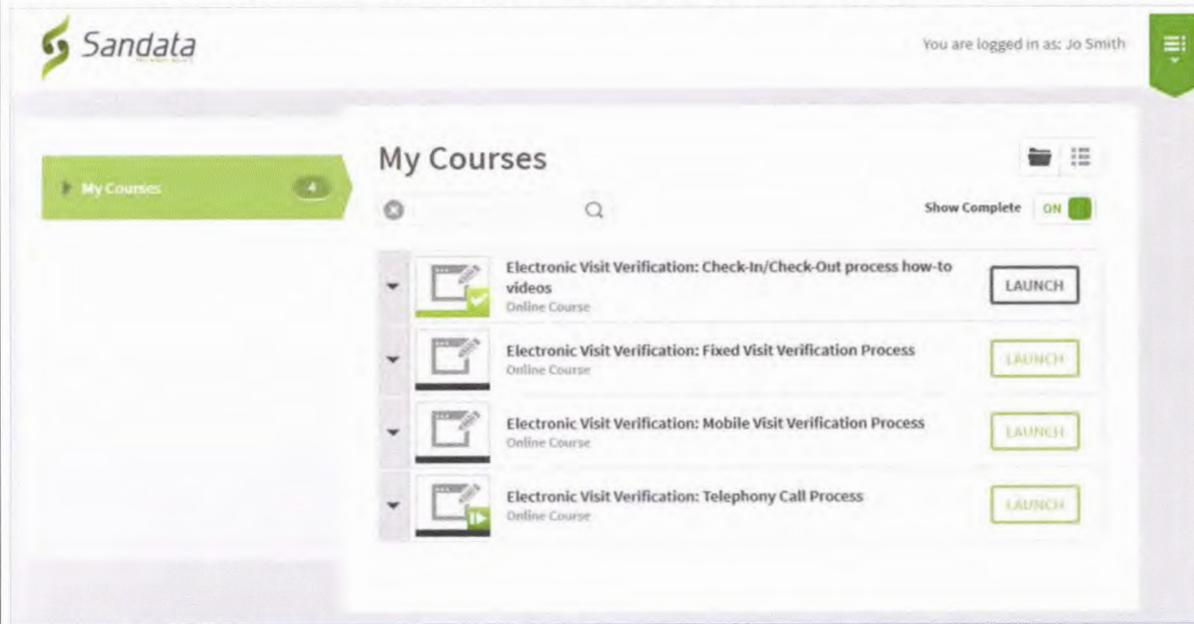


Figure 32: Sandata’s LMS shows a detailed list of courses required for each trainee based on their log in information.

trainings based on the report findings in an effort to reduce provider uncertainty and increase their understanding of a particular topic. We also anticipate future potential hot topics for the next cycle and develop additional hot topic trainings. For example, often after launch, Visit Maintenance is a common reason for calling Client Success. Sandata anticipates this and has hot topic training ready to go. Hot Topics are generally available via a recorded webinars posted to the LMS for continuous viewing. A link to the recording is sent out via an email blast.

Examples of recent Hot Topics include:

- Sandata Mobile Connect Refresher;
- Visit Maintenance; and
- Exception Handling.

Optimization Training

Optimization Training in the form of topic-specific documents and webinars is a best practice we have adopted. We have a “Hot Topic” program as part of our Optimization Training which has improved knowledge retention and reduced the number of Client Success help desk calls for training related issues.

Hot Topics are identified through reporting developed by our Client Success department. This report is monitored for volume and reasons for calling. We then develop Hot Topic

Ongoing Training

Sandata knows from experience that it will be necessary to ensure access to EVV training materials post launch for refresher training as well to support new EVV system users. Sandata will provide these training sessions via the self-paced modules in the LMS.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
253	CAT.7	Contractor must provide train-the-trainer sessions for DHHS resources or designated DHHS resources and other staff responsible for training.	Describe train-the-trainer sessions for DHHS resources or designated DHHS resources and other staff responsible for training.	N/A	S	

Bidder's Response:

We offer a Train-the-Trainer option, where Sandata will support DHHS trainers as they provide training services. If you prefer to deliver training using your staff, please note that Sandata has trained thousands of providers and we look forward to sharing our materials and best practices with the DHHS training team. Our standard Train-the-Trainer program consists of five days of onsite training, including a teach back component to ensure your trainers are understanding the material that they would need to teach to others.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
254	CAT.8	Contractor must develop and deliver in-person training in multiple geographic locations within the State of Nebraska as agreed with DHHS.	Describe the development and delivery of in-person training in multiple geographic locations within the State of Nebraska based on agreement with DHHS.	N/A	S	

Bidder's Response:

Sandata will provide in-person classroom training at specific locations across Nebraska as agreed in the final Outreach and Training Plan. Instructor-led sessions are scheduled in central locations on specific dates and times at appropriate training facility locations throughout the state. These are generally held in high density areas and are typically half-day to full-day sessions, based on the final scope of work. Classroom sessions also include hands on computer exercises so the participants can actually 'use' the EVV system during training. As part of our training logistics services, The Sandata Team will be responsible for finding appropriate training facility locations, acquiring the necessary computers and equipment for classroom training, and setting up and taking down all equipment. A draft calendar with locations will presented to and approved by DHHS

prior to being finalized in the final Outreach and Training Plan.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
255	CAT.9	Contractor must utilize a variety of delivery methods for training, including online self-paced training presentations, in-person classroom setting, written materials, webinars, and demonstrations.	Describe the variety of delivery methods for training, including online self-paced training presentations, in-person classroom setting, written materials, webinars, and demonstrations. Samples may be included.	N/A	S	

Bidder's Response:

Our training options for initial training are listed below. Please refer to our response to Req. # 252 for additional details.

- Independent web-based training
- Instructor-led web-based training (webinars)
- Instructor-led classroom environment training sessions

Sandata provides various written materials to supplement training. Training materials are available in a variety of outlets such as posted on the EVV website, uploaded to the LMS, or online within the applications themselves and generally include:

- Calendar / Schedule of Training sessions;
- System Users Guides including:
 - Sandata EVV User Guide;
 - Sandata Mobile Connect User Guide;
 - Visit Verification Reference Guide;
- Hot Topics Videos or Tools;
- Training Session Materials including:
 - Health Care Provider EVV Solution Course; and
 - Payer Business Intelligence System training (DHHS).

Please refer to Attachment 4 for sample training materials within the Draft Outreach and Training Plan.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure

256	CAT.10	Contractor's training materials must be offered in accessible formats consistent with requirements of the Americans with Disabilities Act.	Describe how the training materials being offered are in accessible formats consistent with requirements of the Americans with Disabilities Act.	N/A	S	
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Bidder's Response:

To further facilitate communication, we strive to make written materials extremely clear and easy to comprehend for all users. Materials are printed in 12-point font (also available in large print up to 18-point font, if needed). We ensure that electronic information and services, including but not limited to our Sandata EVV and Sandata Mobile Connect comply with modern accessibility standards such as section 508 guidelines, section 504 of the Rehabilitation Act, and W3C's Web Content Accessibility Guidelines (WCAG) 2.0 AA and successor versions. Sandata supports training and educational materials for users with limited literacy or limited technology literacy using a combination of automatic readability assessments and calculators within Microsoft Word and best practices in content development and design. Alternate formats are also available upon request.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
257	CAT.11	Contractor must provide a training environment that is available to DHHS and must maintain and update the training environment with training data to use during user training.	Describe the training environment available to DHHS and how Contractor shall maintain and update the training environment with training data to use during user training.	N/A	S	

Bidder's Response:

Sandata will provide a training environment to ensure users maximize their experience and can become intimately familiar with the system prior to go-live. System users can use the training environment as a "sandbox" to practice the real-life scenarios as reviewed during training without the fear of compromising production data. The training environment will be maintained and updated as needed.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
258	CAT.12	Contractor must provide training for providers that use third-party solutions that includes, at a minimum: the correct process for integration, information verification, data collection and reporting, and data submission to the state EVV	Describe the methods for providing training for providers that use third-party solutions including but not limited to: the correct process for integration, information verification, data	N/A	S	

		Aggregator system.	collection, reporting and data submission to the state EVV Aggregator system.			
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Bidder's Response:

Sandata will provide the following documentation to third party vendors wishing to build an interface to the Sandata Aggregator. These include:

- Standard Specification;
- Companion/Implementation Guide; and
- Testing Guide.

For providers who use a third party EVV system, Sandata will provide training regarding Sandata Aggregator for reporting.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
259	CAT.13	Contractor must make training records available to be included in the data available for reporting.	Describe how training records will be included in the data available for reporting.	N/A	S	

Bidder's Response:

After training begins, Sandata will submit weekly training reports until program launch and monthly thereafter that include summary information (dashboard reporting) such as:

- Total number of training sessions;
- Type of training;
- Number of trainees;
- Training survey results; and
- Percentage of total users trained.

Detailed information captured will include:

- Names of the individuals trained;
- User type;
- Provider name;
- Date of training;
- Specific training modules completed by each participant; and
- Training modality completed (classroom, web-based, or self-paced).

This information will be available to DHHS and others as appropriate. An EVV user can only have access to their portal once they have completed

training.

G.12 Operations Requirements:

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
260	OP.1	Contractor must identify, document and communicate to DHHS any sanctions, corrective action plans and/or unresolved audit findings identified during the life of the contract.	Describe the process that will be used to identify, document and communicate to DHHS any sanctions, corrective action plans, and/or unresolved audit findings identified across the install base during the life of the EVV contract.	N/A	S	

Bidder's Response:

Information related to sanctions, corrective action plans, or unresolved audit findings that impact the DHHS EVV program will be communicated via your assigned Account Executive.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
261	OP.2	Contractor shall provide electronic notification, including detailed release notes, for version changes, patches, updates and fixes prior to being deployed to either the test or production environment.	Describe the process for notifications, release notes and updates for version changes, patches, updates and fixes prior to being deployed to either the test or production environment.	N/A	S	

Bidder's Response:

Sandata issues an electronic notice to all users prior to each production release that includes release notes describing any changes or new features available.

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
262	OP.3	Solution must perform advanced information monitoring and route system alerts and alarms to communities of	Describe how solution will perform advanced information monitoring and route system	TA.DC.7	S	

		interest when the system detects unusual conditions.	alerts and alarms to communities of interest when the system detects unusual conditions.			
Bidder's Response:						
Sandata conducts continuous monitoring of our systems and we have automated solutions that provide alerts and alarms should a system or process not function properly.						

Req.#	ID	Contractor / Solution Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
263	OP.4	Solution must be capable of or support the production of a random sample of data that would be needed for audit purposes (e.g. providers, beneficiaries, claims, etc.) based on the state-established selection criteria.	Describe solution's capabilities for providing a random sample of data that can be used as needed for audit purposes, based on state-established selection criteria.	IA.DS.18	S	
Bidder's Response:						
Sandata will provide a random sample of data for audit purposes upon request. Note, as a standard practice, Sandata provides an interface of all EVV program data to the DHHS Data Warehouse. Sandata will work with DHHS personnel to define the data exchange frequency during the implementation.						

G.13 Customer Support Requirements

Once implementation is complete, a key success factor from a stakeholder use perspective is quality support and responsiveness. With each item below, Bidder should provide thorough responses to show how bidder's experience in delivering consistent EVV services and support will assist DHHS in meeting stakeholder expectations.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
264	CSR.1	Contractor must establish and maintain an Solution Customer Support Plan that addresses all aspects of customer care services, including a help desk function. The draft version of the Solution Customer Support Plan shall: A. Be submitted with the proposal; B. Be submitted to DHHS for review and approval within thirty (30) calendar days of the contract effective date; C. Establish the purpose and scope of the	Provide a draft version of the Solution Customer Support Plan which must include all required items C-F within draft plan.	N/A	S	

		Customer Support Plan; D. Describe the customer support services, including but not limited to help desk services; E. Establish roles and responsibilities for providing customer support functions; and F. Establish operational hours for the provision of customer support services.				
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Bidder's Response:

Please refer to Attachment 18 for our Solution Customer Support Plan, which is centered on high-quality support and immediate responsiveness, and meets items C – F in Req. #264.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
265	CSR.2	<p>Contractor must provide a help desk function. The help desk shall provide:</p> <p>A. Technical support by phone and online, every calendar day, (7 days per week during the hours 8 a.m. to 6 p.m. CT) for all stakeholders for the first 90 days of the Operations and Maintenance Task in accordance with the DHHS-approved Solution Customer Support Plan.</p> <p>B. Technical support by phone and online in accordance with DHHS's regular business hours (8 a.m. to 6 p.m. CT) for the duration of the contract beginning on the 91st day of Operations and Maintenance task. Support shall be provided in accordance with the DHHS-approved Solution Customer Support Plan.</p> <p>C. Contractor shall provide on-call technical support for hours outside production support core business hours.</p> <p>a) Contractor will return contact within fifteen (15) minutes of state contact to Contractor on-call support number.</p> <p>b) Contractor will maintain active and continued resolution activity until problem is resolved for incidents designated severity 1, or the highest severity designation</p>	Describe help desk functions to be provided, including all requirements noted.	N/A	S	

Bidder's Response:

Sandata offers comprehensive, convenient, and 24/7 help desk support, called "Client Success," both telephonically and online, for our system users for the life of the contract.

- A. During the first 90 days, our Client Success support will be available seven days per week from 8 am to 6 pm CT.
- B. After that, Client Success service hours are Monday through Friday, 9:00 a.m. - 6:00 p.m. CT., with the exception of State holidays. Our email support is always available and users can always access our live chat feature.
- C. Around the clock coverage after normal business hours is available for urgent issues and is answered by an on-call agent. We will return contact within fifteen (15) minutes of state contact.
- D. Each issue is assigned a planned resolution date and the ticket is continuously updated by Sandata team members as they work to resolve the issue. The system automatically generates an alert within 24 hours of a missed planned completion date. If the issue remains unresolved for another 24 hours, the supervisor is notified. Should the issue remain unresolved for another 24 hours, the department head is notified. This automated escalation ensures all customer issues remain front and center until they are successfully resolved.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
266	CSR.3	Contractor must establish and distribute an electronic DHHS-approved Solution User Manual. At a minimum, the user manual shall be updated and distributed annually to all solution users. The Solution User Manual shall be updated within thirty (30) days of implementation of changes if there are major system upgrades that occur more frequently than regularly scheduled annual updates.	Describe the process for developing and maintaining the required electronic user manual.	N/A	S	

Bidder's Response:

Sandata maintains electronic User Manuals that document and detail system functionality, guiding the user step by step with simple instructions and graphics. The user manuals are available within the Sandata EVV and Sandata Mobile Connect applications to support system users. These documents are regularly updated to reflect changes and enhancements to the Sandata EVV and Sandata Mobile Connect functionality. The manuals will be updated within 30 days of major system upgrades.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
267	CSR.4	Contractor must provide a consistent method for receiving and answering questions from system users.	Describe how questions will be received and answered consistently once the system is operational.	N/A	S	

Bidder's Response:

We provide a toll-free line for EVV users to access Client Success support team available to assist users with application issues. All calls are tracked in our Client Success tracking system. In addition, users can submit issues via email 24/7 and access our live chat feature. Issues are documented and tracked the same as if they were a phone call.

Both online and telephonic inquiries from system users are logged into an integrated tracking system used by all Client Success staff and are addressed according to their assigned level of priority. Our ticketing system provides support and routing to ensure any tickets that cannot be resolved by the Client Success team are properly and efficiently routed to the next level of support and all customer issues remain front and center until successfully resolved.

Further, we offer a number of self-service features including:

- **Customer Self-Service Portal:** Allows system users to enter tickets, see the status of tickets, and search their previous tickets;
- **Searchable Knowledgebase:** System users can review our knowledgebase and documentation to help solve their particular issue; and
- **Chat/Answer Bot:** An intelligent automation attendant that provides answers to most common questions.

With these features, system users can quickly find answers to common questions and review the status of their previously logged issues without the need to speak with an agent.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
268	CSR.5	Contractor must document inquiries and provide routine reports to DHHS regarding reasons for inquiries.	Describe the process for managing and reporting on inquiries.	N/A	S	

Bidder's Response:

All Client Success identified issues, no matter the contact method, are logged into a tracking system and addressed according to their assigned level of priority. Most issues are addressed on the initial contact by the Tier 1 Client Success team. Issues that cannot be immediately addressed are assigned to Tier 2 / Tier 3 support team. Technology issues are logged and assigned to the appropriate internal resource. Once the issue is logged, the assigned resource will review the issue and provide an estimate on the timeframe needed to address the issue. The system

automatically generates an alert within 24 hours of a missed planned completion date. If the issue remains unresolved for another 24 hours, the supervisor is notified. Should the issue remain unresolved for another 24 hours, the department head is notified. This automated escalation ensures all customer issues remain front and center until they are successfully resolved.

Client Success Reporting

Sandata analyzes and reports on key metrics monthly to support user education, system enhancements, and monitor the timeliness and effectiveness of these services. These include, but are not limited to:

- Client Success metrics;
- Gap reporting;
- Operational reporting; and
- Satisfaction survey results

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
269	CSR.6	Contractor must handle grievances in an organized, consistent manner.	Describe how grievances are handled in an organized, consistent manner. Describe grievance handling process, response times for initial grievance, escalation process, and any other handling of grievances.	N/A	S	

Bidder's Response:

All Client Success identified issues, no matter the contact method, are logged into a tracking system and addressed according to their assigned level of priority. Issues that cannot be immediately addressed are assigned to Tier 2 / Tier 3 support team. Technology issues are logged and assigned to the appropriate internal resource. Once the issue is logged, the assigned resource will review the issue and provide an estimate on the timeframe needed to address the issue. The system automatically generates an alert within 24 hours of a missed planned completion date. If the issue remains unresolved for another 24 hours, the supervisor is notified. Should the issue remain unresolved for another 24 hours, the department head is notified. This automated escalation ensures all customer issues remain front and center until they are successfully resolved.

We have provided our standard service levels regarding our Client Success issue response times in Table 13.

Table 13: Sandata's Service Level Standards

Priority	Description	Service Level
1 – Critical*	Issues defined as user cannot operate a core piece of their business due to a deficiency / defect with no reasonable workaround. Example: System down.	<ul style="list-style-type: none"> Response within 30 minutes; Progress reports every 4 hours then daily as the investigation continues.
2 – High / Major	Issues defined as user operations are impacted, slowed, or hampered by deficiency / defect, but there is a viable workaround allowing client to continue using product. Example: Issue affecting day to day workflow and the workaround may be inconvenient or have a significant impact of time to the user.	<ul style="list-style-type: none"> Response within 1 business day; Daily updates then weekly as the investigation continues.
3 – Low / Minor	Issues defined as deficiency / defect that impacts user's ability to use the product but there is a viable workaround allowing client to use product without material impact to efficiency or quality. Example: Investigation request.	<ul style="list-style-type: none"> Response within 1 week; Monthly updates.

*During normal business hours, all issues / requests are assigned a ticket immediately.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
270	CSR.7	Contractor must document grievances and provide routine reports regarding the reasons for the grievances and the resolution of the grievances.	Describe the grievance and reporting process.	N/A	S	

Bidder's Response:

Please see our response to Req. #269 for our grievance and reporting process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
271	CSR.8	Solution must provide a callback option. For callers who select a callback option, Contractor must have their call returned within four (4) business hours.	Describe the callback solution and service level expectations.	N/A	S	

Bidder's Response:

Sandata will maintain a response time of four hour during business hours for voice mails requesting a call back. To request a call back the caller dials the toll free Client Success number and selects 1 on the phone to leave a voicemail requesting a call back. Agents review all voicemails and log the date and time the voicemail was left in Sandata's Client Success ticketing system. Agents then return the call within four business hours.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
272	CSR.9	Solution must provide organizations and individuals providing Medicaid home and community-based services with necessary, comprehensive, timely and accessible information, instructions and training, and technical support during implementation and operation of solution.	Describe how the solution provides organizations and individuals providing Medicaid home and community-based services with necessary, comprehensive, timely (as per the agreed project schedule) and accessible information, instructions and training, and technical support during implementation and operation of solution.	N/A	S	

Bidder's Response:

Sandata and DHHS will mutually develop a comprehensive and timely outreach and training plan targeting all key stakeholders, including DHHS staff, organizations, providers, caregivers, and participants, to ensure all parties understand the EVV program. We will partner with and encourage DHHS to begin outreach early in the implementation process in a variety of ways, including an EVV Program website for users, direct emails, and newsletters.

Sandata recommends that DHHS establish an EVV website for users and provide templates for direct emails and communication mechanisms such as newsletters. We will participate in DHHS-sponsored town halls or advisory groups as well as all stakeholder meetings. Sandata will share outreach materials, templates, and best practices that have been used successfully in other state EVV programs. This will help DHHS to create a set of outreach materials appropriate for your program. Together, we will develop a calendar of outreach activities best tailored to your stakeholder community to inform all of upcoming EVV activities.

Training modalities available include in-person classroom, instructor led webinars, and independent learning via our electronic Learning Management System (“LMS”). Post-training surveys are conducted, results are analyzed, and recommendations are made, as needed, as part of our continuous quality improvement processes.

Technical support has been detailed in our response to Req. #267.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
273	CSR.10	<p>Contractor must provide Customer Support monthly reporting statistics and criteria, and associated reports are to be delivered on a monthly basis. Some of the criteria to be included, but is not limited to are:</p> <ul style="list-style-type: none"> • Call Center Calls Received by Month • Calls Abandoned • Calls Answered • Average Handle Time • Calls Held • Average Hold Time • Calls Abandoned % • Call back statistics • Average Speed of Answer • Calls transferred to Voicemail • Callers who left Voicemail • Time to return Voicemail • Dropped Calls. 	Describe the Customer Support monthly reporting statistics and criteria, and include a mock-up of the report to be delivered on a monthly basis. Include all identified requirements in CSR.10. Sample should be submitted with proposal.	N/A	S	

Bidder's Response:

Please refer to Attachment 19 for our sample / mock up monthly Client Success report. Sandata analyzes and reports on key metrics monthly to support user education, system enhancements, and monitor the timeliness and effectiveness of these services.

G.14 Staffing and Resources Requirements:

Committed, experienced staff are key to a successful project. Describe the staff that will be utilized for this project, and how Bidder utilizes documented, consistent processes to ensure ongoing oversight of project and operational staff.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
274	SAR.01	<p>Contractor must have a process for performing background checks for U.S. citizens, non-U.S. citizens, and Green Card holders. Contractor must provide a Personnel Background Check Attestation (written documentation) of a favorable background check for personnel who might reasonably be expected to access sensitive and confidential member data contained in any system accessed during the course of the Contract. Contractor must have a documented set of processes and criteria used for background checks.</p> <p>The Department may request the removal of staff for disqualifying offenses.</p>	Describe the background check processes used, and criteria included. Describe the process for performing background checks for citizens, non-US citizens, and Green Card holders.	N/A	S	

Bidder's Response:

Sandata follows all applicable laws and regulations that pertain to the hiring of personnel. In general, Sandata performs formal screening procedures on prospective employees consisting of all or part of prior employment references / other verification of previous employment, evidence of stated academic and professional qualifications, credit reference checks, criminal record checks for certain positions and independent identity checks (e.g. passport).

Sandata conducts a criminal background investigation as well as checking the list of persons excluded from Medicare and Medicaid, as well as the list of debarred contractors prior to hiring any employee. In addition, Sandata periodically checks the excluded person databases to determine if any existing employees have been subsequently barred from Medicare or Medicaid. No candidate who has been convicted of a healthcare-related crime, or excluded from participation in federal or state healthcare program, will be hired for a position. If any candidate has been excluded from Medicare or Medicaid, they will not be hired. Existing employees who have been excluded from Medicare or Medicaid are subject to immediate termination. Human Resources will notify the candidate and director/manager of their ineligibility. When an individual has been denied employment due to a criminal background or because he or she has been excluded from Medicare or Medicaid, it will be reported to the Corporate Compliance Officer and the Compliance Committee.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
275	SAR.03	Contractor will work with DHHS to develop an agreed to schedule for project manager to be onsite at DHHS for all key meetings, training and other activities as needed.	Describe Contractor's typical approach to onsite versus remote support, and how Contractor will work with DHHS to develop an agreed to schedule for project manager to be onsite at DHHS for all key meetings, training and other activities as needed.	N/A	S	

Bidder's Response:

Based on our experience, Sandata proposes deploying a remote implementation team, with regular onsite attendance for key activity. We have successfully implemented ALL of our payer EVV programs in this manner. We will work closely with DHHS to ensure we are maximizing the effectiveness of the team, and at the same time taking the most cost effective approach throughout the implementation. We will work with DHHS to determine the on-site schedule upon award.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
276	SAR.04	Contractor's staff working remotely must be available to work in the State's primary project location at DHHS's request for functions necessary to support the scope of work (e.g., risk review meetings, root cause analysis sessions, integration planning, release planning, operational readiness reviews, UAT, implementation, and production deployment).	Describe how staff working remotely will be available to work in the State's primary project location at DHHS's request for functions necessary to support the scope of work (e.g., risk review meetings, root cause analysis sessions, integration planning, release planning, operational readiness reviews, UAT, implementation, and production deployment).	N/A	S	

Bidder's Response:

Our staff is available and welcomes onsite collaboration to ensure a successful project implementation. Typically, we are onsite for project kick-off, business requirements sessions, UAT, training, and to support other activities, as needed.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
277	SAR. 05	DHHS reserves the right to request the	Describe process Contractor	N/A	S	

		removal of any Contractor staff or sub-Contractor staff assigned to the project and the Contractor shall comply with any such request immediately.	will use if or when DHHS requests removal of contractor staff or subcontractor staff assigned to the project.			
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Bidder's Response:

DHHS will need to submit a written request documenting the requested removal of a staff or subcontractor staff member assigned to the project. Sandata will remove the personnel from the project and identify and assign replacement personnel to take over the required duties. Sandata will ensure a smooth transition and knowledge transfer between our staff members to minimize disruption to the project.

G.15 Turnover and Contract Closeout Requirements:

Upon ending the contract, Contractor shall work with DHHS and any other organizations designated by DHHS to ensure an orderly transition of services and responsibilities under the contract and to ensure the continuity of those services required. This includes, but is not limited to, supporting data conversion and knowledge transfer to Nebraska DHHS or any succeeding contractor.

All toll-free telephone numbers shall be transferable to Nebraska DHHS, or other entity designated by DHHS, upon the ending of the contract.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
278	TAT.1	Refer to Contractor requirements in Section II. T. Contract Closeout.	Provide a draft Turnover Plan of a similar EVV project. Describe bidder's experience in transition activities of a similar EVV project.	N/A	S	

Bidder's Response:

We have vast experience in successful transition activities of projects similar in size and scope (transitioning to Sandata and from Sandata), as we have delivered EVV solutions to the home care provider market for 40 years, and the Payer market for over 14 years.

Please refer to Attachment 20 for our draft Turnover Plan, which describes our approach, schedule and resource requirements in transitioning services, knowledge and responsibilities from Sandata to DHHS, its designee, or the succeeding contractor; in addition to detailing how we will meet all Contract Closeout requirements stipulated in Section II.T. Contract Closeout of RFP 6113 Z1.

G.16 Certification Support Requirements:

To ensure a comprehensive solution, and to best leverage federal FMAP, DHHS is very focused on ensuring that all certification criteria are satisfied fully. Describe their experience and capability in meeting all certification requirements, artifacts, tracking and collaboration throughout the project. Since full certification will not occur until at least six months post-implementation, many certification activities will continue beyond deployment through the initial operational months. Be specific and ensure Bidder's responses show how Bidder's experience and capability can differentiate Solution and certification achievement.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
279	CRT.1	Contractor shall develop a Certification Crosswalk that describes how the solution aligns with the CMS certification requirements and MECT milestones within 120 days of execution of the contract.	Describe the process by which the solution will be validated against the CMS certification checklists.	N/A	S	

Bidder's Response:

Sandata is the only EVV vendor who has already successfully certified our EVV solution with CMS. Please see Attachment 21 for an overview of the process and support provided during each phase of the certification process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
280	CRT.2	Solution must be CMS certifiable through correct design, implementation, documentation, and support by Contractor.	Describe how solution will be CMS certifiable through correct design, implementation, documentation, and support by Contractor.	N/A	S	

Bidder's Response:

Sandata will work closely with DHHS, your IV&V vendor and CMS throughout the certification process to help ensure a successful certification. Please see Attachment 21 for an overview our Certification process.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
281	CRT.3	Contractor must coordinate with DHHS in developing the necessary CMS certification checklist documentation and artifacts for each MECT checklist requirement.	Describe how Contractor will collaborate with DHHS to develop the necessary CMS certification checklist documentation and artifacts for each MECT checklist requirement, along with any MECT certification experience from past implementations.	N/A	S	

Bidder's Response:

Sandata has already defined the standard certification artifacts required by CMS from our most recent certification. Please see Attachment 21, CMS Certification Plan for a list of artifacts.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
282	CRT.4	Contractor must update system, user, and training documentation as necessary to support the certification process and to reflect changes that have been made to solution during the certification process.	Describe how Contractor will update system, user, and training documentation as necessary to support the certification process and to reflect changes that have been made to the solution during the certification process.	N/A	S	

Bidder's Response:

Sandata provides a standard list of artifacts to support certification as documented in Attachment 21. Each artifact will be updated to match specific DHHS program information.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
283	CRT.5	Contractor shall participate as required by DHHS during milestone reviews and other certification meetings.	Describe how Contractor will provide staff resources as necessary to support MECT milestone reviews and activities. Describe how Contractor will participate as required by DHHS during milestone reviews and other certification meetings.	N/A	S	

Bidder's Response:

Sandata has assigned Brien Mitchell as the CMS Certification Lead. Mr. Mitchell, along with appropriate members of our project team, will support all MECT milestone reviews and activities and will participate in all required meetings.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
284	CRT.6	Contractor must complete milestone updates to the CMS certification checklists as requested by DHHS. Contractor must assist DHHS in preparing certification artifacts, evidence, presentation materials and any other content as required by DHHS, IV&V, or CMS. Contractor must	Describe how Contractor will support creation, review and updates of all required certification artifacts, presentation materials and any other content required for the CMS certification process.	N/A	S	

		support DHHS and the IV&V's activities associated with solution throughout the CMS certification process.				
Bidder's Response:						
Please see Attachment 21 for an overview of our Certification support and standard artifacts.						

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
285	CRT.7	Contractor must populate a DHHS certification document repository, as each required item/artifact is completed and approved.	Describe how contractor will populate repository, as each required item/artifact is completed and approved.	N/A	S	
Bidder's Response:						
In our experience the IV&V vendor has been the manager of the document repository. However, Sandata can set up a document repository on our project web site upon request.						

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
286	CRT.8	Contractor must provide the IV&V Contractor timely (based on agreed project schedule) and accurate project status when requested by DHHS or the IV&V Contractor.	Describe how Contractor will provide IV&V Contractor timely and accurate project status when requested by DHHS or the IV&V Contractor.	N/A	S	
Bidder's Response:						
Sandata recommends the IV&V vendor, DHHS, and Sandata establish a project schedule with clearly defined due dates and deliverables so that all parties understand the timelines and materials needed to support the certification process. Sandata will adhere to all required deadlines and deliverables.						

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
287	CRT.9	Contractor must utilize agreed testing methodologies, configuration and change control measures made to the solution throughout the certification and operational processes.	Describe how Contractor will utilize agreed testing methodologies, configuration and change control measures made to the solution throughout the certification and operational processes.	N/A	S	

Bidder's Response:

Sandata has extensive experience in supporting testing methodologies, configuration, and change control documentation to support the certification and operational processes. After business rules and technical specifications have been agreed to, our Implementation team will work with DHHS to determine the overall test strategy for the project. Our test managers will then document the decisions derived from that process in a test plan that will describe the scope of testing, approach, roles, test environments, processes for test execution and documentation, defect identification, tracking, reporting and resolution, and an agreed upon list of test scenarios/cases. Our Implementation team will also work with DHHS to develop configuration and change management controls for the project that will continue throughout the life of the contract.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
288	CRT.10	Contractor should participate and provide support as needed in CMS certifications of any other associated modules.	Describe how contractor will support CMS certifications of associated modules.	N/A	S	

Bidder's Response:

Sandata will work with DHHS to support the CMS Certification of the EVV solution.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
289	CRT.11	Contractor must correct all required remediation activities related to certification findings on a schedule to be approved by CMS and DHHS.	Describe how contractor will complete remediation activities on a schedule to be approved by CMS and DHHS.	N/A	S	

Bidder's Response:

If any remediation activities are documented during the process, Sandata will work with CMS, DHHS, and the IV&V vendor to define the remediation actions required and associated timelines.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
290	CRT.12	Contractor must meet the requirements of future regulations and guidance from CMS for EVV systems and EVV use to ensure that Nebraska fully qualifies for and receives enhanced ninety percent (90%) federal funding for design, development and implementation; enhanced federal match of seventy-five percent (75%) federal funding for operation, maintenance and customer support; and fifty percent (50%) federal match for administrative	Describe how Contractor will meet the requirements of future regulations and guidance from CMS for EVV systems and EVV use to ensure that Nebraska fully qualifies for and receives enhanced ninety percent (90%) federal funding for design, development and implementation; enhanced federal match of seventy-five	N/A	S	

		activities and education and outreach activities. The Contractor must provide DHHS with technical support and documentation as needed to support the state's request for the enhanced federal funding.	percent (75%) federal funding for operation, maintenance and customer support; and fifty percent (50%) federal match for administrative activities and education and outreach activities. Bidder commits to provide DHHS with technical support and documentation as needed to support the state's request for the enhanced federal funding.			
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Bidder's Response:

Please see Attachment 21 for an overview of the certification support and artifacts Sandata will provide to help DHHS achieve CMS Certification.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
291	CRT.13	Solution must adhere to the CMS MITA framework, version 3.0 and later, as related to EVV systems, EVV data, use of common data standards, and efficient and reliable data interchange with the existing Nebraska and new Medicaid Systems, which is moving toward a modular system based on Service Oriented Architecture design principles and the MITA framework. For more information on MITA, visit https://www.medicaid.gov/medicaid/data-and-systems/mita/index.html	Describe how solution adheres to the CMS MITA framework, version 3.0 and later, as related to EVV systems, EVV data, use of common data standards, and efficient and reliable data interchange with the existing Nebraska and new Medicaid Systems, which is moving toward a modular system based on Service Oriented Architecture design principles and the MITA framework.	N/A	S	

Bidder's Response:

Sandata will adhere to the CMS MITA framework as related to EVV systems, data, and use of data standards.

Req.#	ID	Contractor / Solution/Requirement	Instructions to Bidder	CMS Checklist ID	Bidding Ability Code	Gap Description and Recommendation for Closure
292	CRT.14	Contractor must provide solution's technical, functional, and performance documents as required by the IV&V Contractor.	Describe process used to create, track and provide evidence for all documents required by IV&V Contractor.	N/A	S	

Bidder's Response:

Please see Attachment 21 for an overview of Sandata's CMS Certification process, including the supporting artifacts.

Table of Attachments

Attachment 1a	Confidentiality Statement
Attachment 1b	Sandata's 2018 Financials
Attachment 2	Implementation Overview Guide
Attachment 3	UAT Policy
Attachment 4	Draft Outreach and Training Plan
Attachment 5	Sample Project Dashboard
Attachment 6	Resumes
Attachment 7	Sandata Outcomes
Attachment 8	DHHS EVV Draft Work Plan
Attachment 9a	Confidentiality Statement
Attachment 9b	Functional and Technical Roadmap and EVV Release Timeline
Attachment 10	Standard Open EVV Interfaces
Attachment 11a	Disaster Recovery Plan
Attachment 11a	Business Continuity Plan
Attachment 12	Sample Standard EVV Reports
Attachment 13a	Confidentiality Statement
Attachment 13b	Architectural Diagram
Attachment 14	Change Order Process
Attachment 15	Draft Monthly Status Report
Attachment 16	Sample Project Work Plan from Another Project
Attachment 17	Sample Test Management Plan
Attachment 18	Draft Customer Support (Client Success) Plan
Attachment 19	Monthly Client Success Report
Attachment 20	Draft Turnover Plan
Attachment 21	CMS Certification Plan
Attachment 22	Sandata Standard MSA
Attachment 23	Performance Guarantees – Attachment B



September 10, 2019

Via Email

Re: RFP 6113 Z1

TO WHOM IT MAY CONCERN:

Reference is made to the State of Nebraska, Department of Administrative Services, Materiel Division, State Purchasing Bureau, and its Request for Proposal Number 6113 Z1 (the "RFP") for the purpose of selecting a qualified bidder to provide an Electronic Visit Verification Solution. Under separate cover, Sandata Technologies, LLC ("Sandata"), is submitting a proposal in response to the RFP ("Sandata's RFP Response").

The RFP states that "in furtherance of the State's public records Statute (Neb. Rev. Stat. § 84-712 et seq.), all proposals or responses received regarding this RFP will be posted to the State Purchasing Bureau public website" and that the Bidders must request and identify the proprietary information to be excluded from the posting. The RFP goes on to state that the "bidder must submit a detailed written document showing that the release of the proprietary information would give a business advantage to named business competitor(s) and explain how the named business competitor(s) will gain an actual business advantage by disclosure of information. The mere assertion that information is proprietary or that a speculative business advantage might be gained is not sufficient. (See Attorney General Opinion No. 92068, April 27, 1992). The State will then determine, in its discretion, if the interests served by nondisclosure outweighs any public purpose served by disclosure. (See Neb. Rev. Stat. § 84-712.05(3)) The Bidder will be notified of the agency's decision. Absent a State determination that information is proprietary, the State will consider all information a public record subject to release regardless of any assertion that the information is proprietary."

Sandata's RFP Response contains the following trade secrets, or other proprietary and/or commercial items:

1. The enclosed 2018 audited financial statements (the "Financials");
2. Architectural Diagram in RFP Attachment A, Req #158 ID TEC. 9 (the "Architectural Diagram");
3. Product Roadmap in RFP Attachment A, Req #169 ID TEC. 20 (the "Product Roadmap");
4. Sandata's confidential commercial information:
 - a. Sandata's Ownership Information, RFP §A;
 - b. Sandata's Banking Reference, RFP §B; and
 - c. Sandata's Contract Performance Information, RFP §G (Section 2(a)-(c) are collectively referred to as "Sandata's Confidential Information")

The Financials, Architectural Diagram, Product Roadmap and Sandata's Confidential Information are collectively referred to as the "Documents."

In accordance with Nebraska Revised Statute §84-712.05(3), by this letter Sandata is requesting that the Documents be withheld from the public for the reasons set forth herein.

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Under §87-502(4) of Nebraska's Trade Secrets Act, a trade secret is defined as “information, including, but not limited to, a drawing, formula, pattern, compilation, program, device, method, technique, code, or process that: (a) Derives independent economic value, actual or potential, from not being known to, and not being ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (b) Is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. Examples of trade secrets under §87-502(4) are (1) a recipe can be considered a trade secret, *see Magistro v. J. Lou, Inc.*, 270 Neb. 438, 703 N.W.2d 887 (2005) or (2) a customer list can be included in the definition of a trade secret, *see Home Pride Foods v. Johnson*, 262 Neb. 701, 634 N.W.2d 774 (2001).

Sandata strives to maintain the confidentiality of certain information about its business and accordingly limits access and only provides such information pursuant to executed agreements that require the recipient to maintain the confidentiality of the information, and prohibit the disclosure or duplication of such information, including information contained within the Documents. Sandata is a private company and the information contained in the Documents are accessible only by Sandata employees who have a need to know. We use a variety of measures to guard the secrecy of the information including administrative, physical, legal and technical controls. The Financials, Architectural Diagram and Product Roadmap are each extremely valuable to Sandata and were created with the expenditure of substantial time, money and effort. For example, the Architectural Diagram represents the Sandata EVV application architecture which includes the end to end process of how visit and other data is transmitted between applicable services and system environments. This process is unique and proprietary to Sandata. Sandata invests a significant amount of time in architecting its environments and back-end processes. This unique architecture is foundational to our position as leaders in the home healthcare market. Similarly, the Product Roadmap summarizes our strategic product initiatives and highlights how Sandata synthesizes information from its client base to create a product roadmap that is innovative and client-centric. Of necessity, this is unique to Sandata and how it has iterated products over the many decades of its existence. Disclosure of our future product plans would be detrimental to our advantage over our competitors.

Sandata derives economic value from the Financials, Architectural Diagram and Product Roadmap – each of those documents are Sandata’s unique trade secrets that are not generally known and are extremely valuable to Sandata’s business. All of our proposals responsive to public procurements contain a similar request that such information remain private and confidential and not be subject to public disclosure. While there is no case law squarely on point, by way of example, the Delaware the court found that publicly disclosing a unique form contract would have put the plaintiff “at a competitive disadvantage among its peers...who operate [similar] systems or who are looking to enter that market.” See *Heron Bay P.O.A v. Cooter Sunrise, LLC et al.*, 2013 WL 3871432 (Del. Ch. Jun. 27, 2013) and granted trade secret protection to the unique form contract. Thus, the Financials, the Architectural Diagram and the Product Roadmap would seem to fall squarely within the definition of a “trade secret.”

In addition to trade secrets, the other type of information covered by Nebraska Revised Statute §84-712.05(3) is “other proprietary or commercial information.” Sandata’s Confidential Information falls within this category. This information is proprietary and confidential and not known to the general public. Contained within it is information about our ownership structure, financial information about our banking reference, and detailed



information about the outcomes of our various state contracts, including contracts that were not renewed or that had performance penalties.

Two Attorney General Opinion letters set out that “nondisclosure must be based upon a showing that a specified competitor[s] may gain a demonstrated advantage by disclosure rather than upon an assertion that some unknown business competitor may gain some unspecified advantage.” (see Attorney General Opinion No. 92068, April 27, 1992 and Opinion No. 97033, June 4, 1997). On each state electronic visit verification request for proposal Sandata encounters a similar group of competitors, such as Therap, Conduent/Tellus, First Data, HHAX, FEI, and Healthstar (collectively, “Sandata Competitors”). Disclosure of the Documents, or any portion thereof, would give a competitive advantage to Sandata’s Competitors in that we vigorously compete with one another in order to win a state RFP and disclosure of nonpublic commercial information would give a decided advantage in the RFP bid process. Disclosure of the Documents would not only cause Sandata to lose its trade secret protection over the Financials, Architectural Diagram and Product Roadmap but would, moreover, cause substantial competitive harm to Sandata as the Sandata Competitors would be in possession of significant material nonpublic information about Sandata and use of this confidential proprietary/commercial information would place us at a competitive disadvantage for future State RFPs and, generally, in the home healthcare industry, which is the industry that Sandata’s business model is based on. Stated differently, under Nebraska Revised Statute §84-712.05(3), if the Documents were released, such disclosure would clearly “give [an] advantage to business competitors” at Sandata’s expense.

Unlike other similar state statutes, Nebraska’s nondisclosure statute adds an additional prong that would apply both to trade secrets and other proprietary or commercial information. Not only does Sandata have to demonstrate that disclosure of the information “would give advantage to business competitors” but that is also would “serve no public purpose.” In Aksamit Resource Mgmt. v. Nebraska Pub. Power Dist., 299 Neb. 114 (February 23, 2018), the Supreme Court states that a “public purpose has for its objective the promotion of the public health, safety, morals, security, prosperity, contentment, and the general welfare of all the inhabitants.” That case turned on the fact that the NPPD was not a private company but a “public corporation organized for the purpose of generating...electrical energy...” (see Aksamit, pages 125 and 126). As a “public corporation” the Supreme Court found that “if a district wishes to acquire an existing system for electric light and power...a copy of the proposed contract must be open to public inspection for a period of time before being executed.”

In the case of private companies, Aksamit is inapposite and does not apply. The advantage that the State of Nebraska gains and one of the purposes of requiring competitive bids, is to have private companies compete against one another in order to win the state’s business. In order to ensure competitive processes going forward, it is in the state’s best interests to keep trade secrets and other proprietary or commercial information confidential in order to encourage companies to provide a best and final offer. Further, the state has a vested interest in receiving all of the relevant information in order to properly evaluate such bids. Disclosing proprietary or commercial information could result in a chill in subsequent RFP disclosures that would not be beneficial for the state. Most, if not all companies, have restrictive processes in place in order to keep critical business information confidential. Therefore, in this case, it would harm the public purpose to disclose competitive confidential information.



For the reasons set forth herein, we respectfully request that the Documents not be publicly disclosed and be given confidential and proprietary treatment. Thank you for your time in this matter. If you have any questions, please do not hesitate to contact me at (516) 484-4400, extension 1299 or KFaltischek@sandata.com.

Sincerely,

A handwritten signature in black ink, appearing to read 'KFaltischek', written over a horizontal line.

Kenneth D. Faltischek
COO

SANDATA ELECTRONIC VISIT VERIFICATION IMPLEMENTATION OVERVIEW GUIDE

{ Enter Client Name }

{ Enter State Department }

Electronic Visit Verification (EVV)

{ Enter Date }

Version Control

Version Number	Change Date	Changes Complete
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Abbreviations

Table 1 – Abbreviations

Abbreviation	Meaning
ANI	Automatic Number Identification
BYOD	Bring Your Own Device
CDS	Consumer Directed Services
EVV	Electronic Visit Verification
FI	Fiscal Intermediary
FVVD	Fixed Visit Verification Device™
GPS	Global Positioning System
IVR	Interactive Voice Response – the underlying system used for telephony
MVV	Mobile Visit Verification
PA	Prior Authorization
PIN	Personal Identity Number
POC	Plan of Care
SMC	Sandata Mobile Connect®
SSN	Social Security Number
TVV	Telephonic Visit Verification

Terminologies

Table 2 – Terminologies

Sandata Terminology	Alternate Terminology
Agency	Agency Provider, Provider Account, Account, Billing Agency
Authorization	Service Plan, Prior Authorization
Client	Recipient, Member, Individual, Patient, Employer
Employee	Caregiver, Agency Office Staff, Direct Care Worker, Worker
Employer	Consumer Directed Member or Designee Servicing as the Employer
Fiscal Intermediary	Fiscal Agency
Payer	Customer Agency, MCO

Section Header Key

Table 3 – Section Header Key

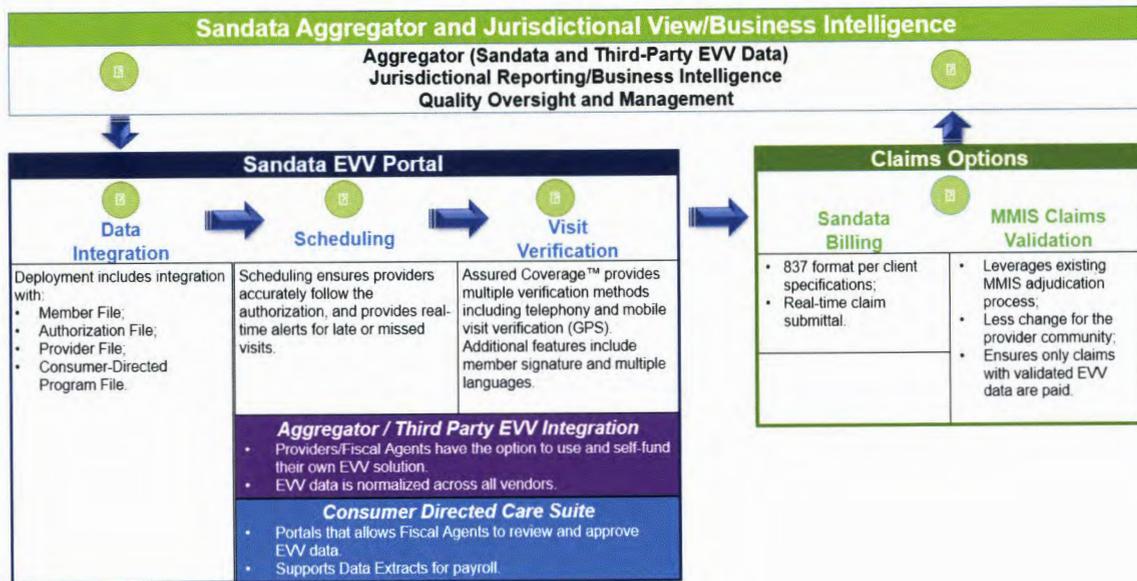
Section Header Icon	Meaning
 IN SCOPE	This icon denotes that the area of this document is in-scope and included in this program.
 OUT OF SCOPE	This icon denotes that a section of system functionality is not in scope for this program.
 IN PROGRAM	This icon denotes that the section of system functionality is already present in the EVV program (most likely from a prior phase of a multi-phase implementation).
 In Scope: Omit	This icon denotes that the section of system functionality was jointly omitted from the program.

Purpose

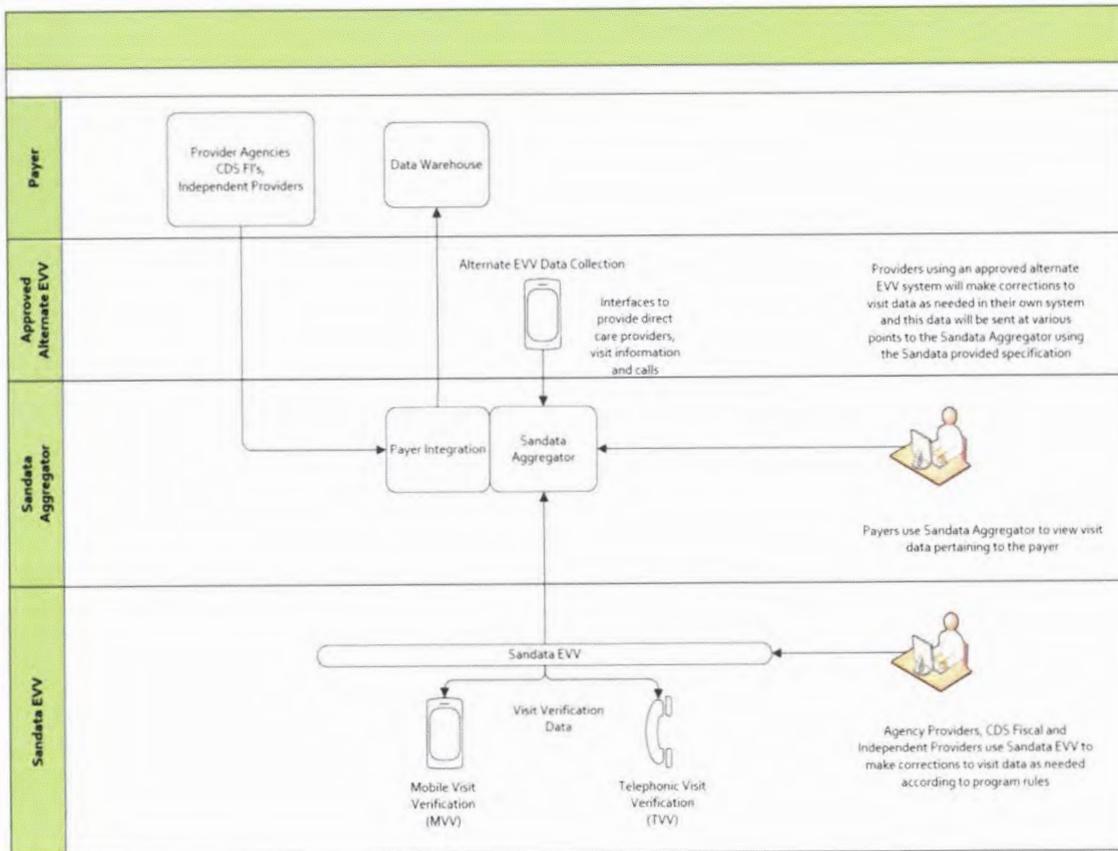
The Sandata Implementation Overview Guide documents the product areas and discussion points that will be used for the Customer business rules session.

Each section is organized with a short description of the product element(s) followed by a description of any technical configuration decisions. Each Section headers aligns to tabs within the Customer specific business rules workbook (excel) utilized to capture program specific configuration and application setup for the Sandata EVV system. The Sandata Implementation team along with Sandata solutions SME(s) will guide and support Customer teams to compile and document program specific data.

System Overview



System Functionality



Program Functionality Overview

Functionality to be delivered for this program includes the following Sandata products:

Table 4 – Functionality Overview EVV

Sandata EVV	
Available to Provider Agencies choosing to use Sandata’s EVV	
Client Intake <ul style="list-style-type: none"> View Clients as received from the Payer’s Member Feed Data Entry of additional addresses by Providers (optional) Data Entry of additional phone numbers by Providers (optional) 	
Provider Staff / Employee Intake <ul style="list-style-type: none"> Employee Data Entry 	
Authorization Intake <ul style="list-style-type: none"> View authorizations as received from authorization feed 	
Scheduling <ul style="list-style-type: none"> Schedule visits based on authorized services 	
Visit Maintenance <ul style="list-style-type: none"> View visit information Resolve visit exceptions 	
Plan of Care <ul style="list-style-type: none"> View and capture plan of care data 	
Claims Validation Web Service <ul style="list-style-type: none"> Ability for Claims Adjudication Systems to query the Sandata Database for details on specific clients and their EVV activity. 	
Billing <ul style="list-style-type: none"> Generates claims (837 file) for EVV services Validates claims for EVV services prior to submission 	
Operational Reporting (Provider) <ul style="list-style-type: none"> Standard EVV Provider Reporting Suite 	

Table 5 – Functionality Overview: Visit Capture

Sandata Visit Capture Technologies	
<p>Sandata Mobile Connect™</p> <ul style="list-style-type: none"> • Collect data at the Point of Service via a mobile app supporting both Apple and Android devices • ‘BYOD’ model using employee’s personal device and Sandata’s Mobile application • Available in multiple languages 	
<p>Telephonic Visit Capture (TVV)</p> <ul style="list-style-type: none"> • Alternative path to capture visit data • 24 x 7 telephone line to capture EVV visit information • Available in multiple languages 	
<p>Fixed Visit Verification Device (FVVD)</p> <ul style="list-style-type: none"> • Secure Sandata provided mobile device to support the collection of data 	

Table 1 - Functionality Overview: Aggregator

Sandata Aggregator	
<p>Central Data Store for Sandata EVV and 3rd Party EVV Data Collection Systems</p>	
<p>Visit Review (For 3rd Party EVV Providers and Payers)</p> <ul style="list-style-type: none"> • View visit information with exceptions based on program defined EVV policies and business rules 	
<p>Jurisdictional Reporting</p> <ul style="list-style-type: none"> • Review activity of individual providers, and compare that information across providers in the EVV program 	
<p>Claims Validation Web Service</p> <ul style="list-style-type: none"> • Ability for Claims Adjudication systems to query the Sandata Aggregator for details on specific clients and their EVV activity. 	

Table 2 – Functionality Overview: Consumer Directed Portals

Sandata Consumer Directed Portals	
Fiscal Portal <ul style="list-style-type: none"> • Available to CDS Fiscal Intermediaries • Oversight Reporting and visit maintenance for CDS program participation • Available completed visits export 	
Member / Designee Portal <ul style="list-style-type: none"> • Review and update visits • Visit Maintenance • Approve visits for payment • Generate Timesheets (optional) 	
Employer / Caregiver Portal <ul style="list-style-type: none"> • Review and update visits • Visit Maintenance • Review Timesheets (optional) 	

The following interfaces using standard web service APIs have been defined in support of the system requirements:

Table 3 – Functionality Overview: Payer Interfaces to Sandata

Customer System to Sandata	
Provider File <ul style="list-style-type: none"> • All payer Agency Providers, Non-Agency and Fiscal Intermediaries participating in the EVV program 	
Client File <ul style="list-style-type: none"> • All clients receiving services within the EVV program 	
Authorization File <ul style="list-style-type: none"> • Prior authorization for clients • Associates clients with providers • Associates clients with services • Allocates a specific number of units for a given service to a specific client 	

Table 4 – Functionality Overview: Other Payer Interfaces

Sandata to Existing Customer Systems	
Data Warehouse Feed <ul style="list-style-type: none"> Includes all data provided by the various Sandata and Alt EVV data collection systems 	
Claims Validation Web Service <ul style="list-style-type: none"> Ability for Claims Adjudication Systems to query the Sandata Database for visit details to support pre and post payment edits. 	

Table 5 – Functionality Overview: 3rd Party EVV Interfaces

3rd Party EVV Vendors to Sandata Aggregator	
Provider Staff (Caregivers, Agency office staff or director care worker)	
Client Information to Match to Provide File	
EVV Schedules, Visits & Calls	

Exception reports will be available to monitor various components of the system via requests to the Sandata Account Management team as well as control and error files for interfaces.

1. Services

Services are the activities that are billed by provider agencies providing care. Services are defined by their procedure code which is generally the HCPCS code, description, modifiers and the unit of measure. The Service description and procedure code are often a one-to-one relationship.

If there are variations, the modifiers should be noted. Information on modifiers and their use are required for billing. Each service (HCPCS Code) should be listed only once. The unit of measure is how the billing units are calculated. General values are 15 Minutes, Hourly and Per Visit.

Services will be pivotal in terms of configuring the program and in determining presentation to the worker for unscheduled visits.

2. EVV Providers

EVV Providers are determined by their unique billing parameters, often Medicaid ID or Tax ID. The program may also include Agency Providers, Fiscal Intermediaries or Non-Agency Providers. Some programs have the concept of a non-agency provider. These are individuals who are known to the Payer, available within the provider file, do their own scheduling, as well as provide services and bill.

A provider will become known to Sandata via the provider file once they are eligible to provide services for one or more of the EVV eligible programs.

Table 6 - Provider Account Status Updates

Customer Activities for EVV Providers	Descriptions
Creation/Onboarding	<p>A provider will become known to Sandata via the provider file once they are eligible to provide services for one or more of the EVV eligible programs.</p> <p>Each identified provider will be issued their own EVV system account, and a secure set of credentials.</p>
Updates	<p>Updates to provider information are controlled via the provider file delivery from the customer to Sandata.</p>

Customer Activities for EVV Providers	Descriptions
Suspension	<p>Suspension restricts a provider’s ability to log new visit activity from the field in the EVV system. It does not prevent the provider from updating prior EVV visits, or submitting bills based on prior visits.</p> <p>Suspension of a provider is handled by the customer pursuant to their policies and regulations, and delivered to the Sandata account management team for completion.</p>
Termination	<p>Terminated providers will no longer have any access to EVV system. They will not be able to add new visits, modify previous visit information, manage employees, or view reports in the EVV system.</p> <p>Termination of a provider is handled by the customer pursuant to their policies and regulations, and delivered to the Sandata account management team for completion.</p>

Additional Configuration Questions (answered during the Business Rules discussion)

- How many Agency providers are expected?
- How many Fiscal Intermediaries are expected?
- Does the program have a concept of Non-Agency providers?
- How are agency providers uniquely identified by the payer?
- How are multi-site agency providers associated with one another?

3. Authorizations

Sandata will be receiving authorization data via the authorization feed. In addition to the specific service(s) to be provided, the authorization provides a mapping of the client to the provider. The authorization interface specification is provided in a separate document received prior to technical overview sessions. Authorizations will be discussed in the technical design sessions to fully understand the authorization feed.

Additional Configuration Questions (answered during the Business Rules discussion)

- Are authorizations available for all services associated with the EVV program?
- Are all authorizations stored in a single central system?
- Do all authorizations associate clients with specific providers?
- Do all authorizations associate clients with specific services?
- What types of limits are applied to authorizations (daily, weekly, monthly, yearly etc.)?
- How are changes to authorizations handled?
- Do authorizations have end dates that are enforced? How are authorizations renewed?
- Who manages your authorizations?

4. Clients

An EVV program client is a person/member enrolled in Medicaid, who is receiving services covered by the EVV program. The client receives care from provider / caregiver, and may receive care from multiple providers and caregivers. Consumer directed program clients may be included in this definition.

For the provider-based Sandata EVV program, the client does not interact with the system except to validate that the caregiver performed the correct services for the correct amount of time and provide a signature via the telephony or mobile solution.

Please note that all activities performed by clients in the provider-based Sandata EVV program are optional, and may be disabled via configuration. Clients in the provider-based Sandata EVV program will never need to have access to or credentials for the EVV or SMC applications.

Table 7 - Client Activity Matrix

Activities Performed by Clients <i>(optional based on configuration)</i>	Via Sandata Mobile Connect	Via Telephony	Via Fixed Visit Verification Device
Select their language of choice from the list of supported languages for the EVV program.	Yes	n/a	n/a
Review the times for start and end of service and agree or disagree with those times.	Yes	Yes	n/a
Review the service selected as part of the visit and agree or disagree with the service selected.	Yes	Yes	n/a
Provide a signature either by signing on the application using their finger or providing a voice recording.	Yes	Yes (via voice recording)	n/a

Additional Configuration Questions (answered during the Business Rules discussion)

- How are authorizations uniquely identified by the payer?
- Do all clients have prior authorizations?
- If clients do not have prior authorizations, how is the provider made aware of the authorized services?
- Can a client receive the same service within different programs? At the same time?
- Do your system have identified designees for clients?

5. Employees

An employee is a person who has been employed (or contracted) by an EVV provider who will have interaction with the EVV system either as an administrative user, or as a caregiver, or a combination of both. Employee may be referenced as provider, caregiver, or Direct Care Worker.

The caregiver will utilize the Sandata Mobile Connect or Telephonic Visit Verification to capture the details of their daily visit activity. This data will be stored in the Sandata EVV system, where the administrative staff will perform visit maintenance and reporting on the caregivers' activities.

Table 8 - Employee Usage Matrix

EVV Program Activity	Administrative Employees	Caregiver Employees (Non-Consumer Directed)	Non-Agency Provider
Use Sandata's EVV Portal	Yes		Yes
Enter employee staff into the EVV system	Yes		
Review visit exceptions in Sandata EVV	Yes		Yes
Resolve / Acknowledge visit exceptions	Yes		Yes
Run reports on EVV activity	Yes		Yes
Perform visit scheduling (optional)	Yes		Yes
Perform / review billing submissions (optional)	Yes		Yes

EVV Program Activity	Administrative Employees	Caregiver Employees (Non-Consumer Directed)	Non-Agency Provider
Use Sandata Visit Capture Tools		Yes	Yes
Perform visits for clients via SMC		Yes	Yes
Perform visits for clients via TVV		Yes	Yes
Perform visits for clients via FVV		Yes	Yes
Reset Password – Self	Yes	Yes	Yes
Reset Password – Other Accounts	Yes		

Additional Configuration Questions (answered during the Business Rules discussion)

- Does the state have a method for unique identifying caregivers (registry)?
- For caregivers, is collecting the full SSN an issue?

6. Scheduling

The Sandata EVV Scheduling Module allows designated employees to schedule client visits before the visit occurs. If authorizations are available, the authorized services and amounts are checked during the scheduling process. Scheduling provides the caregiver with guidance and direction on their visits, and helps ensure the correct services are delivered to the appropriate client(s).

Additional Configuration Questions (answered during the Business Rules discussion)

- For each program and service, are schedules required or optional?
- If an authorization doesn't exist, should the user still be able to schedule?

7. Data Intake

Sandata will require the following types of data in order to set up the program. Each of the required data intake types will be described in detail and presented in the technical design session. The data intake types are as follows: Client Data, Authorization Data, and Provider Data.

For each data intake source, Sandata and the customer will define the following:

1. The source of data that will be sent to Sandata.
2. How providers are identified in the data files.
3. How clients are identified for the data files.
4. How authorized services are identified for data files.
5. Data file transmission process (i.e. web services, SFTP along with who will host, etc.).
6. Special data considerations, i.e. data from more than one source, changes to data source system to accommodate data requirements, use of special data fields and why.
7. The process to transition from the intermediary process to the new system (i.e. how to transition authorization amounts mid-period) will need to be considered for the full program go-live.

8. Alerts

Alerts are a mechanism in the Sandata EVV system that allows providers and payers to be made aware when a caregiver is late to begin a scheduled visit in the EVV system. Scheduling is required for this feature to be available and schedules must exist for the feature to be of value.

No-Show Alerts can be sent to both providers and payers if a Direct Care Worker fails to call in to the system in a timely manner for that schedule. Up to 5 alerts per schedule can be sent at the agreed upon intervals past the proposed time as long as a call matching the schedule has not been received by Sandata EVV or the provider does not change or cancel the schedule.

For payers and providers using an alternate EVV system, visit information must be received in real time as visits occur to support this feature.

To support payer-level alerting, the payer care coordinator or case manager must be identified in the client file for each client along with their contact information for receiving the alert.

Sandata EVV will be configured to send No-Show alerts via e-mail as follows:

Table 9: Alert Recommendations

Alert	Process	Minutes past the scheduled start time
Level 1	Sent to the agency staff designated as Coordinator of the client. During user setup, information regarding the Coordinator's email and phone number for texting must be provided.	5 Minutes (recommended)
Level 2	Level 2/3 alerts will be sent to the staff designated as the Coordinator of the client as well as to the staff designated as the Coordinator's Manager (based on staff set up). During user setup, information regarding the Coordinator's email and phone number for texting must be provided.	10 Minutes (recommended)
Level 3	The Level 3 alert can also be configured to be sent to the Care Coordinator or Case Manager if the Coordinator is defined in the Recipient import.	50 Minutes (not recommended)
Level 4	Level 4 Alert	Not recommended
Level 5	Level 5 Alert	Not recommended

Sandata provides a No-Show report which can be run by designated system users including provider and payer designated administrative staff to see all no shows in progress. Sandata also provides a dashboard for providers. A tile is used to show all current No-Shows in process with the ability to quickly access Visit Maintenance to review these visits.

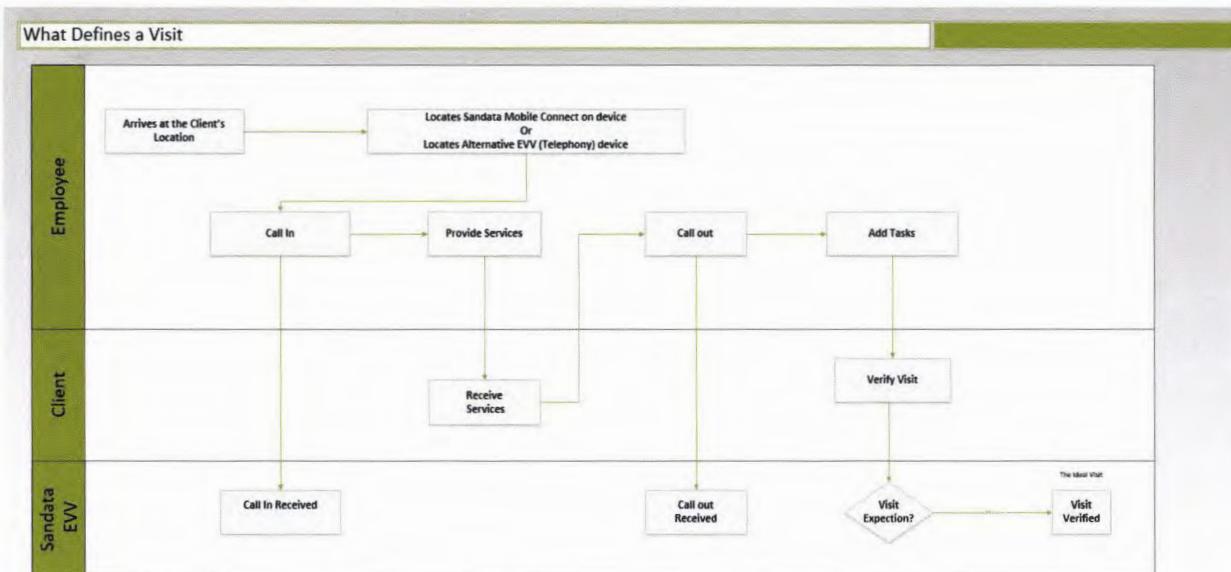
Additional Configuration Questions (answered during the Business Rules discussion)

- Are Agency No-Show alerts desired for the program? If yes, agencies will be required to enter additional information about their administrative staff.
- Are Payer No-Show alerts desired for the program? If yes, we will need to identify recipients for these alerts on the payer feed. May want to consider how many clients each payer case manager handles.
- How many clients are assigned to each case manager?
- For agencies, what percentage of their visits are expected to be scheduled?
- For Payers and Agencies using an Alternate EVV system, can visit information be provided to the Aggregator in near real time.

9. Visit Capture

An EVV visit consists of a call in and a call out¹ by an employee performing a defined service for a client. A visit could be for a single client or for a group of clients. It is the responsibility of the caregiver to record the call in and call out for the visit, using the supported visit capture methods included in the customer's EVV program.

Figure 1 - What Defines a Visit



9.1 Group Visits

A group visit is defined as one or more caregivers providing services to two or more clients with overlapping timeframes. Services provided to each client can vary. Sandata's enhanced group visit solution ensures that all 'Cures' requirements will be satisfied in a group setting while ensuring that accurate time in and time out and service are captured for each client/caregiver combination. Sandata's EVV system is designed to prevent a single caregiver from providing overlapping services outside of the context of a group visit.

Each group visit will be connected (linked) via a system generated 6-digit group visit code. The code will be unique for each visit start date. Each combination of, Group Visit Code, Direct Care Worker, Client, Service, Visit Clock In, and Visit Clock Out will be recorded as a unique visit with Sandata EVV system.

¹ For the purposes of this document, the action taken by the employee to start or end a visit will be referred to as a call in or a call out.

Group Visit functionality is limited to single agency provider or a group of non-agency providers (depending on configuration). Direct Care Workers from different agency providers will need to create a separate and unique group visit record for use within that agency.

Direct Care Workers providing group visit functionality will have the following additional functionality via telephony and mobile.

1. When starting a visit via telephony or mobile, the user will have the ability to either start a new group visit, join a group visit in process or continue a group visit in process.
2. Caregivers will be able to a clock in for a new client or complete visits for current clients within the group visit.
3. Each group visit for a given caregiver will have the ability to add up to 1 'Unknown Client' to the visit².
4. If the visit ended and was not properly completed, the option will be available to Abandon the group visit. Via the mobile application, the user will also have the ability to abandon a visit for all clients which will result in a missing out call for all clients which will need to be resolved via the back end.
5. Workflow for starting a visit and ending a visit for each client will be unchanged once the group visit is started.

Additional Configuration Questions (answered during the Business Rules discussion)

- Are group visits allowed for every program or only specific programs?
 - Can a single provider provide service to more than client, at the same time?
 - Can more than 1 provider provide services to a single client, at the same time?
- How are group visits billed today?
 - Individual 837s?
 - Group bill rate?
- Are group visits billed under a unique service code or are they consistent with program services?

10. Tasks

Tasks are a set of activities or groups of activities that can be used by caregivers to record the details or Activities of Daily Living ("ADL's") that they perform during a visit and are often based on a formalized Plan of Care.

² Each group visit is limited to a single 'Unknown Client' to allow the system to accurately track information against that client. If more than one unknown is added, uniquely identifying the client is not possible. For telephony, a standard code will be used to identify the unknown client when adding or removing that client from the visit.³ (Numeric, 2 or 3 digits)

It is important to note that tasks and services are different elements in the EVV system; services are authorized and billed for by the providers, while tasks are an optional additional level of detail into what specific activities were performed by the caregiver during a visit.

While adding tasks to the EVV visit capture is an option available in the Sandata EVV system, it is important to note that this may add additional time / overhead to the caregivers visit to the client.

Table 10 - Task Sample

Task ID ³	Task Description (sample)
110	Meal preparation serve
120	Housekeeping
130	Assist Dressing Changing
140	Skin care
150	Shower
160	Laundry as needed
170	Medications: self-administration
180	Assist with Toileting
190	Mouth care
200	Shopping
210	Foot care
220	Medications: Assist/Remind
230	Incontinence Care
240	Walking
250	Shampoo
260	Make bed

Please note that only services are billable in Sandata EVV. Note that for some payers, tasks are required as part of the service bill.

Additional Configuration Questions (answered during the Business Rules discussion)

- Are tasks required for providers to bill today?
- Can a single unified set of tasks for all programs and services be defined?
- If a plan of care is in scope and is to be provided, can tasks be delivered that are not on the plan of care?

³ (Numeric, 2 or 3 digits)

11. Visit Maintenance

Visit Maintenance is accessed through Sandata EVV. Visits can be reviewed and edited within the EVV portal. A visit is defined as an event with at least one of the following: a schedule, an in call or an out call.

Although it is not recommended, the application has the ability to capture a manual call and/or visit. This is not considered an appropriate substitute for an electronic call made via TVV, SMC or a FVVD; however, there may be cases when a manual entry is necessary. If both the in and out call are missing, a manual visit could be added in Sandata EVV. These manual entries will not include location information (GPS or originating phone number). All changes will be made within the agency provider account allowing for the identification of the billing provider. The recorded information will be limited to the identification of the employee, identification of the client, service provided as well as a start and end date, and times. The system will also record who added the manual call, when it was added, and will require selection of a reason code to explain why the manual call was needed. Visits that are created manually through the Sandata EVV portal will be processed using the same criteria as visits originating from SMC or TVV- that is, they will be evaluated against the same list of configured business rules and exceptions (see below).

11.1 Exceptions

Visit Maintenance Exceptions are created when the EVV system identifies that a defined exception case is true for a specified visit. When this occurs, an agency or fiscal intermediary administrative user, with the appropriate Visit Maintenance update security rights, will be able to correct visit information and document missing or incorrect data for the visit or acknowledge that the exception occurred and was manually reviewed using Visit Maintenance. More than one exception can apply to a single visit and fixing one issue within Visit Maintenance may fix multiple exceptions by association.

Each exception can be configured on/off and if enabled, whether a correction and/or acknowledgement is required. Sample information listed in the below tables.

Table 16 – Exception Levels

Exception Level	Description
Fix	Must be fixed for the visit to be considered complete
Ack	Visit must be acknowledged by a system user to be considered complete
Disabled	The exception will not be shown in Visit Maintenance or require attention for a visit to be complete

Table 17 – Exceptions

Exception Name	Description
Actual Hours more than Scheduled hours	Exception when the total visit time is longer than the schedule visit time.
Client Signature Exception	Exception when a visit did not capture the signature from the recipient of care during the visit.
Early In	Exception when a schedule visit starts prior to the scheduled start time.
Early Out Call	Exceptions when a visit call out time is prior to the scheduled ending time.
GPS Distance Exception	(Mobile only) Exception that occurs when the GPS coordinates recorded for a visit are outside the parameterized tolerance (in feet) from a known address for the member / recipient in the EVV system.
Invalid Service	Exception when the service selected for a visit is not valid for the program / recipient of care.
Late In Call	Exception when a visit call in time is after the scheduled visit start time.
Late Out Call	Exceptions when a scheduled visit end after the scheduled end time for the visit.
Long Visit	Exceptions when total visit time is longer than schedule visit time.
Missing Service	Exception when the service provided during a visit is not recorded or present in the system.
No Show	Exception when a direct care worker failed to arrive for a scheduled visit.
Service Verification Exception	Exception when a visit did not capture confirmation from the recipient of care verifying the service provided during the visit was accurate.
Short Visit	Exceptions when total visit time is shorter than the scheduled visit time.
Unknown Client	Exception for a visit that was performed for a recipient of care that is not yet entered or not found in the EVV system.

Exception Name	Description
Unknown Employee	(Telephony only) Exception for a visit that was performed by a caregiver who was not yet entered or not found in the EVV system (At the time the visit was recorded).
Unmatched Client ID / Phone	(Telephony only) Exception when the visit was recorded from a phone number that was not matched to a recipient of care in the EVV system.
Unscheduled Visit	Exception when a visit occurs without a schedule.
Visit Verification Exception	Exception when a visit did not capture confirmation from the recipient of care verifying the duration of the visit was accurate.
Visits Without In-Calls	Exception thrown when a visit is recorded without an "in" call that began the visit.
Visits Without Out Calls	Exception thrown when a visit is recorded without an "out" call that completed the visit.

11.2 Reason Codes

Reason codes help the provider describe why a visit required modification(s). When a user makes changes to a visit to resolve exceptions or acknowledges a specific exception, they are required to select a reason code. As part of configuration; the user can be required to enter free text to better define why the change was made. Sample reason codes are listed in the below table.

Table 18 - Reason Codes Sample

Reason Code	Reason Code Description	Note Required?
10	Caregiver Error	No
20	Client Unavailable	No
30	Mobile Device Issue	No
40	Telephony Issue	No
50	Client Refused Verification	Yes
60	Service Outside the Home	No
99	Other	Yes

12. Billing

The Sandata EVV System's Billing Module allows the providers to generate invoices for payment based on visit data, and have those invoices submitted directly to the payer for processing. By basing the creation of these invoices directly on the visit information captured in combination with verification against the authorization in the EVV system: providers can have confidence that they will receive timely payment for their work, with fewer rejections.

The invoices created by the Sandata EVV System's Billing Module may be viewed prior to submission, and may be modified for resubmission. They may also be linked to authorization data from the customer, to further prevent invoice submission errors for services covered by the EVV program.

Specifics of the format for invoice submission (i.e. CMS 837i / 837p) are handled in a dedicated technical session. However, if the customer has published a formal 837 Companion Guide, supplying that to Sandata early in the implementation process will help ensure this process goes as smoothly as possible.

12.1 Billing General Setup

Setup for the Sandata EVV System's Billing Module is handled as part of a dedicated Technical Design session. This session will cover detailed aspects of the customer's current billing and claims adjudication processes, as well as specific behaviors the customer would like to see the Sandata EVV system support when submitting invoices.

12.2 Billing Rates Setup

The Sandata EVV System Billing Module allows the customer to set specific billing rates for those services covered in the program. These rates are then reflected in the EVV accounts for all providers supplying care to clients on behalf of the customer.

12.3 Billing Questions to be Considered

The following are some commonly asked questions regarding the current claim's adjudication process. Understanding the needs and expectations of the current process will help ensure that the Sandata EVV System Billing Module integrates smoothly and the EVV program does not impose delays in the timely payment to the provider community.

- What defines a billing Provider?
- What defines a client (recipient of care)?
- What are the documented policies / procedures for providers to resubmit denied claims?
- What are the rules for rolling up visits? Same date of service or a range of dates?
 - Same service?

- Same Modifier(s)?
- Other?
- All roll-ups in use or does each visit correspond to a detail line on the invoice?
- When visits are combined into a single detail line, how are the individual units added together – assuming units are added based on individual visit post-rounding units
- Is the Provider required to enter any data for optional segments to be included on an 837 for a successful claims' submission? (i.e. referring physician)
- Are diagnosis codes required to submit a claim?
 - Although 5010 specifications require a diagnosis code to be present, many claims adjudication systems do not validate on this information.
- Are there any special rules for particular recipients or providers?
- Are there rules for billing of multiple recipients in the same household?
 - How does the customer handle group visit submissions?
- Do you use both 837I and 837P? If yes, when is each used.
- Is a published Claims (837) Companion Guide available?
- Is there documentation for electronic submissions of claims into your system.

12.4 Third Party Liability (TPL)

Third Party Liability, or multi-payer claims processing allows the provider to submit a claim to multiple payer entities in sequence, and track the portion of the claim each one pays. For most EVV programs, TPL is used to ensure that Medicaid is considered the payer of last resort, and that all other options for claims payment (private pay insurance, Medicare, etc.) are attempted. All partial payments recorded before invoices are submitted to the customers.

The details of the customers use of TPL, and the behaviors supported are addressed in the technical session devoted to the Sandata EVV System's Billing Module.

12.5 Rounding Rules

Rounding Rules are utilized by the system to determine what visit duration is to be used by default for billing and payroll purposes when EVV calls are received by the system. Because electronically collected bill and pay hours are automatically rounded, if a visit is approved, they can easily be imported into a billing or payroll system.

- The Rounding Rule defines how bill and/or pay time is automatically calculated based on the actual time calculation.
 - Note: Rounding rules are applied to actual call times ONLY
- If the user modifies times in the system, the visit will reflect the time entered

It is assumed that a user updating a visit will apply bill and pay hours correctly and system override is not appropriate.

In general, there are two types of rounding rules, 1) actual visit time, and 2) quarter hour rounding. Actual time records only the actual time the Direct Care Worker was providing services. Quarter hour rounding uses a formula to round up or down to the nearest quarter hour with 7 minutes as the key indicator. Quarter hour segments that are between 2 and 7 minutes, will be rounded down and visits between 8 and 14 minutes will be rounded up, each to the closest whole quarter hour.

12.6 Unit Calculations

Unit calculations are utilized by the system to determine what visit duration should be used by default for billing purposes, when EVV calls are received by the system. This assists providers who use the EVV system for billing. The unit calculation rules vary for each service provided within the EVV program. Specific rules per service are defined in the EVV Program Workbook, and are discussed and reviewed as part of the business rules process.

- Per Visit
- Per ¼ Hour: Exact rules needed
- Per Hour: Exact rules needed
- Other

13. Security

Sandata EVV system includes role-based security functionality based on program specific needs. The functionality is designed to allow authenticated user access to the features of the system required to complete job duties while securing sensitive data. User roles will be discussed during upcoming sessions.

Table 19 – Security Roles

Role	Abilities
Security Administrator	<p>Each Sandata EVV system will have an assigned Security Administrator that will manage and administer the Sandata EVV System. They also have all Sandata EVV capabilities as noted below:</p> <ul style="list-style-type: none"> • Access to Security Module • Create/Edit all Sandata EVV Users for the Provider • Ability to Create and Edit User Roles • View Clients as received from Client Feed • Add / Update Additional Phone Numbers and Addresses. • Data Entry /Create and Edit Employees • View Authorizations as received from Authorizations Feed • Visit Maintenance (View and Edit visits) • Reporting

	Abilities
Coordinator	<p>The coordinator is a Sandata EVV administrative generalist that supports a variety of Sandata EVV activities, including:</p> <ul style="list-style-type: none"> • View Clients as received from Client Feed • Add / Update Additional Phone Numbers and Addresses. • Data Entry /Create and Edit Employees • View Authorizations as received from Authorizations Feed • Visit Maintenance (View and Edit visits) • Reporting
Assistant Coordinator	<p>The assistant coordinator supports the following:</p> <ul style="list-style-type: none"> • Visit Maintenance (can View visits but cannot Edit) • Reporting

14. Provider Reports

Provider reports are those made available in the Sandata EVV System and Sandata Aggregator to allow providers to view their participation in, and compliance with the customer's EVV program.

Reporting will be available within both Sandata EVV and Sandata Aggregator. Different users will have access to different sets of reports based on configurable user permissions, including each payer. When reports are generated, they can be saved as a PDF, Excel, or as a delimited file (.csv). Reports have a variety of filters based on the report; this includes payer, employee, billing provider (agency/fiscal), and client.

- Daily reports help manage visits or review call information for a SPECIFIC day.
- Date range reports help manage visits or review call information for a range of dates.

The summary and detail visit reports can be used by the customer, EVV provider staff, and fiscal staff to review the current status of a visit. Information is updated in near real time for Sandata EVV users. For Alternate Data Collection system users, the interface will allow for near real time updates.

Since data collected by EVV is more valuable when combined with other data owned by the payer, Sandata provides a daily extract for the customer to utilize within a data warehouse.

15. Payer Reporting

Sandata Aggregator is the single source where a payer can view all visit information regardless of visit source.

The aggregator is the central repository for all data collected regardless of data collection device and/or EVV system. The Sandata Aggregator provides a mechanism for a payer to

maintain oversight into their programs, while allowing providers the flexibility to utilize the EVV system of their choosing.

Only those visits that are identified as belonging to a defined payer (based on the service selected and its mapping to the program and payer) will be available for that payer to view.

Sandata will provide a single payer administrator user login to Sandata Aggregator. Additional users can be created by the payer administrator.

16. Third Party EVV

As a program option, a provider will have the ability to use their own EVV system. As part of using their own system, they will be required to adhere to program rules as defined by the payer.

The payer will need to implement an approval process or standards for the alternate data collection systems to ensure that the systems meet program standards.

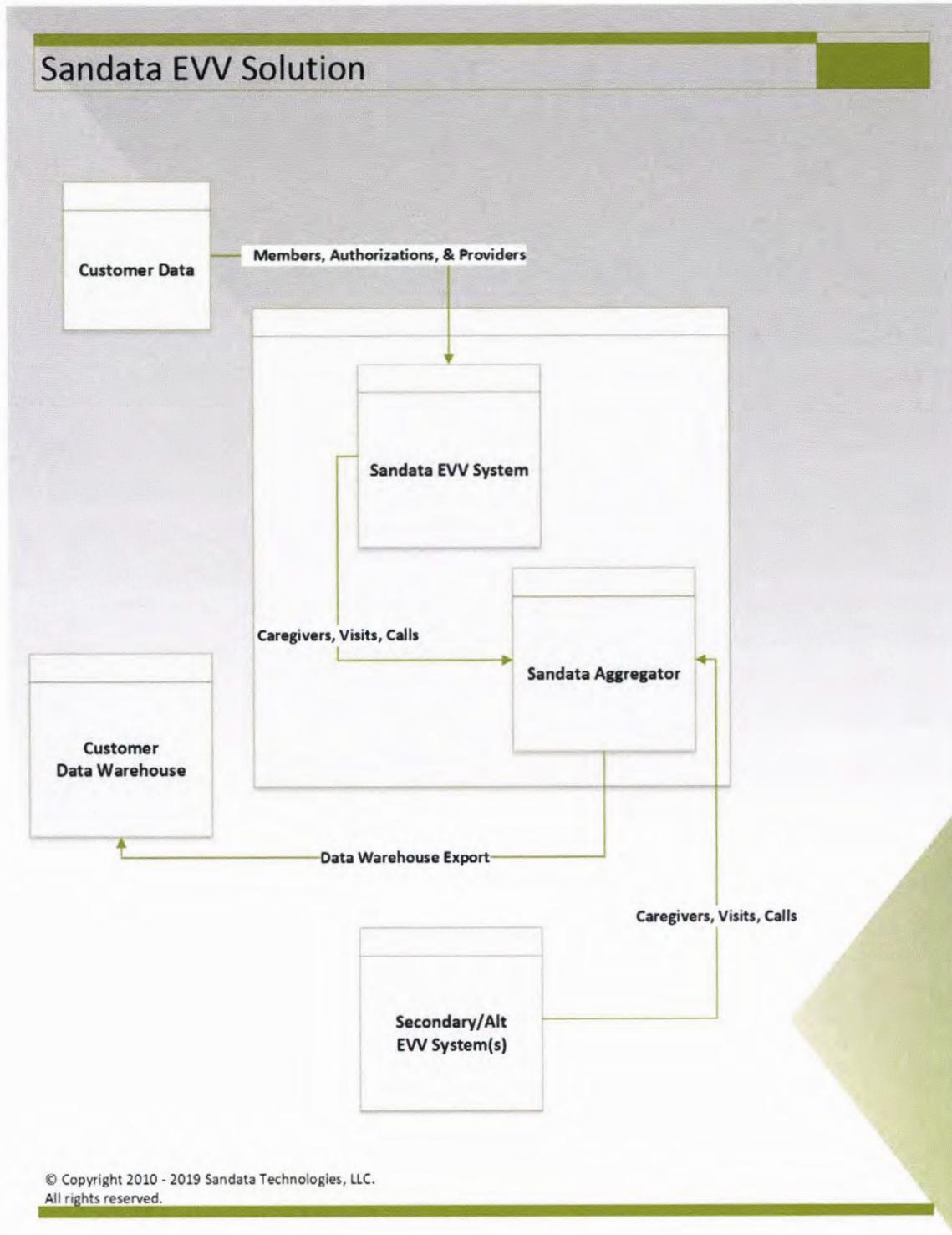
Sandata's standard specifications will be reviewed in the technical design session. An addendum will be created specific to this program to define specific field requirements and use.

Additional Configuration Questions (answered during the Business Rules discussion)

- What will be the frequency for Alt EVV Providers to send data?
 - If not in near real time, alerting via Sandata's functionality will not be possible, no show reports will not be up-to-date for the current day and current day visibility for Alternate EVV providers will not be available.
 - If not in near real time, claims validation will not return a positive response for same day billing.
- Will Alt EVV providers be asked to send visits in all status' or only visits they consider to be complete for billing?

17. Interfaces

Figure 2 – Interfaces



All interfaces in this functional specification are for discussion purposes only and are subject to change. Final specification documentation will be reviewed and finalized during the interface technical design session. Technical specifications will be provided as part of the business rules sessions to ensure alignment between program needs and scope. A description of each file will be provided during technical design sessions.

Interface Documents

Table 20 - Reference Documents⁴

Document	Description
Incoming Provider Specification	Technical specification detailing required data elements for the inbound provider data.
Incoming Client Specification	Technical specification detailing required data elements for the inbound client (members) data.
Incoming Authorization Specification	Technical specification detailing required data elements for the inbound authorization data.
Data Warehouse Export	Technical specification detailing required data files that comprise the outbound data warehouse extract.
Alternate EVV System Specification	Technical specification detailing required data elements for the inbound alternate EVV data.
Claims Validation	Technical specification outlining the claims validation interface (web service).
Incoming Employees and XRef for Fiscal Intermediaries	Technical specification detailing required data element required to support alternate data load process for employee data.
Standard Payroll Export	Technical specification detailing the data elements including in outbound payroll export for provider agencies.

⁴ Final version numbers for each document will be determined during the technical design phase.

Appendix A: EVV Scenarios

Below are a series of common EVV program scenarios, with explanations on how a provider / caregiver would handle that situation - using either the Sandata Mobile Connect app, or using a telephonic system to capture the core EVV visit information.

Scenario		Sandata Mobile Connect	Sandata Telephony
A.1	Multiple employees record visits to a client on a given day	Each employee will login to the SMC application and select the client. There are no restrictions on the number of visits that can be started for a client based on the identity of the employee or within a single day.	There are no system limitations that would impact the ability of employees to make calls when providing services.
A.2	Employee to record visits to multiple clients on a given day. <i>Note: multiple visits do not overlap</i>	Each employee will login to the SMC application and select the client. Once services are concluded for a visit in process, another visit can start immediately. There are no restrictions on the number of visits that can be provided by a single employee to a single client in a given day.	There are no system limitations that would impact the ability of employees to make calls when providing services.
A.3	Handle multiple clients residing at a single address.	There are no restrictions on starting visits based on the client's location.	It is recommended that the employee enter the client identifier (Client ID) on TVV to ensure that the call is properly matched to the client.
A.4	Services are provided to a group of clients at a single group visit. Note that Sandata considers a group visit as a visit where 1 employee is providing services to more than one client at the same time. If there is more than 1 employee present, each would be considered to be independent for purposes of visit capture.	A unique 6-digit group visit code is created for the initial login and the code is used to link the group visit together. Each Direct Care Worker will need to enter the group visit code prior to starting the visit with the client.	For TVV, the employee will make a call in to start the group visit. On the call out, they will enter all clients who are part of the group visit. For MVV, the unique 6-digit group visit code will be used to group the visits together.

	Scenario	Sandata Mobile Connect	Sandata Telephony
A.5	Solutions for circumstances where a visit starts and/or ends away from the client's place of residence.	Visit location is captured via GPS latitude and longitude during both the in and out calls. The employee will be instructed to take their mobile device with them to allow for electronic capture.	Using TVV, the calling number is always recorded regardless of the phone being used.
A.6	Accommodate circumstances where multiple employees are providing services to a client at the same time.	Each employee will login to the SMC application and select the client. The only restriction is that an employee can only be providing services to one client at a time. A client could be receiving services from multiple employees at the same time as per program rules.	There are no system limitations that would impact the ability of employees to make calls when providing services.
A.7	Account for circumstances where the visit crosses calendar days.	A visit is considered any consecutive period of up to 24 hours.	A visit is considered any consecutive period of up to 24 hours.
A.8	Account for situations where the client and employee reside at the same address.	<p>The system will not limit the capture of visit information based on the employee and client residing at the same address.</p> <p>The employee address, if provided, is used only for reporting purposes and is not compared to the location of service.</p>	<p>The system will not limit the capture of visit information based on the employee and client residing at the same address.</p> <p>The employee address, if provided, is used only for reporting purposes and is not compared to the location of service.</p>

Sandata Technologies® Payer Program User Acceptance Testing Policy

June 2019



Sandata
TECHNOLOGIES

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Approval

The following Sandata contributors have reviewed this Payer UAT Policy and approved its contents.

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Version	Date	Author	Changes
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1. Overview

1.1. Purpose

This Sandata Technologies® Payer Program User Acceptance Testing Policy (this “Payer UAT Policy”) is intended for User Acceptance Testing (“UAT”) for Electronic Visit Verification (“EVV”) program implementations for Payer Program Customers (“Customer(s)"). This policy is intended to be consistent across Sandata’s other EVV programs and will be followed by Sandata program staff unless explicitly stated otherwise.

1.2. EVV Program UAT Purpose

The intended purpose of Sandata’s EVV UAT activities for Customer programs is to allow the EVV program owner, key program stakeholders, or designated representatives to confirm that the application features and configuration settings that have been implemented for the Customer’s EVV program are consistent with the agreed upon scope for the project prior to launch.

This is accomplished using a series of pre-defined User Acceptance test cases that are executed by Customer representatives responsible for the EVV program. These test cases simulate actual scenarios and activities that the EVV system will perform once in production for the Customer.

Sandata EVV UAT may be conducted as part of the implementation process for:

- New Customer EVV system implementations
- Customer program system expansions
- Custom development work for a Customer



2. UAT Terminology

For the purposes of this Payer UAT Policy, the following terms are defined to have the following meanings:

Table 1 - UAT Definitions

Term	Definition
2.1. Customer	The entity that has engaged Sandata to provide EVV services.
2.2. EVV Program	The defined set of EVV systems, services, configurations, and behaviors that have been agreed upon between Sandata and the Customer.
2.3. Customer Representative, Stakeholders	Representatives from the Customer that participate and contribute to the implementation and ongoing performance of the EVV program. These individuals are knowledgeable about the EVV program, and are recommended as UA testers, as they can evaluate the EVV system settings and behaviors.
2.4. User Acceptance Testing	The process to evaluate and confirm that the EVV system and its associated configurations meet the contractual requirements for the program.
2.5. Data Integration Testing	Testing of the interfaces between a Customer or their sub-contract entities and Sandata to exchange data between systems. While data integration testing occurs during new programs, it is not part of Sandata's EVV UAT scope.
2.6. Test Plan	This Payer UAT Policy defines the specific behaviors, timing, and testing scope for the Customer's EVV program. The test plan lays out which test cases will be run, how they will be performed by the Customer, and any specific nuances that vary from this Payer UAT Policy. The test plan is a Customer approved artifact and is assumed to take precedence over this Payer UAT Policy for a specific EVV program.
2.7. Test Case	Documented set of steps and expected results to achieve a verifiable goal within the EVV system. Test cases are executed by UA testers, and produce test results.
2.8. Test Results	The set of step-specific outcomes from a tester executing a Test Case. These include pass/fail/block results for each step, as well as other data associated with performing each step. These may include screenshots, descriptions of results, or observations regarding system behavior.
2.9. Test Script	An automated test case. These are run by Sandata's Quality Assurance ("QA") team via a test automation tool. Test scripts often directly mimic manual test cases, but are run directly by the test automation software, without a tester performing the steps. Test scripts are not performed as part of EVV UAT.
2.10. UAT Issue	An unexpected result found when a test case or test script is run. Issues are captured and investigated by Sandata's UA and technical support teams to identify, classify, and resolve them.
2.11. Issue Type	An attribute of a UAT issue. Type is assigned by the Sandata UAT and technical support team to define how a UAT issue is handled and resolved. Along with Severity, Issue Type helps determine how Sandata will handle or resolve an issue. The specific Issue Types are defined later in this Payer UAT Policy. Examples of Issue Types include 'Enhancement', 'Training Issue', 'Defect'
2.12. Issue Severity	An attribute of a UAT issue. Severity describes the impact of the issue on the use of the EVV system. Along with Issue Type, Severity helps determine how Sandata will handle or resolve an issue. The specific Severity levels are defined later in this Payer UAT Policy. Examples of Issue Severity Levels include 'Critical', 'High', 'Medium', 'Low'



3. UAT Scope

3.1. Definition of UAT Scope

For EVV programs, the Customer has the option of defining the level of UAT that they wish to have for its program. This Payer UAT Policy elaborates the three levels of EVV program UAT that are available to the Customer. The specifics of how each Customer implements its own EVV Program UAT scope will be defined in the program’s UAT Test Plan.

3.1.1 CMS Certification

This Payer UAT policy does not include support for CMS Certification activities. Our testing tool does include the ability to take screenshots throughout test execution but given the incremental requirements to achieve CMS Certification, further discussions are required to add CMS tasks to a project in general.

3.2. Levels of User Acceptance Testing

EVV Program UAT is provided as an option in all payer programs. Sandata offers a spectrum of options to support this option. These include:

1. No EVV program UAT performed
2. Basic EVV UAT
3. Enhanced EVV UAT

The Customer may choose to include UAT in the scope of its program and may choose the level of UAT to include within the scope of its program.

Table 2- UAT Options Summary

	Basic UAT	Enhanced	CDS UAT
Standard UA Test Cases Provided	Sandata defined	Sandata defined	Sandata defined
Customer-created Test Cases	None (Sandata Provided Test Cases Only)	+10 Customer defined cases per week of additional testing <i>(requires review and approval by Sandata UAT team), (reasonable length test cases focusing on a single or one end to end activity)</i>	None (Sandata Provided Test Cases Only)
Customer UA Testers	Up to 5	Up to 10	Up to 5
Provider Community in UAT	No	No	No
Training on Sandata UAT	In-person at Customer site	In-person at Customer site	Remote



	Basic UAT	Enhanced	CDS UAT
UAT Testing Support	First 3 days on-site. Live daily web conference support for testing & analysis period.	First 3 days on-site. Live daily web conference support for remainder of testing & analysis period. Additional on-site support available.	Remote: Live daily web conference support for testing and analysis period.
UAT Testing & Management System	Sandata's UA Testing System and Templates. Screenshots are required to be taken in the tool with each test case executed by the Customer.	Sandata's UA Testing System and Templates. Screenshots are required to be taken in the tool with each test case executed by the Customer.	Sandata's UA Testing System and Templates. Screenshots are required to be taken in the tool with each test case executed by the Customer.
UAT Environment	2 provider accounts 5 caregivers per account 5 members per account 1 Aggregator account (if applicable)	Up to 4 provider accounts Up to 10 caregivers per account Up to 9 members per account Up to 2 Aggregator accounts (if applicable)	The number and types of portals and accounts will vary based on Customer Requirements and contract scope. These numbers will be determined by Sandata EVV CDS Portal (Fiscal) EVV CDS Portal (Caregiver) EVV CDS Portal (Employer/Designee / Surrogate)
Test Data & Setup	Sandata standard UAT data	Sandata standard UAT data or Customer-specific ID's & values	Sandata standard UAT data for CDS
Testing Duration	5 business days	5 business days, plus additional weeks as chosen by Customer	5 business days
Regression/Analysis Duration	5 business days	Included in additional time	5 business days
Customer Data Loading	n/a	No automated data feed loads to UA environment. Can work with Customer to set specific values up in the UAT environment.	n/a
Daily UAT Status Reporting	Included	Included	Included

3.2.1. **Please note:** Any Customer-specific requests for EVV Program UAT activities or scope that are not supported in the Basic or Enhanced options will be handled through the program Change Request process.



3.3. No EVV Program UAT

The Customer may choose not to perform any EVV program UAT as part of its implementation. No UAT activities will be performed by the Customer in a dedicated environment prior to EVV system deployment.

In this option, the EVV system configuration and features will still be fully tested by Sandata's QA team prior to deployment. System demonstrations can be provided to the program's stakeholder audience, demonstrating the Customer EVV setup prior to launch.

3.4. Basic EVV UAT

3.4.1. Scope

In the Basic EVV UAT option, the UA testers will execute a set of pre-defined UA test cases that have been created by Sandata. These UA cases will be reviewed and agreed upon prior to EVV program UAT beginning.

3.4.2. Environment & Test Data

Testing will be performed in Sandata's UAT environment using test data set up and defined by Sandata. The UAT environment will be set up with the configurations and features defined for the Customer's EVV program, using the same methods and templates as the production EVV system. For Basic EVV UAT, the Customer will be provided with 2 provider accounts, each with up to 5 pre-defined caregivers, and up to 5 members / recipients per provider account. Some attributes of the test data setup may be customized based on specific Customer request. These customizations will be defined and agreed upon within the Customer program's UAT Test Plan.

3.4.3. Testing Staff and Training

Testing staff will be identified by the Customer EVV stakeholder team. The Customer may supply up to 5 resources to perform UA testing. These resources will be trained on the use of the Sandata UA Testing System and provided access the UAT test environment. UAT training will cover:

- Sandata's EVV UA Testing System
 - How to execute test cases
 - How to log issues
- Basic EVV application familiarization.

UAT training is scoped for 3 days on-site at the Customer location. This is performed by the Sandata EVV Program UAT staff.

Once both sets of training are complete, the UA testers will be provided with a set of credentials for the Customer-specific UAT system. Please note- these testing credentials may not be unique to each individual UA tester.

3.4.4. Testing Execution

All UAT test cases will be executed by the UA testers within Sandata's UA Testing System. Any issues found throughout the course of UA testing will be captured in the associated issue tracking system provided by Sandata for UAT.



3.4.4.1. Daily Cadence (Eastern Time – Could be adjusted for other time zones):

- 9:00am – Daily UAT kick-off call (what are we looking to accomplish today, Review overall UAT status/timeline, review issue status from previous day)
- 9:30am – Begin Testing
- Around Noon – Anyone taking lunch can break for lunch and others can continue testing.
- Return from lunch – Continue Testing
- 2:00pm to 2:30pm – Stop Testing – Daily End of Day UAT Call – We discuss open issues, plans for the next day, what has and has not been executed successfully and open discussion.
- After 2:30pm – Sandata will need sole access to the environment for fixes, updates, etc.

3.4.5. Testing Duration

Once the testing staff have been trained on the UA tools and environment, the UA testing environment is open for a period of 5 business days for the testers to perform their testing activities. All test cases should be executed during this time, and all issues found during testing recorded in Sandata's UA Testing System.

3.4.6. Test Support and Issue Analysis

Once the testing phase has begun, Sandata's UAT team will support UA tester questions and respond to all issues found by the testers as they execute test cases.

The support of EVV Program UAT activities will occur remotely, using telephone, web-conference and video-conference technologies. Every UAT issue found by the UA testers will be reviewed and analyzed. They will each be assigned a severity and an issue type. This information will be provided to the Customer on a daily basis during the UA testing period.

Once the testing period has concluded, the Sandata UAT team may provide up to 5 days of additional support to address issues and provide the testers the ability to regress / retest specific issues.

3.4.7. Test Completion

Once the test execution period and subsequent issue analysis has completed, the Sandata UAT team will produce the UAT test summary document. This documentation will show all of the testing performed during UAT, as well as all issues found during that period. For every issue found during the Customer's UAT, a resolution will be documented in the UAT summary and presented to the Customer. This document will be presented to the Customer for review.



Once the Sandata UAT summary documentation has been delivered and reviewed, the UAT is considered complete. Once EVV UAT is complete, access to the UAT environment will be disabled and all UA tester accounts will be ended.

3.5. Enhanced EVV UAT

3.5.1. Scope

In the Enhanced EVV UAT option, the UA testers will execute the same set of pre-defined UA test cases created by Sandata as are run in the Basic EVV UAT option. Additionally, the Extended UAT Customer has additional UA testing, additional options for data definition, and the opportunity to define its own UA test cases that are specific to its program's specific needs.

The Customer may purchase this Enhanced UAT time on a per-week basis to validate the features and functionality of its EVV system via additional test cases that the Customer may create for the EVV program. For each week of Enhanced UAT purchased, Sandata will support up to 10 additional UA test cases to be created and executed by the Customer. These test cases will be reviewed and approved by Sandata for applicability to the EVV program and supported system functionality.

3.5.2. Environment & Test Data

Enhanced EVV testing will be performed in Sandata's UAT environment using test data that is created and set up in the environment by Sandata. The specific values for identifiers, demographic information, and address / contact values for this data may be specified by the Customer or the Customer may utilize the default set of test data supplied by Sandata.

The UAT environment will be set up with the configurations and features defined for the Customer's EVV program, using the same methods and templates as the production EVV system. For Enhanced EVV UAT, the Customer will be provided with up to 4 provider accounts, each with up to 10 pre-defined caregivers, and up to 10 members / recipients per provider account. All customizations to the test data for the Enhanced UAT effort will be defined and agreed upon within the Customer program's UAT Test Plan.

3.5.3. Testing Staff and Training

Testing staff will be identified by the Customer EVV stakeholder team. The Customer may supply up to 10 resources to perform UA testing. These resources will be trained on the use of the Sandata UA Testing System and provided access to the UAT test environment. UAT training will cover:

- Sandata's EVV UA Testing System
 - How to execute test cases
 - How to log issues
- Basic EVV application familiarization.

UAT training is scoped for 3 days on-site at the Customer location. This is performed by the Sandata EVV Program UAT staff.



Once both sets of training are complete, the UA testers will be provided with a set of credentials for the Customer-specific UAT system. Please note- these testing credentials may not be unique to each individual UA tester.

3.5.4. Testing Execution

For the Enhanced EVV UAT, Sandata recommends that all test cases will be executed by the UA testers within Sandata's UA Testing System. Furthermore, it is recommended that any issues found during the course of UA testing will be captured in the associated issue tracking system provided by Sandata for UAT.

3.5.4.1. Daily Cadence (Eastern Time but can be adjusted based on Customer time zone):

- 9:00am – Daily UAT kick-off call (what are we looking to accomplish today, Review overall UAT status/timeline, review issue status from previous day)
- 9:30am – Begin Testing
- Around Noon – Anyone taking lunch can break for lunch and others can continue testing.
- Return from lunch – Continue Testing
- 2:00pm to 2:30pm – Stop Testing – Daily End of Day UAT Call – We discuss open issues, plans for the next day, what has and has not been executed successfully and open discussion.
- 2:30pm – Sandata will require sole access to the system for any fixes, updates, etc.

3.5.5. Testing Duration

Once the UA testers have been trained on the UAT tools and environment, the UA testing environment will be open for a period of 5 business days plus 5 additional business days for every week of Enhanced UAT that the Customer has purchased. This is allocated timeframe for the testers to perform all testing activities. All basic and Customer-custom UA test cases should be executed during this time, and all issues found during testing recorded and reported to Sandata's UA test team.

3.5.6. Test Support and Issue Analysis

Once the testing phase has begun, Sandata's UAT team will support UA tester questions and respond to all issues found by the testers as they execute test cases.



The support of EVV Program UAT activities will occur remotely, using telephone, web-conference and video-conference technologies. If the Customer desires additional on-site support during the test execution phase of the EVV Program UAT, Sandata can support that in the Enhanced model (costs will be calculated upon request).

Every UAT issue found by the UA testers will be reviewed and analyzed. They will each be assigned a severity and an issue type. The results of this analysis will be provided to the Customer on a daily basis during the UA testing period. Once the UA testing period has concluded, the Sandata UAT team may provide up to 5 days of additional support to address issues and provide the testers the ability to regress / retest specific issues.

3.5.7. Test Completion

Once the test execution period and subsequent issue analysis has completed, the Sandata UAT team will produce the UAT test summary document. This documentation will show all of the testing performed during UAT, as well as all issues found during that period. For every issue found during the Customer's UAT, a resolution will be documented in the UAT summary and presented to the Customer. This document will be presented to the Customer for review. Once the Sandata UAT summary documentation has been delivered and reviewed, the UAT is considered complete. Once EVV UAT is complete, access to the UAT environment will be disabled and UA tester accounts will be ended.

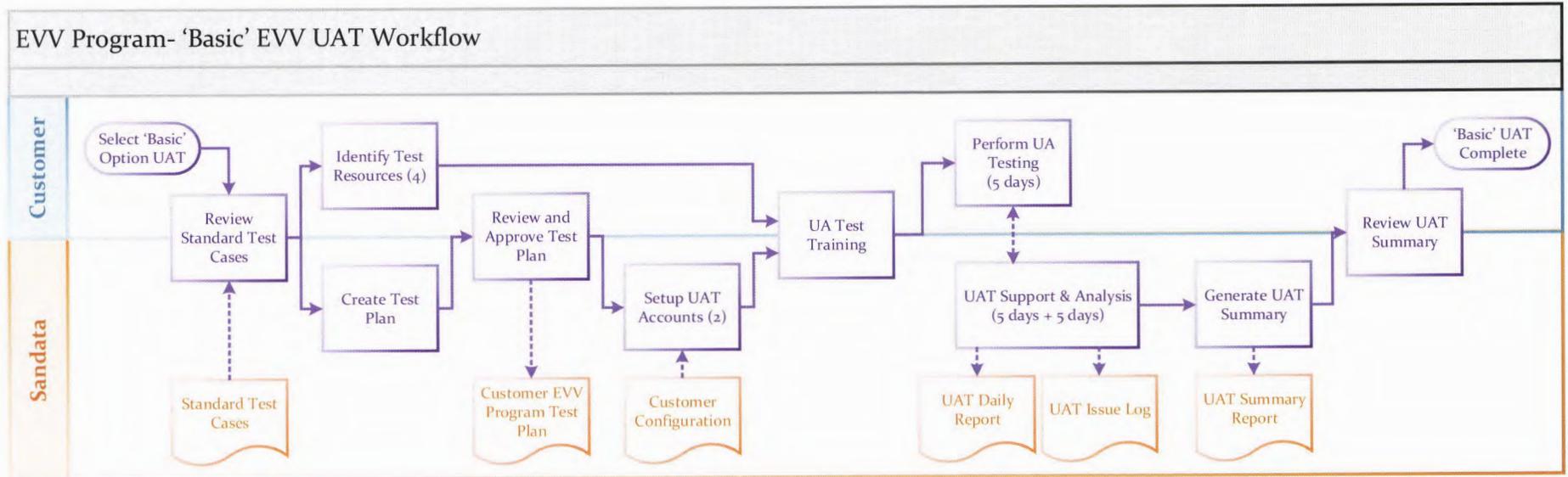
Within the Enhanced UAT model, the Customer retains the right to extend UAT at an additional weekly cost to be contracted prior to the SOW or as an optional add-on (Change Request) as a contract addendum prior to UAT Execution. Please note- any extensions to a project's UAT period may impact the overall project completion date for the Customer.

4. UAT Process

4.1. Basic EVV & CDS UAT Option Workflow

Below is a workflow describing the Basic EVV UAT process between Sandata and the Customer.

Figure 1 - Basic UAT Workflow

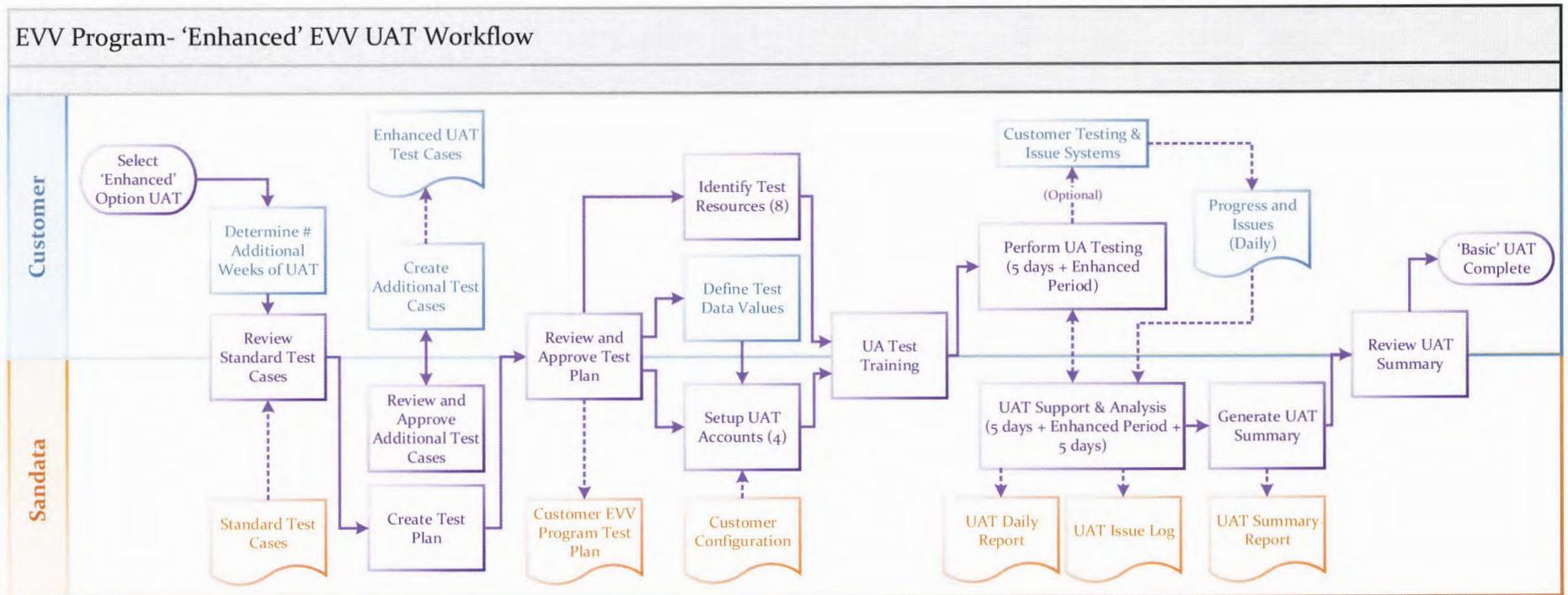




4.2. Enhanced EVV UAT Option Workflow

Below shows the workflow of activities for the Enhanced UAT option. This includes activities for the Customer to work on developing its own test cases, as well as defining its own test data values.

Figure 2 - Enhanced UAT Workflow



5. UAT Environment

Sandata is responsible for the creation and maintenance of the EVV UAT environment for the entire duration of the Customer's UA testing activities. Any downtimes or updates to this UAT environment will be communicated to the Customer and will be scheduled to minimize impact to the UA testing activities.

During the UA testing period, access to the UAT environment will be available to all UA testers during business hours for the region that the Customer operates in. Unless the test cases being executed require tests to be performed during specific hours, it is expected that testing will occur during normal business hours.

Once UA testing activities have concluded, the Customer EVV UAT environment may be persisted for a period of time to allow regression of specific issues. Once UAT is complete, access to the environment will be ended. The actual environment may be removed once UAT activities have completed and may not be accessible after the UAT period has concluded.

6. UAT Training and Support

Sandata provides UAT process and system training for the Customer stakeholders and UA testers prior to the start of UA test execution. Sandata recommends that this is done in-person at the Customer site in order to facilitate effective communication and a smooth start to UAT activities.

In our experience with EVV UAT, Sandata has found that most issues experienced by UA testers are training-related during the early days of the UA testing period.

In addition, Sandata offers remote support throughout the UAT process via conference calls and online meetings.

7. UAT Artifacts

7.1. Test Plan

Working with the Customer, Sandata is responsible for creating a UA test plan. The test plan sets expectations for exactly how the EVV UAT will be performed, and outlines the following:

- Test Methodology
- Testing Duration
- Test Training
- Communications
 - Meetings
 - Schedule
 - Issue Handling
 - Tools
 - Support
- Signoff Criteria



7.2. Test Case Suite

For both the Basic and the Enhanced UAT options, Sandata is responsible for providing pre-defined test cases for the Customer to review and execute. These are intended to be used by the Customer, with training and support provided by Sandata staff.

For the Enhanced UAT, the Customer may create additional test cases, with or without the assistance of Sandata. All Customer-created test cases must be reviewed and approved by Sandata prior to UAT execution to ensure that they accurately depict expected system functionality.

7.3. Issue Log

Sandata will provide a tracking mechanism for UA issue logging, as well as an issue workflow for the Customer and UA testers to follow. The listing of all issues found within the UA process, along with their current status, type, severity and resolution assignments is referred to as the Issue Log. All issues will be exportable for Customer use.

The Issue Log and tracking process allows Sandata to:

- Triage all issues
- Remediate issues as agreed to in this Payer UAT policy and the Customer's UAT Test Plan
- Listen to all feedback from the Customer and consider future enhancement requests
- Determine if an issue is actually a Change Request and provide an estimate if the Customer is interested in pursuing said Change Request

Sandata and the Customer will update and review the Issue Log daily to ensure traction from both organizations. The UA testers will have the opportunity to perform a regression test for any issues that have been fixed, and close them on the Issue Log, as appropriate.

7.4. UAT Reporting and Summary Report

During the UA testing period, Sandata will provide a daily status report to the Customer containing:

- Percentage of testing completed to date
- Pass/fail items
- Schedule tracking
- Review of issue log items

At the completion of the UAT period, Sandata will provide a final UAT Summary Report outlining the final status of all test cases, along with issue summaries and associated resolutions.

8. UAT Issues

8.1. Issue Analysis

During the UA testing and analysis period, the Sandata UAT team will review all issues generated by the Customer UA team. This systematic analysis of each UA issue logged is intended to



categorize each issue according to its impact and cause, in order to determine an appropriate resolution method.

8.1.1. Issue Severity Definitions

Below are the standard Sandata UAT definitions of issue severity. Every issue logged during the course of EVV program UAT will be analyzed and assigned a severity based on the criteria listed below. This severity, when considered with the Issue Type will define the course of resolution for each UAT issue.

Table 3 - UAT Severity Definitions

Severity Level	Description
Critical (Level 1)	Core aspects of the EVV system are inaccessible or unavailable with no reasonable workaround available.
High (Level 2)	Significant aspects of Customer or provider operations are impacted, slowed or hampered by the issue. Workaround is available for the issue, but one that involves high levels of inconvenience, exceptional effort, or risk to complete.
Medium (Level 3)	Impacts the use of some aspects of the EVV system or Customer / provider operations but has a viable workaround that allows the use of the product or completion of test case goals without material impact to efficiency or quality.
Low (Level 4)	Suggestions or aspects of the EVV system that do not impact functionality or workflow, require no workaround to accomplish EVV system functionality, but may be desirable to have changed. These may also include features or functionality that is not currently in scope for the Customer's EVV program. This includes cosmetic change requests.

8.1.2. Issue Type Definitions

Below are the standard Sandata UAT definitions of Issue Type. Every issue logged during the course of EVV program UAT will be analyzed and assigned an issue type based on the criteria listed below. The type assignment, when considered with the issue's severity will define the course of resolution for each UAT issue.

Table 4 - UAT Issue Type Definitions

Issue Type	Description
UA Training Issue	A question or expectation regarding EVV system behavior that is due to an incorrect assumption of the UA tester, rather than a functional issue with the way the EVV system is behaving.



Documentation	An issue that is not a problem with the functionality of the EVV system itself, but rather an inconsistency or ambiguity in the supporting EVV program documentation.
Defect	A functional error in the configuration or behavior of the EVV system as observed by the UA Testing team. This may include a deviation for contracted functionality, or a problem in the configured values assigned for the Customer.
Enhancement	An issue that does not impact the contracted scope or functionality, but is a desirable change to the EVV system or documentation.
Not an Issue	An issue that upon analysis is not a functional deviation from scope, but is the way the system is designed to operate.

8.1.3. Issue Resolution Definitions

Based on the assignment of the severity and type to every UAT issue, Sandata will work to bring each issue to a defined resolution

Table 5 - Issue Resolution Definitions

Resolution	Description
Fixed	The issue was resolved during the course of the EVV UAT period.
On Roadmap	An issue that has been identified as a change that Sandata has / will include in the overall product roadmap. This change will be prioritized by the Sandata product team and assigned a future product release timeframe.
Change Request	The issue is a change that is possible for the EVV system, but is not a feature or function that is part of the current Sandata roadmap. The Customer may proceed with requesting this change be made to the system, but implementing it will require the formal change order process, and may incur additional cost beyond the contracted scope of the EVV program.
Deferred	The issue is not within the current scope of the Customer's EVV program, and the Customer has decided not to pursue a change request to have it applied to its EVV program at this time.
Duplicate	The issue was identified to be the same underlying behavior as another previously logged issue. These two will be linked together, and the duplicate issue closed.



Will Not Fix	The issue is determined to be working as designed or a change that is not feasible to support within the scope of the EVV program.
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8.2. Issue Outcomes

Once EVV UAT issues are analyzed and assigned severity and issue types, they will get addressed in a manner based on those assignments.

Table 6 - UAT Issue Outcomes

Severity	Issue Type	Action / SLA Timeframe
Critical (Level 1)	Defect	Sandata will escalate these issues directly to our product team for priority correction and resubmission to UAT. The UAT phase of the implementation may be kept open until any issue meeting these criteria has been resolved.
High (Level 2)	Defect	These issues will be handled on a case-by-case basis. Effort will be made to have these corrected during the EVV Program UAT period, but these issues may be incorporated into a future roadmap release instead, depending on the situation.
Medium (Level 3), Low (Level 4)	Defect	Sandata may incorporate these into the product roadmap for the EVV system, and manage them through the Sandata standard change control process. The timeframe for correction will be provided back to the Customer as soon as it is known.

8.3. Issue Dispute Resolution

In circumstances when the assignment of a severity + issue type to a particular UAT issue yields a resolution that the Customer does not agree with, the dispute should be addressed to the Sandata Senior UAT director and Sandata Implementation Director in writing. This request should explain the reasons for wanting to have the particular issue(s) resolved in a different timeframe than the one provided by Sandata's issue analysis.



The Sandata Sr. UAT Director will then convene a dispute resolution session with the associated representatives from the Customer program, as well as key stakeholders from Sandata's team to work through and to understand the request. This team will then work to determine an agreed upon strategy for having the issue moved up in timing when possible, or to identify other workarounds as they are able, in order to best accommodate this request.

The final agreed upon resolution and timing for the issue will be captured in the Sandata UA testing system, and will also be reflected in the UAT Issue Log.

8.4 UAT Sign-Off

Based on the software development policies in place at Sandata, and with the approval of "Customer", the final software build of the EVV software whereas we have met or exceeded the defined criteria required to promote the codebase to the Production environment will be denoted as the Sign-Off Build.

Closure: All issues identified during testing were categorized and logged in the Issue Log to track status updates and closure. All bugs identified as blocking, had been resolved by "date". "Customer" reserves the right to test any agreed upon additional issue fixes. If any issues are found, "Customer" and Sandata will follow the standard Issue Workflow Process. This satisfies "User Acceptance Test Exit Criteria".



Appendix 1: Sandata Terminologies

Table 7- Sandata Terminology

Sandata Terminology	Alternate Terminology
Provider	Agency, Agency Provider, Provider Account, Account, Billing Agency
Authorization	Service Plan, Prior Authorization
Customer	Recipient, Member, Individual, Patient
Employee	Caregiver, Direct Care Worker, Worker, Individual Provider
Fiscal Account ¹	Fiscal Entity, Fiscal Intermediary
Payer	State Agency, MCO



Appendix 2: Reference Documents

Table 8 - Reference Documents²

Document	Referenced File
Incoming Provider Specification	OpenEVV-Provider-V 4.2
Incoming Customer Specification	OpenEVV-Customer-V4.3
Incoming Authorization Specification	OpenEVV-Authorization-V4.2
Claims Validation Specification	OpenEVV-ClaimsValidation-V2.0
Data Warehouse Export	OpenEVV-Data Warehouse-V4.4
Alternate EVV System Specification	OpenEVV-altEVV-V4.5

² Final version numbers for each document will be determined during the technical design phase.



Appendix 3: Abbreviations

Table 9 – Abbreviations

Abbreviation	Meaning
ANI	Automatic Number Identification
BYOD	Bring Your Own Device
CDS	Consumer Directed Services
EVV	Electronic Visit Verification
FI	Fiscal Intermediary
GPS	Global Positioning System
IVR	Interactive Voice Response – the underlying system used for telephony
MVV	Mobile Visit Verification
PA	Prior Authorization
PIN	Personal Identity Number
SMC	Sandata Mobile Connect
SSN	Social Security Number
TVV	Telephonic Visit Verification

State of Nebraska Department of Health and Human Services – Electronic Visit Verification Solution

*DRAFT Communications (Outreach) and
Training Plan*

*We deliver systems that improve the process of
home care to increase capacity for caring.*



October 7, 2019

Prepared by: Angel So, Training Manager

www.sandata.com

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Approval

Title	Name	Signature	Date
Sandata COO	Ken Faltischek		
Sandata, SVP Enterprise PMO	Karen Erickson		
Sandata, Vice President, DHHS Implementation	Tim Nyberg		
Sandata, Director, DHHS Implementations	Tywanda Hart		
DHHS – Project Sponsor			
DHHS – Contract Manager			
DHHS – Director of Communications			

DRAFT

Approach and Scope

The Training and Outreach Plan has been prepared in response to the Nebraska Department of Health and Human Services (“DHHS”) request for materials. The plan will be developed, reviewed and approved within 45 days of the contract start date. This plan is a living document and will be updated periodically as needed during the course of the program implementation.

OVERVIEW

Sandata provides a comprehensive training program with multiple learning modalities (classroom, multiple locations, online webinars, self-guided learning management system, etc.) to ensure all users thoroughly understand how the system works, as well as their roles and responsibilities once the system is live. Training webinars are recorded and are accessible at any time should attendees wish to review content. Our approach to training and outreach ensures users have every opportunity to understand the program, the technology, and we provide them with the tools to be successful with EVV.

Our standard EVV Training Strategy and Plan includes:

- A comprehensive outreach strategy and recommended documents to support outreach to ensure all stakeholders are knowledgeable about the new EVV program and Sandata’s solutions;
- Development of an approved comprehensive training strategy, managed via a training calendar, with knowledge transfer specific to system user;
- A regional approach to on-site, classroom training at launch;
- Multiple training modalities to suit different learning styles;
- Electronic provider training materials available through our Learning Management System (“LMS”) and via the system’s online help;
- A separate training environment to ensure system users can easily grasp all concepts prior to launch;
- Training documentation developed using industry best standards with materials;
- Surveys and training reports;
- Post-launch “hot topic” follow-up webinar training to ensure high EVV system utilization; and
- Additional post-launch training support via our LMS, Help Desk, and Account Management Team Support.

USER GROUPS

Provider Agencies Using Sandata EVV

Training for agency providers includes education on the EVV program, visit verification modalities, set up and use of their Sandata EVV Provider Portal, and the agency's role in managing and/or approving visits and services. Instructor-led classroom sessions and webinar sessions will be led by Epiphany Management Group staff, which will be supported by Sandata training resources. The Sandata Team will also provide training materials and support so that Agency providers can successfully train their caregiver staff on how to electronically 'clock in' at the beginning of their visit and 'clock out' at the end of their visit using Sandata visit verification technologies.

Provider Agencies Using Third Party EVV

Providers that elect to use their own EVV system will receive information and support on the required data integration as well as training support on how to view EVV data in the Sandata Aggregator.

DHHS

DHHS will be trained on the Jurisdictional portal, which will focus on the use of standard reporting as well as the use of the Sandata Business Intelligence tool via instructor led webinar.

PROVIDER AGENCY TRAINING MODALITIES

Our training options for initial training are summarized below.

- **Independent Web-based training:** a training participant's independent review of online user-specific training PowerPoint materials, system demonstration of specific training scenarios, and reviews to confirm system and training competency. Independent web-based training is accessed on line via LMS at any time. These materials will be maintained during the life of the contract.
- **Instructor-led web-based training (Webinars):** a virtual room environment led by a Sandata Team trainer. Webinars can provide a convenient method for digesting the materials. Trainer led web-based trainings are scheduled for specific times and are accessed online and via phone.
- **Instructor-led classroom environment training sessions:** a classroom environment led by a trainer covering similar content as the webinars and includes hands on computer exercises which helps accelerate learning. Instructor-led



sessions are scheduled in central locations on specific dates and times at appropriate training facility locations.

While Sandata offers multiple training modalities, in our experience, providers often opt for independent web-based self-study or instructor-led webinars in lieu of classroom training.

All training will be coordinated using a training calendar and will include appropriate methods of knowledge transfer (training, coaching, materials, etc.), as appropriate, depending upon user roles.

OUTREACH (COMMUNICATIONS)

Sandata knows from experience that successful stakeholder outreach is key for EVV program success, and we will partner with and encourage DHHS to begin outreach early in the implementation process. Outreach to provider agencies may occur in a variety of ways including establishing an EVV website, direct emails, and communication mechanisms such as newsletters, DHHS -sponsored town halls or advisory groups, and discussions with state home health associations. Sandata will share outreach materials and templates that been used and successful in other state EVV programs.

Sandata and DHHS will work together to create outreach materials and a calendar of outreach activities best tailored to DHHS's provider community to inform agencies of upcoming implementation activities. All provider or stakeholder outreach materials will be reviewed and approved by DHHS before a scheduled outreach event. Sandata will support outreach activity as agreed on the outreach plan. DHHS will post all outreach materials on the EVV website.

TRAINING CURRICULUM

Users will be required to complete training curriculum based on the following rules:

Training Topic	Description	Target Audience
Program Overview	Describe the EVV program and services included.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal Provider Agencies using Third Party EVV System(s) Fiscal Employer Agent DHHS
System Overview	Login, navigate Sandata EVV Provider Portal and understand common functionality.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Security	Create and modify users, assign and modify user roles/privileges, reset, and change passwords.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Clients (Individuals) and Employees	Understand client and caregiver records, manually input, maintain and delete/reactivate employees.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Scheduling	Review methods for creating, editing, and canceling schedules.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Billing	Prepares the 'Bill' to validate and clear any visits Not OK to bill, generate invoices and export to Medicaid.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Point of Care Visit Verification	Explain and use all of the visit verification options.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Visit Maintenance	Manage and correct visit exceptions and create a manual visit.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Consumer Directed Suite	Detailed training on all CDS modules including EVV, Fiscal Portal, Employee Portal and Member (Individual) Portal	<ul style="list-style-type: none"> Fiscal Employer Agent(s) Employees Members
Reports	Run daily and date range reports.	<ul style="list-style-type: none"> Provider Agencies using Sandata EVV Provider Portal
Aggregator	Login, navigate, and run daily and date range reports.	<ul style="list-style-type: none"> Provider Agencies using Third Party EVV System
Jurisdictional View	Login, navigate, run daily and date range reports.	<ul style="list-style-type: none"> DHHS
Sandata Business Intelligence Tool	Login, navigate, run reports, create ad hoc reports.	<ul style="list-style-type: none"> DHHS

Training/Outreach Activity Schedule

OUTREACH

Sandata recommends in every implementation that one of the earliest steps in the process is to start a robust outreach process to the stakeholder community. Outreach should consist of information about EVV – what is it, how will things change, timelines, etc. Outreach activities should include public forums where providers and individuals have the opportunity to learn about the program and to ask questions. We recommend multiple methodologies to provide outreach and information throughout the implementation process. For example, in our Ohio program we partnered with the state to conduct outreach using all of the following:

- Email notices;
- Interactive Voice Response Calls;
- Conference Sessions;
- Stakeholder Advisory Letters; and
- Establishment of a state-specific EVV website.

We also recommend that DHHS adopt a specific strategy to communicate the benefits of an EVV solution for those providers who are not familiar with it, and highlight the operational efficiencies that they will gain by embracing the use of technology. Sandata has developed specific communication material that illustrates the “Value Beyond Compliance of an EVV Solution” and has delivered the content in numerous venues across the country. In addition, providers who already have an EVV system should be reassured that they can continue to use their system provided it meets the requirements established by DHHS.

Sandata is recommending the following outreach activities to support the EVV Program.

Note: Final activities and dates will be formalized after project kick-off.

Activity	Stakeholder(s) Group	Date(s)
Provider Introductory Letter and Surveys	Provider Agencies and Fiscal Agent	
3rd Party EVV Webinars	Provider Agencies using 3rd Party EVV Vendors	
Individual Introductory Letter	Individuals	
Pre-launch Regional Town Hall Meeting(s)	Provider Agencies and Fiscal Agent	
Pre-launch DHHS-led Stakeholder Webinar	Nebraska Association for Home Health Agencies Nebraska Health Care Association	

Activity	Stakeholder(s) Group	Date(s)
Pre-launch DHHS-led Stakeholder Webinar	Other State stakeholders	
Provider Welcome Kit	Provider Agencies and Fiscal Agent	
Post Launch Regional Town Hall Meeting(s)	Provider Agencies and Fiscal Agent	
Post Launch Regional DHHS-led Webinar(s)	Provider Agencies and Fiscal Agent	

TRAINING LOGISTICS

Training Session	Location	Date(s)
Instructor Led Training	City A, City B, City C Exact locations to be determined. Training facilities in each city location will be equipped with computer workstations to accommodate 25 participants.	
Webinar Training	Participants will access webinar training via a toll free number. Webinar sessions can accommodate up to 100 participants.	
Self-Paced Training	Offered via the learning management system.	Available prior to launch and throughout the life of the contract.

Training Assurances and Reporting

In order to track whether or not a provider has completed training, Sandata offers the following levels of training participant confirmation upon training completion:

- For classroom sessions, attendance will be captured via a sign-in sheet and in the LMS. Upon completion, an email is sent to the learner indicating a certificate is available in the LMS.
- For webinar sessions, at the time the participant logs into the webinar, they are considered to have attended training. Attendance will also be entered in the LMS. Upon completion, an email is sent to the learner indicating a certificate is available in the LMS.
- For self-paced courses, the participant is required to go through the entire course and the LMS marks course as completed once the participant has reviewed the entire topic/course. Upon completion, an email is sent to the learner indicating a certificate is available in the LMS.

Once a provider agency completes the required training and has been issued a certificate of completion, the agency will receive their welcome kit with login credentials to their production EVV account and can begin setting up their staff and caregivers.

When training begins, Sandata will submit training reports to DHHS on a weekly basis until program launch and monthly thereafter that include summary information such as:

- Total number of training sessions
- Type of training
- Training location(s)
- Number of trainees
- Training survey results
- Percentage of total agencies trained

Detailed information captured will include:

- Names of the individuals trained
- Agency name
- Dates of training
- Specific training modules completed by each participant
- Training modality completed (classroom, web based, or self-paced)

TRAINING EVALUATION

Evaluation surveys will be conducted at the end of training sessions and the results of these surveys will be compiled and reported to DHHS. Sandata utilizes SurveyMonkey for classroom and Webinar training sessions to evaluate the trainer and training session.

- For classroom training, a survey link is put on each computer workstation and participants are asked to complete the survey at the end of the class.
- For webinar sessions, the survey automatically displays on attendees' screens at the end of the session.
- For self-paced sessions via the LMS, the evaluation will appear upon completion of the course.

Roles and Responsibilities

The following table summarizes the training and outreach roles and responsibilities for all stakeholder types:

Stakeholder	Responsibility
DHHS Training and Outreach work stream contact	<ul style="list-style-type: none">• Represent DHHS at work stream meetings• Facilitate DHHS review, feedback, and approval of all training and outreach materials

Stakeholder	Responsibility
Sandata Training and Outreach Lead Angel So	<ul style="list-style-type: none"> Responsible for ensuring plan is finalized and objectives are met Prepare agendas and notes for all work stream meetings Facilitate work stream meetings Work with Sandata training and documentation resources to update materials as needed Coordinate training registration Works with the EVV Account Executive post-launch to support additional provider training needs.
DHHS	<ul style="list-style-type: none"> Send outreach communications to provider agencies and ISOs Ensure individuals understand EVV requirements/policies Complete JV (Aggregator) training Complete Business Intelligence (Domo) training
Provider Agencies and Fiscal Employer Agent(s)	<ul style="list-style-type: none"> Complete EVV system training Train individual caregivers on EVV
Trainers	<ul style="list-style-type: none"> Train users on appropriate topics as needed

Support for Initial Implementation

The initial implementation period includes all activities from the kick off meeting until the program mandatory use date (see Draft Project Schedule for additional details). This plan includes our standard training and outreach materials. Should DHHS require additional or custom materials, the change order process will apply.

STANDARD OUTREACH MATERIALS

Material	Source(s)	When Available?
FAQs on EVV	DHHS EVV website	When provider survey is sent
Town Hall/EVV Advisory group agendas and notes	DHHS EVV website	Post business rules approval

STANDARD TRAINING MATERIALS

Material	Source(s)	When Available?
Calendar/Schedule of Training sessions	DHHS EVV website	4 – 5 weeks prior to start of training sessions
Sandata EVV User Guide	Within Sandata provider portal (online help)	When provider accesses their production account

Material	Source(s)	When Available?
Sandata Mobile Connect User Guide	Within mobile application (online help)	When caregiver installs application on their device
EVV Reference Guide	Included in Welcome Kit	After provider has completed training
'Hot topic' videos or tools	DHHS EVV website, LMS	Post launch
Full Provider Agency EVV Solution Course	LMS	At same time as webinar/in-person training begins

Please refer to Appendix 1, Sandata EVV Training Participant Guide, Appendix 2, Sandata Mobile Connect User Guide, and Appendix 3, LMS Quick Reference Guide for sample training materials.

PRE-LAUNCH PROVIDER COMMUNICATION

Communication with DHHS's provider agency community is paramount to the success of the EVV launch. Provider outreach begins early in the implementation process and continues through the life of the EVV program. The goal of the EVV provider communication strategy is to inform the provider community of DHHS' objectives and expectations regarding the EVV program, alert them to their roles and responsibilities for the program, notify them of training opportunities, and to provide them with production system login credentials.

The following provides a summary of intended specific EVV Program provider pre-launch communication based on discussions with DHHS.

1. Provider EVV Introduction Letter and Provider Survey

A welcome letter and overview of the EVV program will be emailed to all providers based on information provided by DHHS. The letter includes a call to action to complete a survey accessed via a link within the letter to SurveyMonkey. The survey collects information about the providers and the individuals in their care as well as training modality preference. The letter is emailed to all active agency providers as soon after the kick off meeting as is possible based on provider information supplied by DHHS. The survey will indicate a survey completion deadline of _____.

The provider agency survey results provide directional information on the number of third party EVV systems currently being used by agencies, the most common

languages of the caregivers, the individual's accessibility to phones (cell and/or land-lines), and the provider's preferred method of training.

2. **Provider EVV Update**

The second EVV program outreach communication is targeted to be emailed on _____ to agency providers based on information provided by DHHS. The agency provider update letter will address the EVV program requirements and the anticipated timeframe for training registration. In addition, the letter will include links to technical specification documents located on the DHHS website for agencies who want to use a third party EVV solution.

3. **Provider Readiness**

The third EVV program outreach communication is a letter to provider agencies that outlines the activities needed to be prepared for _____ program launch. These activities include registering and completing training and populating their EVV account with their caregivers and schedules. In addition, there will be a call to action for agency providers using a third party EVV system to have their interfaces ready by _____.

4. **Provider EVV Training Registration**

Sandata recommends that a communication announcing training registration is open be emailed to agency providers on _____ based on information provided by DHHS. The training registration letter should address the training curriculum and offerings for agency providers.

5. **Provider Welcome Kit**

Once a provider completes training, a provider will receive an email notification with their Sandata EVV Provider Portal login credentials and will also be mailed a Welcome Kit. The Welcome Kit contains login credentials for providers to access their Sandata EVV system and instruction to begin populating their caregivers. The Welcome Kit includes the following documentation:

- **Welcome Letter:** A one to two-page communication with the agency's URL to access Sandata EVV, toll free phone number for the EVV Customer Care Help Desk, the URL for the program's EVV website, and email address or phone number to contact the state for policy questions (as provided by the state).
- **Sandata EVV Reference Guide:** A tool for caregivers on how to use Telephonic Visit Verification, including the service list and task list (if applicable) for the program.

In addition to the specific communication materials listed above, it may be beneficial to have other outreach activities such as:

- Regular 'EVV Advisory Group' sessions with a sub-group of the initial implementation providers;
- State home care associations; and
- Ombudsman groups.

Outreach activities such as these will be discussed in the Training and Outreach work stream meetings and will be documented in future versions of the Training and Outreach plan.

Post Implementation Activities

Post launch provider communication is program specific. Outreach needs post program launch will be evaluated by DHHS and the EVV Account Executive. "Hot Topic" communication and training are performed at least quarterly and provider agencies are proactively notified of upcoming system upgrades.

The Account Executive will provide ongoing webinar training sessions for provider agencies as least quarterly. Topics for the post-launch training sessions will be based on Customer Service data and/or discussions with DHHS. We will suggest "Hot Topic" subject matter areas to DHHS on reporting from Customer Service. The volume and subject matter of calls is an indicator of areas where providers need some additional information and training. Calendars of Webinar sessions and agendas for the sessions will be posted on DHHS's EVV website.

New/Revalidated Providers

Sandata will work with DHHS to develop an on-boarding process for new or revalidated DHHS provider agencies required to use EVV post launch. Sandata recommends that these providers conduct their training via the self-paced modules in the LMS.

Languages

All Training sessions, webinars and LMS sessions as well as training materials are offered in English. EVV Reference Guides are available in English. User Guides for Sandata Mobile Connect are offered in all available languages as the mobile application. Materials are

translated using a professional translation service, ensuring the accuracy of the translation. Additional languages are available using the change order process.

Standardized and Ad hoc Materials

Sandata's proposal includes all of our standard outreach and training materials. All documents will be provided to DHHS in an electronic format. Sandata also provides ad hoc materials through our "Hot Topic" program. Sandata's Hot Topic program improves knowledge retention and reduces the number of Customer Care help desk calls for training related issues.

Hot Topics are identified on a weekly basis through reporting developed by our Customer Care department. This report is monitored for volume and reasons for calling. We develop Hot Topic trainings based on the report findings in an effort to reduce provider uncertainty and increase provider understanding of a particular topic. We also anticipate future potential hot topics for the next cycle and develop additional hot topic trainings. For example, often after launch, Visit Maintenance is a common reason for calling our Customer Care team. Sandata anticipates this and has Hot Topic training ready to go.

Hot topics can be addressed through a variety of ways including providing additional learning aids, DHHS-initiated provider newsletters, and/or delivered via recorded webinar for future use. Recordings are posted to the LMS for continuous viewing with a link to the recording sent out via an email blast.

Examples of Hot Topics include:

- Sandata Mobile Connect Refresher;
- Visit Maintenance; and
- Exception Handling.

Appendices

SAMPLE TRAINING MATERIALS

Sandata has included the following sample training materials as appendices to this plan.

DRAFT



Sandata
TECHNOLOGIES

Electronic Visit Verification (EVV)

Agency Provider Participant Guide

August, 2019
v 1.3



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About this Course

This Instructor-led Training (ILT) course introduces Sandata Electronic Visit Verification (EVV) and is designed to facilitate training on the use of the system. The instructor will use this guide to lead each lesson with an overview of the topic in question, followed by a demonstration and hands-on practice of the skills required to execute activities within Sandata EVV.

Course Duration

The estimated time for this course is 1 day.

Performance Objectives

- Navigate Sandata EVV
- Use the Security module to:
 - Create and modify users
 - Assign and modify roles/privileges to users
 - Delete/Reactivate users
 - Reset user passwords
 - Create roles and assign privileges
 - Change a password
- Use *Data Entry* to:
 - Manually input and maintain both clients and employees
 - Delete/Reactivate clients and employees
- Manually input and maintain both clients and employees
- Delete/Reactivate clients and employees

- Explain the purpose and basic functionality of Sandata Mobile Connect (SMC) and Telephonic Visit Verification (TVV)
- Use the Dashboard module to view real-time exceptions
- Use the Visit Maintenance module to manage, correct visit exceptions and add manual visit, as necessary
- Know the difference between Daily and Date Range reports
- Run both Daily and Date Range reports

Conventions Used in this Document

Convention	Description
<p>Bold Text</p>	<p>Used to alert a selection to be made or name of a field.</p>
	<p>Used to indicate an external tool or support (e.g. reference information) for instructors or participants.</p>
	<p>Used to indicate workflow.</p>
	<p>Use to highlight any risk management points.</p>
	<p>Used to highlight a key point of which the user should take notice.</p>
	<p>Used to indicate a tip and/or shortcut.</p>
	<p>Used to indicate instructor demonstration.</p>
	<p>Used to indicate participant should follow along with the instructor.</p>
	<p>Used to indicate participant should perform exercise independently.</p>

Course Agenda

Minutes	Module
10	Course Introduction
15	Program Overview
15	System Overview <ul style="list-style-type: none"> • Log in to Sandata EVV • Navigation • Common Functionality
40	Security (Office Staff) <ul style="list-style-type: none"> • Manage Users • Creating Users • Alert Settings
45	Client Module <ul style="list-style-type: none"> • Client Entry and Edit
30	Employee Module <ul style="list-style-type: none"> • Employee Entry and Edit
45	Scheduling Module <ul style="list-style-type: none"> • Creating and editing schedules • Recurring schedule templates
30	SMC / TVV <ul style="list-style-type: none"> • Device Call-In/Call-Out • Telephony Call-In/Call-Out
75	Visit Maintenance <ul style="list-style-type: none"> • Accessing Visit Maintenance • Understanding Filter and Sort Options • Understanding Visit Exceptions • Reviewing and Resolving Visit Exceptions
60	Group Visits <ul style="list-style-type: none"> • SMC/TVV • Visit Maintenance
30	Billing <ul style="list-style-type: none"> • Creating and editing invoices • Submitting and exporting invoices
20	Reports <ul style="list-style-type: none"> • Accessing Reports • Reviewing Report Types • Exporting Report Types

30	Wrap-up <ul style="list-style-type: none">• Assessment & Evaluation• Wrap-up Assessment• Training Evaluation• Next Steps
90	Lunch and Breaks
535	Total Course Time

Overview/Objectives

This training is an in-depth review of the Sandata EVV environment pointing out features, structure and requirements. In this session, we will cover the following topics:

- Accessing and Logging on and off Sandata EVV
- Using features and functions to navigate Sandata EVV
- User Set-up and Security
- Data Input into Sandata EVV – Clients and Employees
- Scheduling – creating and editing schedules
- SMC and TVV
- Digital Dashboard and Visit Maintenance
- Billing
- Accessing reports

The goal of this training is to present the functionality of Sandata EVV and to focus on the concepts of how Sandata EVV lends support in doing visit activities.

This class will be a combination of classroom instruction, handouts and practice exercises. At the end of the session, you will be asked to complete a Training Assessment exercise to reinforce the skills learned today, as well as an online training evaluation.

For the training exercises, we'll use a database that is designed specifically for training. We will not use real clients; therefore, the data cannot be harmed. The training database is a close copy of the production system, but clients and examples have been added to use during classes.



1 Program Overview

Module Time

15 minutes

This lesson introduces the Electronic Visit Verification (EVV) program. It provides an overview of the benefits and its core functionality.

Module Objectives

After completing this lesson, you will be able to:

- describe the 21st Century Cures Act; and
- describe the program objectives and the services under the program.

Key Terminology

Term/Acronym	Definition
Aggregator	Central data store for Sandata EVV and alternate data collection EVV systems
Alternate EVV System	Any EVV system that is not Sandata's
EVV	Electronic Visit Verification
Fee-for-Service (FFS)	A payment model under which a provider is paid for every Medicaid eligible service rendered to the recipient.
Sandata Mobile Connect (SMC)	Sandata's mobile visit verification application
Sandata EVV	Sandata Technologies Electronic Visit Verification system
Telephonic Visit Verification (TVV)	System used to record visit data and verification when SMC is not available

Introduction

Congress established a January 1ST, 2020 requirement for all states to use an EVV system, in accordance with the 21ST Century Cures Act.

EVV is an electronic system that verifies when provider visits occur and documents the precise time services begin and end. The Sandata EVV system is provided free-of-charge for all providers.

Program Objectives

- Promote quality outcomes for clients (Quality of Care)
 - Ensure the health and welfare of clients choosing to receive long-term services and support where they live, or otherwise receive care in the community
- Reduce billing errors and contain costs (Program Integrity)
 - Improved payment accuracy by using technology to match data on claims with data in service documentation (e.g., time and duration of visit)



2 System Overview

Module Time

15 minutes

This lesson demonstrates how to log in to Sandata EVV.

Module Objectives

After completing this lesson, you will be able to:

- access and log in to Sandata EVV;
- reset passwords;
- navigate Sandata EVV (with/without Americans Disabilities Act (ADA) support); and
- define common functions within Sandata EVV.

Key Terminology

Term	Definition
Americans with Disabilities Act (ADA)	The Americans with Disabilities Act of 1990 is a civil rights law that prohibits discrimination based on disability.
Job Access With Speech (JAWS)	Job Access With Speech is a computer screen reader program for Microsoft Windows that allows blind and visually impaired users to read the screen either with a text-to-speech output or by a refreshable Braille display

Introduction

This document details the functionality of Sandata EVV. It is a web-based system accessed via Internet Explorer, Mozilla Firefox or Google Chrome web browsers. It allows for client/employee data entry, paperless review/approval of visits and reporting.

Browser Requirements

Sandata supports the current and prior major releases of Microsoft Internet Explorer, Mozilla Firefox and Google Chrome on a rolling basis. We then discontinue support for the third-most recent major release. This policy to support modern browsers allows us to take advantage of the most recent efficiencies in the browsers to maximize the user experience and also ensure our solutions are running on the most recent security and performance updates.

Overview

Sandata EVV consists of ten (10) sections. This document is divided into the following major sections:

- *Navigate Modules*
- *Security*
- *Clients*
- *Employees*
- *Scheduling*
- *SMC/TVV*
- *Dashboard*
- *Visit Maintenance*
- *Billing*
- *Reports*

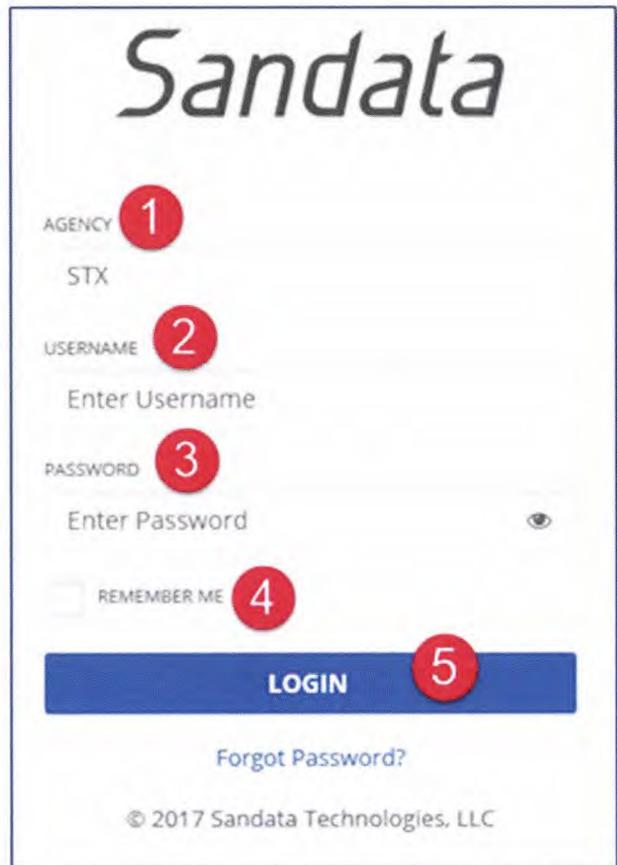
Log-in Screen

How to Log In

System security requires that you log on using the URL provided in the Welcome Kit. The Welcome Kit is provided upon completion of training.

Follow the steps below to log in to Sandata EVV for the first time:

- Agency EVV Security Administrator – use the credentials received in the Welcome Kit and click **LOGIN**
 - All other Users – enter the credentials provided by the Agency EVV Security Administrator and click **LOGIN**
1. **AGENCY** – Example: STX#### (#### = account number)
 2. **USERNAME** – The username is the email address used when creating a system user (username is not case sensitive).
 3. **PASSWORD** – Must be at least twelve characters long, have at least one upper case, one lower case letter, one numeric character and one “special” character (@#\$%^). The password is case sensitive.
 4. **REMEMBER ME** – When enabled, this checkbox will preserve the last Agency and Username entered.
 5. **LOGIN** – gain access to Sandata EVV.



The screenshot shows the Sandata login interface. At the top is the Sandata logo. Below it are five numbered callouts: 1. AGENCY: A text input field containing 'STX'. 2. USERNAME: A text input field with the placeholder 'Enter Username'. 3. PASSWORD: A text input field with the placeholder 'Enter Password' and a toggle eye icon. 4. REMEMBER ME: An unchecked checkbox. 5. LOGIN: A blue button with the text 'LOGIN'. Below the button is a link for 'Forgot Password?' and a copyright notice '© 2017 Sandata Technologies, LLC'.



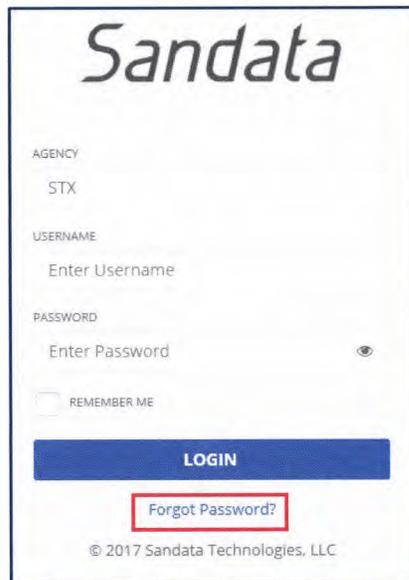
REMEMBER ME – When checked, preserves the last username entered.

How to Reset a Forgotten Password

Passwords need to be reset at regular intervals, based on EVV Program requirements. A user will begin receiving prompts 10 days before their password expiration date to reset the password.

There can be times when a password is forgotten and it is necessary to reset the password (e.g., a new user forgets what they set as their password during the initial login process).

1. Click **Forgot Password?** A window opens to enter the email address to receive a temporary password.



Sandata

AGENCY
STX

USERNAME
Enter Username

PASSWORD
Enter Password

REMEMBER ME

LOGIN

[Forgot Password?](#)

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2. Enter the **EMAIL ADDRESS** (username) used to log in.



Sandata

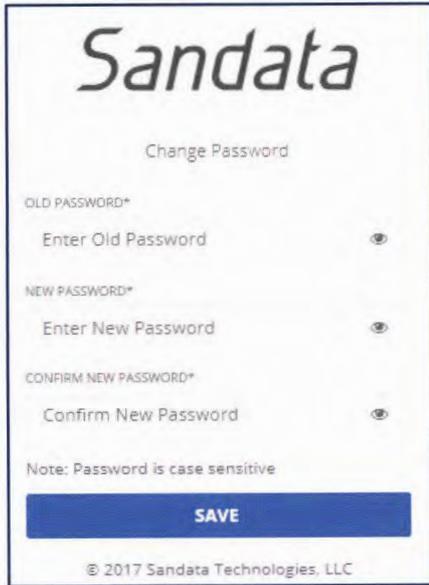
EMAIL ADDRESS
Enter Email Address

RESET PASSWORD

[Back to Login](#)

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3. Click **RESET PASSWORD**. The system sends an email with a temporary password.
4. Click **Back to Login**. The *Login* screen displays.

The screenshot shows the Sandata Change Password interface. At the top is the Sandata logo. Below it is the heading "Change Password". There are three password input fields: "OLD PASSWORD*" with the placeholder "Enter Old Password", "NEW PASSWORD*" with the placeholder "Enter New Password", and "CONFIRM NEW PASSWORD*" with the placeholder "Confirm New Password". Each field has a small eye icon to its right. Below the fields is a note: "Note: Password is case sensitive". At the bottom is a blue "SAVE" button and a copyright notice: "© 2017 Sandata Technologies, LLC".

5. Enter the temporary password in the **OLD PASSWORD*** field.
6. Create and enter a new password in the **NEW PASSWORD*** field.
7. Re-enter the password in the **CONFIRM NEW PASSWORD*** field.
8. Click **SAVE**.

Navigating Sandata EVV

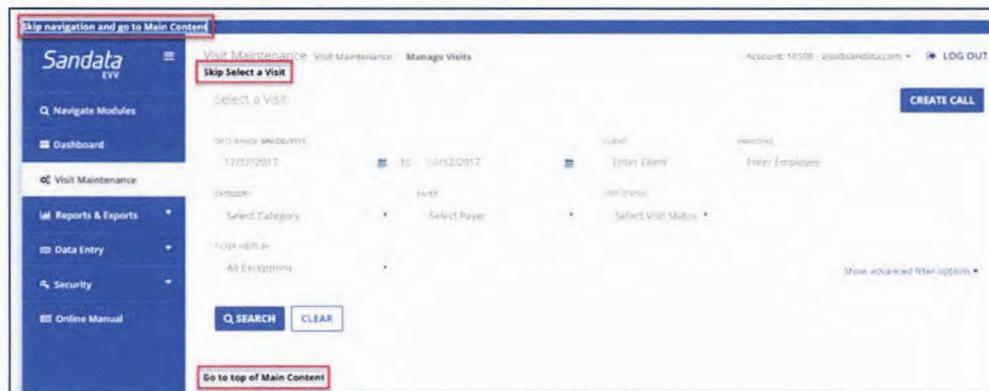
After successful login, the *Dashboard* screen displays.



ADA Navigation Support

Sandata EVV can be navigated using only the keyboard. It is also Job Access With Speech (JAWS) Reader compliant. Below is the *Visit Maintenance* screen. The *Visit Maintenance* screen displays immediately after log in.

1. Using the <Tab> key to move through the system, the links below display individually. They allow you to skip the navigation options and begin with the main content.



2. Clicking **Navigate Modules** on the *Navigation* panel opens the **Navigate Modules** field. This allows users to jump between screens by typing the name of the screen in the field. A link to the screen displays below the field. Click the link to navigate to the page.



- To accommodate users that require more time, when a user remains idle for specified period of time, the system displays a warning message asking if they require more time. If the user does not respond to the prompt within 2 (two) minutes, Sandata EVV automatically times out.



Common Functions of Sandata EVV

This section describes common functions within Sandata EVV. Here is an example with the different items that are typically displayed.

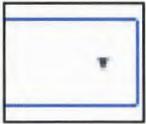
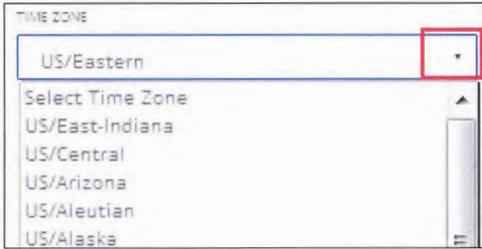


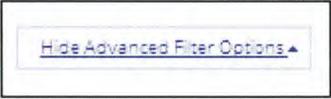
The screenshot shows the 'Manage Visits' interface. It includes a search and filter section with various dropdowns and buttons, and a table of visit records. Red callout numbers 1 through 16 point to specific UI elements.

Client Name	Employee Name	Service	Visit Date	Call In	Call Out	Call Hour	Adjusted In	Adjusted Out	Adjusted Hours	Bill Hours	Visit Status	Do Not Bill	Actions
Kellerman, Sydney	900-12-3456		10/06/2017	03:32 PM							Incomplete		
Kellerman, Sydney	900-12-3456		10/06/2017	03:40 PM							In Progress		

Common Functions in Sandata EVV

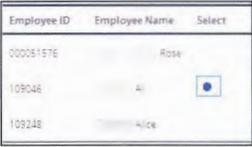
Here is a list of items commonly found in Sandata EVV.

Item	Name	Description
1. 	Navigation Path	System and which screen is displayed.
2. 	Account and User Display	Displays the account the user is logged into and the username/email address of the user currently logged in. For more about these fields, see the section Sandata Header.
3. 	Log Out Button	Logs the user out of the system and displays the log-in screen.
4. 	Calendar Icon	Clicking this icon displays a calendar from which the user selects a date. 
5. 	Show List Icon	Located in list fields, clicking this icon displays the list. 
6. 	Save Settings Button	When advanced filter settings are displayed, this button will save selected search fields so that they will be displayed again at the next user login.
7. 	Reset Button	If search settings have been saved, this button will clear them.

	Item	Name	Description
8.		Show/Hide Advanced Filter Options	On screens enabled for searches, clicking this link shows or hides any advanced filters that are available.
9.		Search Button	Executes a search.
10.		Clear Button	Clears a search field or series of search fields.
11.		Page Listing	This provides a button to go to the start and end of a list, along with the ability to display any individual page of the list.
12.		Number of Items per Page Setting	This setting allows users to select how many rows of a list are displayed on each page.
13.		Page Contents	This results display is shown on pages on which there are either lists or search results. Located at the top and bottom of each page, the results display shows the list entries displayed on each page, as well as the total number of rows in the list.
14.		List Sorting Icon	Located in lists and reports, users can sort the contents of a list by any column that has this icon in its header. Click to sort in ascending or descending order.
15.		Exception Indicator	When viewing search results for visits, any field marked by a red dot indicates data that is missing.
16.		Edit Button	Opens an individual record with its fields in an editable state.

Additional Buttons and Icons

The following buttons are frequently displayed throughout the Sandata system:

Button	Function	Description
	Add Button	Clicking this button adds another row to a listing.
	Cancel Button	Cancels an operation and closes the screen.
	Check Box	Filling a check box enables a feature, clearing it disables it.
	Clock Icon	In fields that require a time to be entered, clicking this icon allows the user to select a time. 
	Create Button	Creates a new item in any list.
	Delete/Terminate Button	Moves an item/user to “Inactive” status. The User is prompted to confirm.
	Finish Button	Completes and terminates a task.
	Lock Icon	Displays the password to help with log-in and password entry.
	Play Icon	Starts a playback of the client Voice Verification recording.
	Radio Button	Radio buttons allow the user to select one or more items from a list.
	Reactivate Button	Moves and item/user to “Active’ status. User is prompted to confirm.
	Record Button	Pressing this button begins the client voice recording during the SMC call-out process.
	Refresh Button	Refreshes one or several fields on a screen, usually search fields.

Button	Function	Description
	Save Button	Located in <i>Data Entry</i> fields, this button saves the information that has been entered.
	Show Information Icon	Clicking this icon displays additional information about a system field. For example, at the login screen clicking this icon displays a password being typed in. 
	Stop recording Button	Pressing this button stops the client voice recording during the SMC call-out process.
	Terminate Button	This button moves either a client record or an employee record to “Terminated” status.

Sandata Header

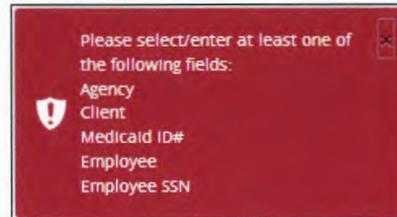
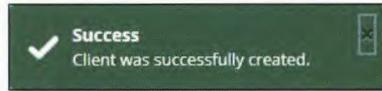
This header is located at the top of every screen in the Sandata EVV. It displays key information about each screen along with functionality to navigate between modules or to log out of the system.



	Function	Description
1.	Navigation Path	This field shows a user the exact location in the system and the current screen.
2.	Account and User Display	<p>Displays the account the user is logged into and the username/email of the user currently logged in.</p> <p><u>Moving Between Multiple Accounts</u> Click the small arrow icon alongside the user name to display a list of accounts for which the user is authorized to access. Selecting the account number moves the user to that account without having to log out and log in again.</p> <hr/> <p> A user must have permissions to log into more than one account and the username must be the same across all accounts</p> <hr/> <p>The account the user is currently logged into is indicated by a check box.</p>
3.	Log Out	Logs the user out of the system and displays the login screen.

Confirmation and Error Messages

Confirmation and error messages are displayed at the top, center of the screen.



Assignment Buttons

These buttons are displayed whenever a screen has settings that require moving items between **Available** and **Assigned** fields, for example in the Security settings. The buttons allow single or multiple items to be added or removed.

Button	Function	Description
	Add All	This button moves all items from the Available field to the Assigned field.
	Add Item(s)	This button moves single or multiple items from the Available field to the Assigned field. Click on multiple items to add them together, if necessary.
	Remove Item(s)	This button moves single or multiple items from the Assigned field to the Available field. Click on multiple items to add them together, if necessary.
	Remove All	This button moves all Items from the Assigned field to the Available field.

Learning Management System Self-paced Learning Registration Quick Reference Guide

To sign up for eLearning, follow the steps below:

1. Open a web browser (Internet Explorer, Mozilla Firefox or Google Chrome) on your computer.
2. Type eLearning enrollment URL in the browser address bar:
[\[enrollment link\]](#)
3. Complete the fields in the **Sign Up** section of the screen
 - a. First Name
 - b. Last Name
 - c. Email address
 - d. Password (password must be at least 8 characters long and include at least 1 number)
 - e. Phone
 - f. Agency Name
 - g. Provider Medicaid ID

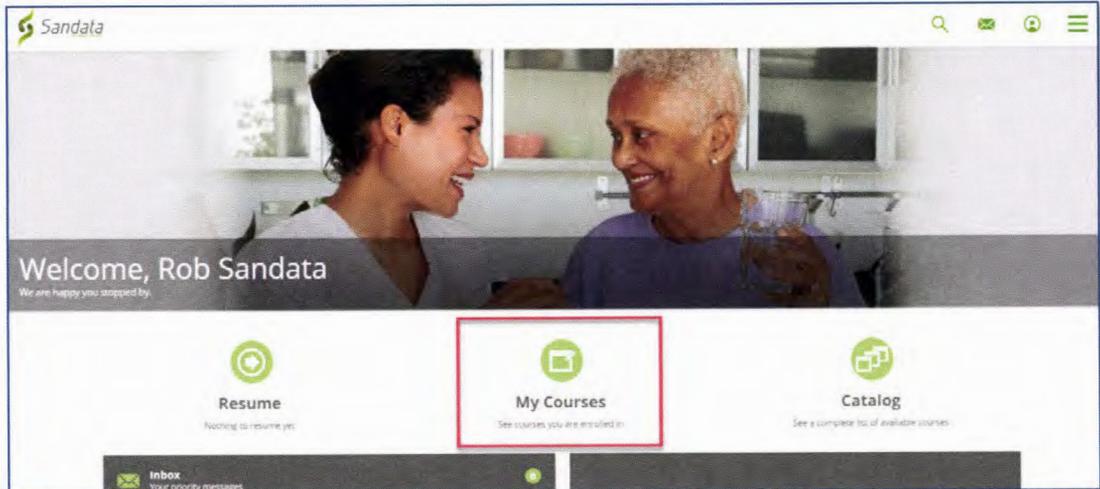


The screenshot shows a 'Sign Up' form with the following fields and labels:

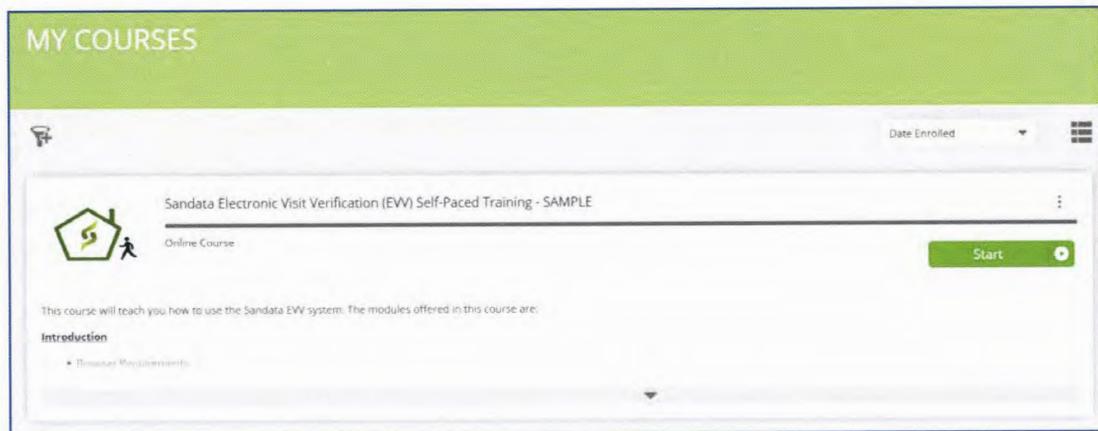
- First Name** (Required)
- Middle Name**
- Last Name** (Required)
- Email** (Required)
- Password** (Required)
- Re-enter Password** (Required)
- Agency Name:** (Required)
- Provider Medicaid ID #** (Required)

A green 'Sign Up' button is located at the bottom of the form.

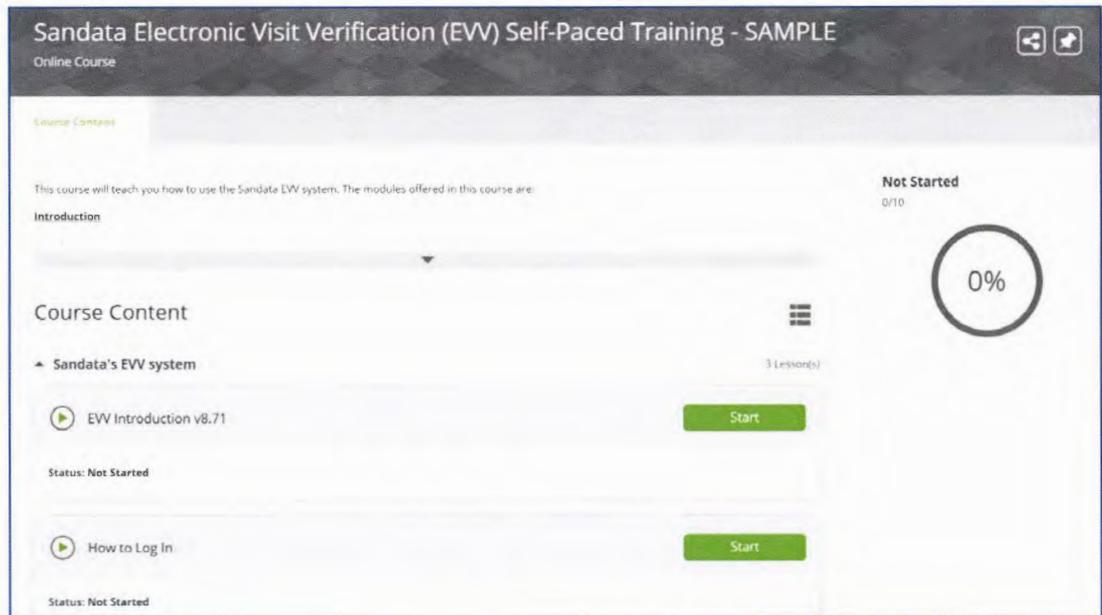
4. Click the **SIGN UP** button.
5. The *Sandatalearn* homepage will display.
6. Click on **My Courses** to view the available course.



7. Click the course name or the **Start** button to open the course.



8. Click the **Start** button to start the session. (**Note: Sessions must be completed in order. When one session is completed, the next session is unlocked for review.*)

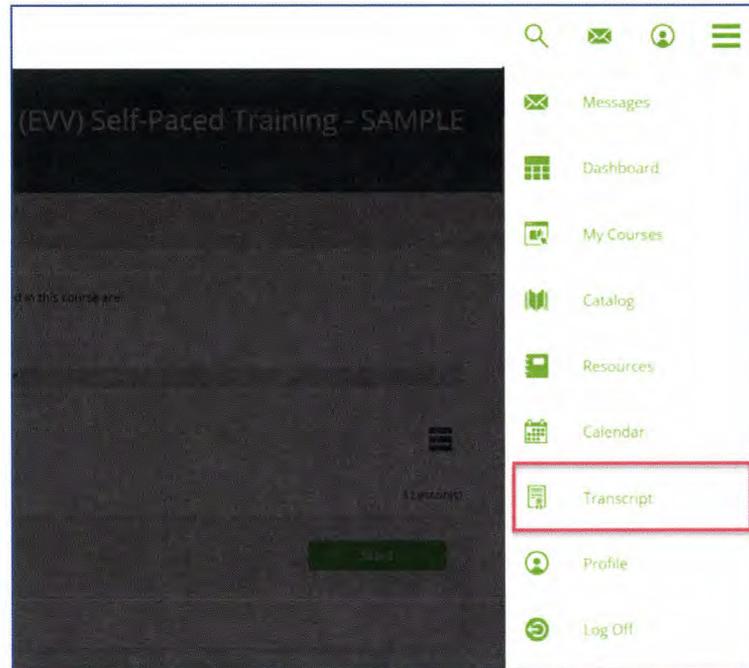


9. Click the 'Play' button in the center of the screen to play the video.



Upon completion of all sessions, the lesson progress will show a status of "COMPLETED"

10. To access the completion certificate, click on the menu bar in the upper-right corner of the screen and choose the **Transcript** option.



You may log in to Sandata Learn at any time to review course materials by going to: <https://sandatalearn.com> and entering your login and password.

SAMPLE Weekly Status Report:
Client ABC EVV Program

07/12/2018



Overall Project Status:

Status: **On Track**



Updates & Issues	Upcoming Milestones	Date
<ul style="list-style-type: none"> Reminder : Program Launch Date is May 6, 2019 ! BSD document being revised for finalization --> approval --> sign-off. Technical Specification Discussions continue. Outreach/ Training/ Policy/ Device workstream activities are underway. 	<ul style="list-style-type: none"> BSD sign off Claims Validation meetings/ reviews TDD submission for initial review BSD Addendum submission for initial review 	<ul style="list-style-type: none"> July ongoing late July July

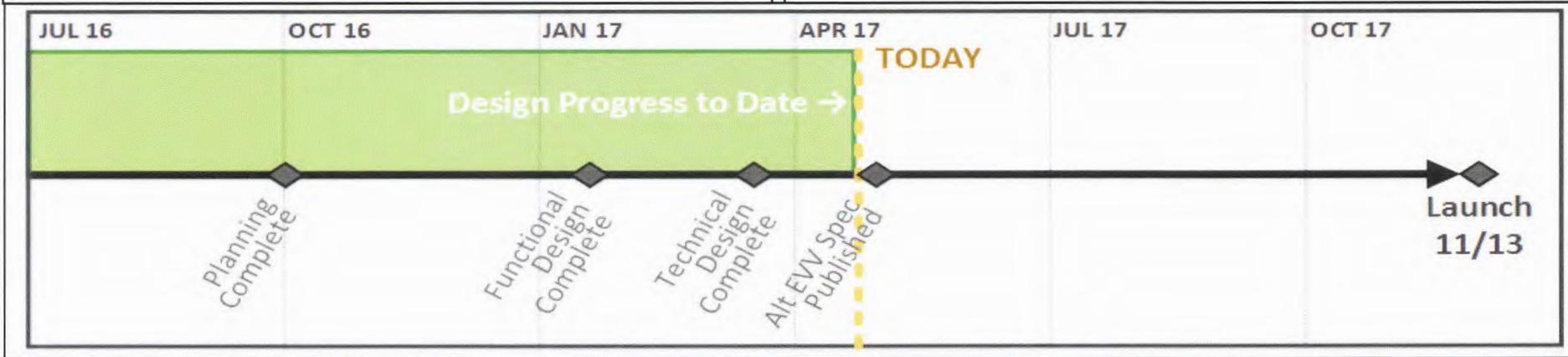
1. Technical Design & Specifications

Status: **On Track**

Updates & Issues	Next Deliverable	Date

- Revisions to BSD underway for final approval.
- Claims Validation Specification revisions continue. Reviews in process. Tech design docs in process of being updates; to be submitted for review and approval process.
- Completed initial Technical Specs discussions for: EDW, Alt EVV, DODD, ODA.
- scheduling in process for remaining interface sessions.

- BSD Finalization and sign-off in process
- Forward Responses from Stakeholder Review Questions to group 7/12/18
- Submit draft of BSD Addendum for initial Client ABC review Week of 7/16
- Claims Validation Reviews in process July 2018
- Submit Updated Technical Design docs for Review week of 7/23



2. Outreach & Communications

Status: **On Track**

Updates & Issues

- Feedback received and combined for Provider Introduction Letter. Will be sent to providers week of 7/23.

Next Deliverable

- | Next Deliverable | Date |
|--------------------------------------|-------------|
| • Next meeting | 7/23/2018 |
| • Weekly meetings starting in August | August 2018 |

3. Policy

Status: **On Track**

Updates & Issues

Next Deliverable

Date

- Meetings to discuss parameters for group visits went very well. Notes, questions and group visit matrix distributed to Policy workstream participants.
- Received group visit scenarios from payers.

3. Customer Care & Support

Status: **At Risk**

Updates & Issues

- Workstream meetings confirmed - using existing timeslot.
- Revised Alternate EVV Troubleshooting Templates.
- Awaiting Outreach Communication Schedule.
- Awaiting Training Schedule.

Next Deliverable

- Revise Welcome Kit Troubleshooting template
- Finalize Staffing Plan

Date

7/27/18
ASAP

4. Provider Training

Status: **On Track**

Updates & Issues

- Currently working on classroom/webinar calendar to be finalized by mid-August.

Next Deliverable

- Next meeting
- Weekly meetings starting in August

Date

07/25/18

5. Quality / User Acceptance Testing

Status: **On Hold**

Updates & Issues

- UAT activities will follow completion of Technical Design and Development.

Next Deliverable

- Develop test cases for UAT

Date

10/01/18

6. CMS Certification

Status: **On Track**

Updates & Issues

- Remaining R2 documents and checklists have been submitted and are currently under review.

Next Deliverable

- R2 milestone review

Date

09/28/18

NARVELL NEVES, DIRECTOR OF ACCOUNT MANAGEMENT

Ms. Narvell Neves has 20 years of prolific management and development experience spanning the healthcare, political, and union industries. A resourceful and accessible leader, Ms. Neves possesses a proven ability to create new organizational frameworks, pursue new ideas, and exceed expectations. As Director of Account Management, Ms. Neves's chief responsibilities include developing and maintaining successful relationships with clients, handling crisis situations, and strategizing retention efforts.

- Development
- Leadership
- Product Launches
- Customer Service
- Strategizing
- Crisis Situations
- Goal Setting
- Communications
- Client Relationships

Sandata Technologies, LLC, Port Washington, NY

2014 – Present

Director of Account Management

- Analyzes the Account Management team's activity and provides executive reporting on accomplishments.
- Develops deep and lasting relationships with key players in the largest enterprise accounts including executive staff, middle management, and individual contributors.
- Handles difficult escalations and crisis situations.
- Coaches and professionally develops direct reports regarding strategies to improve customer satisfaction and relationship development.
- Monitors customer health, develops strategies to drive retention, and provides forecasts.
- Develops aggressive targets; manages to weekly, monthly, and quarterly engagement quotas; and oversees associated incentive comp plans.
- Collaborates with teams from Business Development, Product Marketing, and Technology to identify and prioritize new platform features and tools that maximize customer return on investment and satisfaction.
- Launches enhancements and new products as well as tracks adoption of these new capabilities by the customer base.

SciQuest, Houston, TX

2013 – 2014

Business Solution Consultant

- Served as the business/functional advisor to clients.
- Responsible for translating business requirements into solution requirements and driving the overall delivery of the solution.
- Initiated relationships with clients to sustain a strong business relationship, leading to high client satisfaction, the retention of existing business, and the development of new business.
- Spearheaded the creation of the functional solution specifications and configured the solution based upon business requirements.

Allscripts Healthcare Systems, Raleigh, NC

1996 – 2013

Manager of Implementation (Global)

2011 – 2013

- Managed the Payerpath insurance claims processing implementation team for the Pro PM, Enterprise PM, and Vision application.
- Provided guidance and direction to consultants to further consultant goals and objectives, including reaching billable percentage targets and obtained desirable scores for the NET Promoter program.
- Oversaw client projects where consultant issues were escalated to management.
- Focused on Root Cause analysis and worked to improve the implementation process.
- Held biweekly departmental meetings to ensure cross contact with implementation worked in unison for a positive client experience.
- Hired, evaluated, mentored and set measurable goals for the Implementation team.
- Provided tactical leadership and support to regional consultants and assisted in planning and implementation.
- Managed daily activities for multiple projects as well as issue resolution and communication across project teams.
- Delivered new hire/existing consultant training in conjunction with role-based and product-related topics.
- Assisted the product development department in deployment and the focus of enhancement features needed for the Enterprise product.
- Created and updated Standard Operating Procedures.

EDUCATION

University of Texas at Austin, B.F.A.

1987

REFERENCES

Dr. Darryl Washington
Director of Long term Care and Supports
231.933.4917

Lee Forbes – Texas AFL CIO
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Vanessa Jones - Microsoft
Sr. Federal Customer Success Manager
817.832.5146
vajones@microsoft.com

TYWANDA P. HURT, DIRECTOR PAYER IMPLEMENTATION

Ms. Tywanda P. Hurt is a motivated Project Manager with 10 plus years of IT Project Management, Program Management, Document Management, Coordination, and Business Analysis experience. Ms. Hurt has a rich background in participating in organizing groups in business and formal settings; strong relationship management skills among internal / external customers; and a solid understanding of Software Development Life Cycle (SDLC) through Waterfall Methodologies. A skilled communicator with excellent interpersonal, and senior leadership qualifications, as Project Manager Ms. Hurt works to establish a rapport and maintain communication with stakeholders at multiple levels. As Director of Payer Implementations, Ms. Hurt's chief responsibilities include leading and overseeing complex, statewide implementation projects for payer customers as well as directing staff to ensure successful project deliveries.

- Project Management
- Business Management
- Bizagi Process Modeler
- Implementation
- Business Analysis
- JIRA
- Budgeting
- Communication
- Training

Director, Payer Implementation, Sandata Technologies, Port Washington, NY **2019 – Present**

- Implements home health software for providers, state agencies, and Managed Care Organizations (MCOs).
- Leads and oversees complex, statewide implementation projects for payer customers.
- Directs a team of professionals, including project managers and workstream staff, to ensure successful project delivery.
- Responsible for directing project managers / workstream staff for all software product deployments.

Sr. Project Manager, South Carolina Dept. of Health and Human Services, Columbia, SC **2016 – 2019** **(Contractor)**

- Responsible for oversight duties including directing and managing vendor project managers and technical teams to deliver high-value, collaborative solutions.
- Establishes and implements project management processes and methodologies for the IT organization to ensure projects are delivered on time, within budget, and in accordance with the business objectives.
- Develops project plans and schedules in accordance with agency standards and project deliverables.
- Directs and monitors work efforts; identifies, assigns and manages project resources; and performs quality reviews.
- Works with project stakeholders, SMEs, the testing team and implementation team to ensure projects are delivered on time and within budget.
- Identifies and tracks key project milestones for management reporting.
- Identifies and manages risk and issues throughout the life of the project using experience working with risk management, including risk triggers and managing risks to project plan tasks and develops and implements risk responses.
- Coordinates project estimates and budgets with Contracts Management that is reported to the Center of Medicaid and Medicare Management Services (CMS- Federal Agency).
- Uses extensive knowledge and expertise in project management methodologies and tools such as Share Point, Project Web Applications, resource management practices, and change management techniques to provide structure, control and visibility to project management and reporting activities.
- Implemented the agency's first RMMIS project with a major pharmacy vendor that included enhancements to existing services that include system code enhancements, policy updates, rate changes and assisting with Center of Medicaid and Medicare Management Services (CMS- Federal Agency) Certification.
- Collaborates with outside vendors, state agencies, internal Agency Directors, the Chief Information Officer, and project team members to ensure projects are successfully delivered.
- Leads and directs key strategic and transformative initiatives including: Disaster Recovery, Conversion to Voice Over Internet Protocol (VOIP) Telephony System for all county offices, and a \$33 Million Eligibility Processing Center Project.
- Prepares and presents project executive status reports.
- Assists the PMO director with developing and updating training materials on current and new processes.
- In the absence of the PMO Director, facilitates bi-weekly Scrum team meetings, manages and leads Project Managers, Project Coordinators, the Business Analyst, and the Testing Center of Excellence (TCOE).

Manager, Business Configuration Analysis, Aflac Group, Columbia, SC **2015 – 2016**

- Effectively managed the Business Configuration Analysis Team to prepare for the development of the new Group Administration platform.
- Analyzed business needs and configured system capabilities to distribute work effectively.

- Duties included: Working with the CCA Acceleration team to document action items, provide recaps and build project plan for workstreams e.g. Change Management, Resource Planning, Training, and Productivity Management.

Project Manager II, South Carolina Dept. of Health and Human Services, Columbia, SC **2014 – 2015**

- Led, developed, and implemented portfolio projects.
- Managed a staff of 3 Project Managers and 1 Project Coordinator, whom managed between 2 to 4 projects concurrently.
- Developed and submitted weekly status report for Upper Level Management and Executives to review.
- Directed Agency project teams to implement project objectives and scope by reviewing the Code of Federal Regulations, CMS guidance, and related matters to determine timelines, available funding, and phases of the project life cycle.
- Analyzed and developed / maintained quality management processes.
- Mitigated and prioritized risk with the project teams to ensure data was transmitted properly from the old to new format.
- Coordinated development and testing activities for projects with overlaps and dependencies.
- Served as Oversight Project Manager to manage and work with the agency architect, internal and external technical team to move current data from the old translator to new internal translator and ICD-10 EDI enhancements.
- Worked with six managed care organizations along with their technical teams and vendors to ensure all requirements were implemented as scheduled and within budget.
- Assisted in identifying opportunities for business process improvement based on analyses of existing business processes.

Blue Cross Blue Shield of South Carolina, Columbia, SC **2010 – 2014**

Project Manager / Project Leader **2012 – 2014**

- Successfully managed medium and larger complex projects within the Commercial Program Management Office Information Technology area.
- Managed the budget and cross-functional teams in a complex matrix environment.
- Developed and submitted weekly status reports to the Project Team, Customers, and Upper Level management to review.
- Implemented the \$1.5 Million Pharmacy - Caremark upgrade platform that included the following changes - Claims, Membership, Reporting, Websites, and Rates; and 85 team members including the Customer Line of Business, IT Development Team, Business Analyst, System Designers, Software System Designers, Architects, SMEs Testers, Customer Testers and External Vendor project team members.
- Provided executive project status to the Chief Information Officer, Associate Vice Presidents, Directors and Managers with the Information Technology organization.
- Served as Customer Project Manager to work with Technical Project Managers to develop and implement a new Procurement System.
- Developed project plans, tracked key milestones, and adjusted project plans and / or resources to meet customer needs.
- Managed and assisted with developing project artifacts.

Project Manager / Project Leader (Contractor) **2010 – 2012**

- Successfully managed multiple small to medium complex technical projects within the Commercial Program Management Office Information Technology area.
- Led and implemented key initiatives including updates to Claims and Membership for Blue Choice, National Alliance and Companion Life; Project Team members included the IT Development Team, Business Analyst, Tester, Test Designer, SME's, Customer Testers, System Designer, and outside vendors.
- Created and executed project plans for all projects as well as assigned and updated tasks within the project plan.
- Monitored actual and planned hours / estimates and took corrective action when necessary to keep metrics aligned.
- Scheduled and facilitated I/S Engagement Meetings, Joint Application Development (JAD) session and Requirements gathering meetings with the Project Team.
- Managed and assisted with developing project artifacts including Scope / Design Document, Test Plan, Issue and Risk Logs, Release Management Schedule, and Change Control Request.
- Managed project resources and cost associated with each task in the project schedule.
- Attended Senior Management Review meeting to report the status of all projects.
- Created and managed Project Artifacts for each phase of the project life cycle.

EDUCATION

M.B.A, M.S., Webster University
 Graduate Certificate, Project Management, Furman University
 B.S., Business Management, South Carolina State University

REFERENCES

Troy Penny, Vice President of Information Technology
Harsco Rail
124 Beaver Dam Road
Columbia, South Carolina 29223
Mobile: 803-920-4146

Jeremy Faulkenburg, Deputy Chief Operating Officer (Provider, Claims, Transportation, Reference Administration Services)
South Carolina Department of Health and Human Services
138 Wexhurst Drive
Columbia, SC 29212
Mobile: 803-445-8506

Stephanie D Hall, Principal Consultant
Blue Cross and Blue Shield of South Carolina
320 Nava Wren Road
Blythewood, SC 29016
Mobile: 803-240-2870



TIMOTHY NYBERG, VICE PRESIDENT OF IMPLEMENTATIONS, PAYER

Mr. Nyberg is a client-facing project manager with 10 years of healthcare technology experience and 15+ years of software development background. He has led technical teams in developing and implementing data-driven healthcare programs for multi-million dollar governmental and commercial clients. Mr. Nyberg is experienced in agile project design, with a focus on quality improvement, data analytics, and web service delivery and holds certifications in Project Management and Agile Team Leadership. He is certified as a Six Sigma Green Belt.

- Six Sigma Green Belt Certified
- Agile Team Leadership (Kaban and SCRUM)
- Recognized as a McKesson Distinguished Achiever nominee for 2014
- Agile IT Project Management
- Remote Team Management, Collaboration, and Leadership
- Customer relationship management
- Web service development and deployment

Director of Implementations, Payer, Sandata Technologies, LLC, Port Washington, NY 2015 – Present

- Leads and oversees complex, statewide implementation projects for payer customers.
- Directs a team of professionals, including project managers and work stream staff, on all software product deployments and ensures successful project delivery.
- Manages the schedule, delivery, scope, and communications for the implementations for the State of Connecticut's Department of Social Services Electronic Visit Verification ("EVV") implementation (providing EVV and billing delivery for 60+ services, 400 agencies and 19,000+ clients).
- Works closely with representatives from the State of Connecticut to manage the schedule, scope, and expectations for the project, as well as change control management for modifications that arise.
- Communicates project statuses and issues to state representatives and internal Sandata leadership.
- Collaborates closely with the State of Connecticut's EVV program representatives and participates in design and functional walk-throughs, facilitating an understanding of system behavior and how it applies to the state's program.
- Develops dashboard reporting to help the program leadership team visualize and understand the progress of the EVV project, and the adoption of the system by provider agencies.
- Produces process visualizations and presentations to effectively communicate proposed changes and enhancements to the organization's delivery platform.
- Works with the project implementation teams to define roadmap goals for the company, facilitates sessions with teams to ensure progress, understand impediments, and identify ways to overcome challenges.
- Responsible for coordinating project initiatives and efforts within the team.
- Leads the effort to standardize the deployment of new, GPS-based mobile visit verification ("MVV") system for providers and payer programs.

McKesson Corporation, Westminster, CO

2006 – 2015

Senior Manager, Client Services Development, AccessPoint Health (formerly McKesson) 2015 – 2015

- Responsible for communication with and support of clients for all AxisPoint Health Services programs (nurse advice, disease management, and complex case management).
- Worked directly with client's technical and clinical representatives to design programs that met their needs and exceeded expectations.
- Provided direction to multiple development teams which supported and enhanced program responsiveness and agility.
- Responsible for the data loading systems for all Services programs, which handled 25+ million members and 350+ million claims records annually.

Technical Implementation Manager, Service Delivery

2012 – 2015

- Primary technical resource for launching new client service programs, as well as supporting changes to existing client relationships.
- Managed a team of analysts and developers, all working on innovating our program design, data intake, and web portal offerings.
- Led the design and implementation of a web-service based program for large governmental client (3+ million members) providing integrated, real-time data delivery to client systems.
- Managed the first implementation of our web-service integration suite to deliver health information between nurse advice and case management platforms in near real-time.
- Successfully launched disease and complex case programs for 12 clients, ranging from small commercial carriers to large (2+ million member) state Medicare organizations.
- Supported and led the development and deployment of provider and member-focused web portals for nine separate clients, covering over 2 million members and 120,000 providers.

Technical Implementation Manager, Quality Manager

2011 – 2013

- Introduced a system for data profiling and analysis of client data in near real-time, enabling program design, development, and launch times to be reduced.
- Implemented an agile, collaborative, Kanban approach for service development efforts, which reduced support times by 35% and new defect rates by 25%.
- Responsible for 12-15 QA engineers and test automation developers focused on the testing and validation of multiple product lines, and the creation of automation suites for each product line.
- Spearheaded the introduction of automated testing into our development practice, began the use of consistent smoke and regression automation suites for all builds of our products.

EDUCATION

Colorado State University, Bachelor of Science, Computer Science

2004

REFERENCES

Sandra Wiggins
Senior Program Manager

AxisPoint Health
11000 Westmoor Cir
Westminster, CO 80021
(800) 388-0090
Sandy.Wiggins@axispointhealth.com

Shane Dombowsky
Manager - Automation Technology Group
Testing Center of Excellence

Kaiser Permanente
Care Delivery BIO
2 Greenwood
6560 Greenwood Plaza Blvd.
Greenwood Village, CO. 80111
Shane.R.Dombowsky@kp.org

KEVIN LA CARRUBBA, SENIOR DIRECTOR, USER ACCEPTANCE TESTING (UAT)

Mr. La Carrubba is a Dedicated Senior Consultant with over 19 years of experience in Solution Engineering, Project/Program Management and Quality Assurance. Mr. La Carrubba's experience as a consultant afforded him an opportunity to work with a diverse set of clients and applications across a multitude of systems and applications on various platforms. He has completed several successful projects from the analysis and proposal stages through deployment. Mr. La Carrubba has extensive experience managing various engagement models (including offshore), mentored clients on quality and project management techniques and worked with executives, management and professionals at all levels.

- Operating Systems - Windows 7/2000/XP/8.x, 10.x, Linux, Unix, DOS, Windows Server
- Languages - Visual Basic, C, Java, JavaScript, XML
- Databases - SQL Server, Oracle, Sybase (SAP)
- Software - HP (Mercury) Performance Center / LoadRunner (Familiar and have utilized 80% of LoadRunner protocols), HP Quality Center / ALM, HP UFT / QTP / HP Sprinter, Selenium, IBM/Rational Suite Enterprise, Rational Suite Test Studio, Rational Suite Performance Studio, Rational Team Test, Rational ClearQuest) Wily, Dynatrace, NIKU apps, VitalSigns, and more.

Senior Director – User Acceptance Testing, Sandata Technologies, LLC, Port Washington, NY June 2018 – Present

- Responsible for development of UAT Test Strategy/Plans for each payer client
- Develop UAT Test Cases/Scenarios
- Develop Test Data Management Strategy
- Work with Sandata EVV Implementation Manager to obtain overall UAT process/tools/cadence/resources/schedule agreement
- Train Clients' UAT resources as necessary on UAT and on how to use the application under test (AUT) so they can execute UAT with guidance
- Handle Defect/Change Request/Enhancement Request Triage and coordination of new software builds to be tested between the Client and Sandata
- Obtain UAT Sign-Off from payer clients

Senior Project Manager, QA/UAT Manager and SDLC Mentor, World Education Services, NY 2013 – 2018

- Re-Design and re-launch of client's customer facing and internal supporting applications into a single application onto a .NET platform. I was brought in 3 years after the engagement started to assist with guiding the project on a successful pathway to completion.
- Assessed re-design/relaunch of moving multiple systems to a single .NET platform project issues and presented the client with a multiple optioned proposal to successfully complete their goals.
- Fielded and resolved internal problems between vendors and internal staff including contract re-negotiations with selected off-shore development team and original application development company.
- Established enforceable measures for future compliance especially in the areas of requirements, use case development, change requests and QA/UAT.
- Managed budget and resources (varying pool of about 50 resources) across entire project spectrum including establishing communication protocols, reporting standards and enforcing change requests.
- Assisted client with building a custom QA Methodology for their organization as the development team was originally slated to perform all QA.
- Organized and led UAT efforts with actual QA test cases and Ad Hoc test cases.
- Suggested purchase and implemented Quality Center/ALM & connected with Jira (off-shore team was utilizing Jira) via API as a test/defect/requirement management tool and trained appropriate staff
- Introduced iterative testing to development team and business teams which greatly reduced development/testing phase lifecycles. Implemented and utilized UFT/QTP and Selenium for automated functional testing and LoadRunner for performance testing.

Senior Performance Engineer/Project Manager, Keynote Systems, Inc., NY

2013 – 2013

- Large scale AWS cloud based performance testing (30,000,000 sessions and above per hour with break point analysis) via the cloud with custom internal performance, debugging and analysis tools to assist our Fortune 500 client base. (Utilized AWS, Akamai, Azure, SOAP, Linux, Custom Java Test Scripting, Cloud based apps, Datacenter based apps, redundancy testing, back end database testing including: SAP, Oracle, SQL Server)

- Performed client test requirements analysis via analysis of server logs, traffic history and client interviews.
- Developed proposals, test plans and worked closely with client to accurately model user behavioral variables.
- Wrote custom coded test scripts to replicate end user behavior
- Led and executed performance tests, often with executive management, AWS, Akamai and the client's support. Assisted clientele with root cause analysis when issues would occur.
- Worked heavily with user attrition and dissatisfier variables to accurately replicate end user behavior.
- Notable clients included: Best Buy, Best Buy Canada, SEC, Kohl's, Discover, USPS, Walmart, Sears, K-mart, Chase, The Food Network, Federal Reserve, McDonalds, Microsoft, Juicy Couture and the Washington Post

Project Manager, The Jones Group, NY

2011 – 2013

- Participated in upgrade from client's existing PLM system to Siemens Product Lifecycle Management (PLM) / PeopleSoft Upgrade
- Successfully managed all pertinent teams through elaboration, development, integration, testing and release across several of The Jones Group businesses. (Team size ranged from 50 -100 throughout the engagement including offshore resources)
- Key owner/planner/executor of QA including performance and functional testing and UAT

QA Project Manager, Coach, NY

2011 – 2011

- Installation and Integration of Oracle RPAS - Retail Predictive Application Server (Oracle, AIX, Netezza, CS2000, Flex PLM, .NET)
- Responsible for overall quality control, assurance and coordination across 4 QA teams including offshore resources, multiple development teams and an architecture team. (Led a QA team of 50+ resources across several departments)
- Accenture run project, but I owned the QA Methodology including UAT ownership and execution along with authority to change vendor's QA methodology as I saw fit for the client.
- Developed and executed Data Migration Testing Strategy
- Worked proactively with the business to define and execute Integration and End to End Test Scenarios and Conditions

QA Manager, Emblem Health, NY

2009 – 2011

- Managed QA project plan for upgrade and integration of multiple CRM systems, including staff and overall testing deliverables.
- Responsible for performance/functional/integration/end-to-end/UAT

Senior Performance Test Consultant, Keynote Systems, NY

2008 – 2010

- Large scale AWS cloud based performance testing (30,000,000 sessions and above per hour with break point analysis) via the cloud with custom internal performance, debugging and analysis tools to assist our Fortune 500 client base.
- Analyzed, defined, developed and executed extremely sizeable performance tests for multiple high profile clients.
- Assisted with root cause analysis and re-testing to ensure client readiness.

EDUCATION

Bachelor of Arts, Political Science/Business, SUNY Albany

REFERENCES

Michelle Ortega
 Business Analysis/Information Testing
 DXC Technology – Indiana EVV Project
 Email: michelle.ortega@dxc.com
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Amanda Stringer
 Project Manager
 DXC Technology – Colorado EVV Project (Phases 1 and 2)
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 719-964-9525

Jason Marshall
 EPMO Sr. Director
 973-444-8401

JOHN R. KALIVAS, SENIOR DIRECTOR, PAYER SOLUTIONS

Mr. John R. Kalivas has over 18 years of technical experience coupled with unparalleled client relationship skills. Throughout his career, he has served as the technical consulting lead, led project management efforts, defined strategic direction, and cultivated strategic customer partnerships. Mr. Kalivas has an impressive history of providing strategic evaluations of current and future needs, including business gap analysis, information technology (IT) architecture, systems user interface design, and product needs. In his role as Senior Director, Mr. Kalivas is a liaison between the implementation programs and the solutions design teams (product definition and software development). He understands the abilities and limitations of Sandata's solutions, and works with our customers and project management teams to define the configurations and behaviors needed to meet the customer's needs.

- Information Technology
- Client Retention
- Implementations
- Leadership
- Conflict Resolution
- Communications
- Product Support
- Strategic Evaluation
- Staff Hiring

Sandata Technologies, LLC, Port Washington, NY

2018 – Present

Senior Director, Payer Solutions

2019-present

- Works closely with departments across the organization to coordinate program configuration and definition.
- Performs technical investigations into system behavior, evaluating against client needs and contractual requirements.
- Ensures consistency with company strategy, commitments, and goals.
- Collaborates with solutions design and technical teams to provide client feedback and possible future solution needs.
- Acts as Management Leader for System Configuration, User Acceptance Testing and System Integration team members.

Director of Client Engagement

2018-2019

- Performs technical investigations into system behavior, evaluating against client needs and contractual requirements.
- Works closely with Product, Technology, Sales and Operations to finalize the details of the program solution and ensure successful outcomes, including financial, operational and customer satisfaction.
- Review the definition of program scope, goals, and deliverables
- Develops expertise as the hub of knowledge for all Sandata product offerings
- Collaborate with existing implementation team to align core Sandata solutions offerings to client needs across all clients.
- Assist and support project implementation team(s) to complete business rules definitions.
- Ensures timely sign off on all requirements and deliverables for the program (client facing).
- Minimizes company exposure and risk.
- Assist and review program documents are complete and accurate.

Catalyst Solutions, Denver, CO

2015 – 2018

Director, Client Engagements

- Manages client relationships throughout the project lifecycle.
- Ensures all deliverables are completed with high quality per contractual agreements.
- Serves as the primary customer contact for issue escalation and conflict resolution.
- Leads executive steering committee meetings to ensure project stakeholders remain informed and have a forum to voice future consideration and project needs.
- Coordinates activities for onsite and remote staff to ensure timely completion of project deliverables and ensure budget constraints are enforced
- Works with internal Catalyst Solutions departments to drive benefits and values for our customers helping each achieve stated business objectives and goals.

McKesson Health Solutions, Westminster, CO

2004 – 2015

Engagement Manager

2013 – 2015

- Provided solutions that helped drive additional revenue streams.
- Led onsite project teams to complete work as detailed by a manually created project plan.
- Created and presented project estimates and statement of work proposals to internal and external stakeholders.
- Led executive steering committee meetings to ensure project stakeholders remained informed and had a forum to voice future consideration and project needs.

- Mentored project team staff to adequately support and complete project work while helping them define a career path for future successes.
- Participated in technical reviews with the solution architecture team to ensure the solution is viable and adhered to future client needs and direction.
- Provided consulting services to review business operation workflows, defined future needs through the automation of manual processes, and presented recommendations of findings.
- In charge of direct and indirect management of up to twenty resources.

Senior Manager – Technical Projects

2004 – 2013

- Managed multiple project budgets, cost estimates for the RPF process, contractor hiring, and vendor management.
- Served as manager of an agile development team of 10 to 20 staff depending on project size, including direct staff management.
- Responsible for the delivery of online personal health records, secure message center, my health tools, and live nurse chat for over 20 million members utilizing data captured through telephonic nurse advise line services.
- Handled process improvements/enhancements to ensure data integrity adhered to all Health Information Portability and Accountability Act of 1996 (HIPAA) regulations.
- Responsible for infrastructure/architecture changes to accommodate projected growth, including source code, server platform, and server patches for nine core applications deployed on twelve application and web servers.
- Acted as lead engineer on the largest web development project, Online Health Hub, from initial design through successful implementation.

EDUCATION

Kaplan University, B.S. Information Technology-Applied Technologies, Summa Cum Laude

COMPUTER SKILLS

Business Tools: MS Office suite, Visio, MS project, MS Enterprise Manager, JIRA, Remedy, MAVEN, Clarity, Salesforce
 Programming: JAVA (1.4, 1.5, 1.6), Visual Basic 6.0, COM, .Net C#, ASP, JSP, HTML, ANT, PL/SQL, MS SQL, STRUTS, Access Databases, junit, httpUnit, VBSCRIPT, JAVASCRIPT
 Platforms/Servers: Vignette Portal 4.5/7.x, Weblogic (10.x,11g), BEA Portal Server, MS SQL Server 2000 & 2008, Windows Server 2003/2008, MS IIS server 6.0/7.0/8.0, Linux, Tomcat, Apache, JBOSS, GATEIN.

REFERENCES UPON REQUEST

Shane Dombowsky
 Title: Full Stack Lead
 3645 Akron Street
 Denver, CO 80230
 Phone: 303-475-8547

Satish Nagarajan
 Title: Team Lead, Testing Center of Excellence
 3321 Spring Mountain Drive
 Plano, TX 75025
 Phone: 214-302-7286

Sheryl Zarozny
 Title: Business Development
 11 Partridge Hill Road
 Shrewsbury, MA 01545
 Phone: 508-868-8560

BRIEN MITCHELL, MITA LEAD AND SECURITY COMPLIANCE OFFICER

Mr. Mitchell has 31 years of health care experience, primarily as a leader and Subject Matter Expert on large RFP development and proposal management processes. Mr. Mitchell has extensive experience strategizing business initiatives, developing budgets, and leading nationwide business development and sales teams for public health and human services programs and supporting systems, including Medicaid, Medicare, Integrated Eligibility, CHIP, TANF, Mental Health and Substance Abuse, Emergency, and Trauma Programs. Prior to joining Sandata Technologies, Mr. Mitchell served in a multitude of leadership and project manager roles for Cognosante, Cambria Solutions, and the State of Florida.

- Achieved CMS Certification (R1) for Ohio EVV project.
- CMS Certification projects for four State of Arkansas Medicaid MMIS modules (Core, Pharmacy, DSS and MAR).

MITA Lead/Security Compliance Officer, Sandata Technologies, LLC, Port Washington, NY

2017 – Present

- Manages Sandata activities through EVV CMS Certification Milestone reviews.
- Manages Sandata CMS Certification deliverables and Medicaid Certification Checklists for Milestone reviews.
- Provides CMS Certification expertise on interactions between the State, IV&V, and CMS.
- Manages CMS Certification preparations and schedule.

Project Manager/Consultant, Cognosante, Falls Church, VA

2015 – 2017

- Operations Manager for Arkansas Medicaid Pharmacy and DSS Modules.
- Managed CMS Certification projects for four State of Arkansas Medicaid MMIS modules (Core, Pharmacy, DSS and MAR).
- Ensured the Cognosante Team's timely and successful completion of all tasks and deliverables was within scope and within budget.
- Served as the primary point of interface with client management.
- Ensured compliance with the contract, state, and federal regulations, and internal standards, as well as consistency of project approach with proven Cognosante methodology.
- Developed and maintained a project schedule and monitored project progress.
- Evaluated the Cognosante team's performance and implemented process improvements and corrective action as needed.
- Oversaw the development of deliverables and ensured project deliverables were completed in a timely manner and with the highest quality.
- Ensured risks and issues were tracked and monitored.

MITA Lead, Cambria Solutions, Sacramento, CA

2014 – 2015

- Provided Medicaid, MITA, and MMIS expertise to PMO project and deliverables.
- Developed the MMIS Implementation Advanced Planning Document for the MMIS and DSS/DW Projects.
- Developed Scope of Work and other non-technical requirements for the MMIS and DSS/DW RFPs.
- Developed Evaluation criteria for MMIS and DSS/DW RFPs.

MITA/MMIS Consultant, Blue Tack Consulting, Wilmington, DE

2014 – 2015

- Supplied Medicaid, MITA and MMIS expertise to project teams and business development efforts.

Project Manager, Electronic Health Resources, Tallahassee, FL

2013 – 2014

- As a consultant to the client company, managed the proposal effort for the Louisiana Medicaid Dental Benefits Management Program.
- Managed proposal writers, graphics, and editors.
- Developed proposal schedule, proposal outline, escalation process, and incorporated quality control ("QC") and quality assurance ("QA") procedures to streamline color team reviews and introduce techniques to improve content planning and creation.
- Wrote content to fill gaps in multiple sections, including Provider Service, Member Service, HEDIS, TPL, Utilization Management, and Quality Management.
- Participated in color team reviews and was responsible for final folder sign-off.

ANGEL SO, MANAGER, TRAINING SERVICES

Mr. Angel So has over 18 years of training experience and for the last six years has served as Sandata's Training Manager for our Electronic Visit Verification ("EVV") and Agency Management product offerings. He is responsible for developing training materials and executing training plans for large-scale state projects. Mr. So has direct experience conducting onsite and web-based application training to internal and external customers and provides oversight on all provider training activities.

- Microsoft Office Suite and Live Meeting
- Training Management
- Zoom Meeting SnagIt
- Absorb LMS
- Adobe Connect
- SharePoint
- Confluence
- Camtasia

Sandata Technologies, LLC, Port Washington, NY

2012 – Present

Manager, Training Services

- Creates training plans and training materials for large-scale state projects.
- Manages the training team to ensure trainings are delivered successfully based on client requirements.
- Designs and develops course content for Learning Management System using Adobe Captivate.
- Conducts onsite and web-based application training to internal and external customers as needed.
- Ensures training attendance and training feedback are captured.

Medidata Solutions, New York, NY

2006 – 2012

Senior Training Specialist

- Developed and tested new course materials for proprietary Electronic Data Capture (EDC) and Clinical Trial Management software.
- Delivered in-person and web-based systems training for coordinators, monitors, study designers/builders and investigators.
- Conducted internal train-the-trainer sessions on new features and materials for training team.
- Delivered systems training for internal New Hire Orientation classes.

EDUCATION

NYU Polytechnic Institute, B.S. Economics

1994

REFERENCES

Cheryl Dattoma – 516-457-0456
Richard Chiu – 917-340-6589
Tami Silverman – 732-284-8524

Director, Wipro Infocrossing, Inc., Leonia, NJ

2009 – 2013

- Provided leadership and management during proposal development, from opportunity identification through contract signing. Included managing a variety of proposal teams, proposal structures and development of proposal management plan (PMP). The PMP included a detailed proposal development schedule, roles, and responsibilities, routine status checks, escalation process, QC and QA, and creative practices to streamline color team reviews.
- Vendor and portfolio management for Medicaid, HIT, and Health Insurance Exchange Services.
- Provided direction and leadership to business and technical teams in understanding MITA concepts and comparing to current business and technical processes.
- For the State of Missouri, performed MITA 2.1 and MITA 3.0 SS-As to evaluate the State's MMIS against the MITA framework and Seven Conditions. The SS-As were performed as part of research and planning initiatives to determine if, and when, the MMIS needed to be replaced.
- Managed sales and capture processes for Medicaid and healthcare business development teams. Addressed their overall organizational goals and objects as well as provided assistance in the review and evaluations of the vendor proposals.

EDUCATION

Florida State University, Political Science
Gulf Coast Community College, General Studies

PROFESSIONAL REFERENCES

Aaron Cydrus, Project Manager · Chief of Staff/Project Management Office
614-752-3768
AARON.CYDRUS@medicaid.ohio.gov

Kristy Wathen, EVV Program Manager · EVV Operations/Bureau of Program Integrity
614-728-8034
Kristy.Wathen@medicaid.ohio.gov

Matt Rocconi, Arkansas Medicaid Enterprise IT Director at Arkansas
501-320-6175
Matt.rocconi@dhs.arkansas.gov

ADRIENNE M. WOODWARD, VICE PRESIDENT - CUSTOMER CARE

Ms. Adrienne Woodward has over 25 years of experience managing and directing a number of customer support centers where she has been a strong advocate for internal and external customers. As Vice President of Sandata's Customer Care, Ms. Woodward has a direct role in the call center's workforce management, staff training, coaching, and quality assurance; as well as developing, documenting, and implementing process improvements in a 24/7 multi-site environment. Prior to joining Sandata, Ms. Woodward held various upper management positions with companies including: Long Island Veterinary Specialist, MEDFONE, MDNY Healthcare, and Vytra Health Plans. Her outstanding record of leading strategic initiatives to improve the caller experience, ensure client satisfaction, and successfully motivating and developing her support teams has made her a valuable asset to Sandata. Ms. Woodward has been leading the Sandata Customer Care team for all Sandata payer EVV projects.

- Stephen Covey: Seven Habits for Highly Effective People
- Coaching and Counseling
- True Colors
- Team Building and No Limit Thinking
- Business Process Mapping
- Continuous Quality Improvement Principles and Tools
- Disney Leadership Skills and Customer Service Skills
- Interview Skills and Motivate to Interview
- Workforce Management

Sandata Technologies, LLC, Port Washington, NY

2011 – Present

Vice President - Customer Care

- Drives employee development and training.
- Tracks and improves performance through measurable goals.
- Actively works with customer centric teams, manages the day to day operations, and streamlines ticket management.
- Analyzes trends to identify root cause and process improvement opportunities.
- Exceeds service level agreements for calls and email.
- Acts as a client advocate and champion and escalates issues appropriately.
- Provides comprehensive technical support for all key clinical, financial, and operational functions for Home Health Care Agencies, State, and Managed Care Organizations.

Long Island Veterinary Specialist, Plainview, NY

2010 – 2011

Director - Customer Service

- Provided consultative services.
- Developed and delivered Customer Service training programs for a multi-specialty practice.
- Created employee and client satisfaction surveys.
- Launched benchmarking initiative to monitor and improve service levels.
- Improved referring veterinary discharge communication from 85% in five days to 95% same day.
- Decreased missed visits by 25%.

REFERENCES

Gregory J. Jackson (CT)
Account Executive
DXC Technology
T (860) 255-3842
M (203) 441-0669
greg.jackson@dxc.com

Kristy Wathen (ODM)
EVV Contract Manager
T (614) 728-8034
Kristy.Wathen@Medicaid.ohio.gov

Callie Dyer (Maine)
Project Manager, MBA-PM, PMP, Services
DXC Technology
T 1.207.430.3758
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CThompson57@DXC.com

State Medicaid Experience



21st Century Cures Compliant

A Trusted Partner with Third-Party Demonstrated Value

<p>Illinois (Launch 1/1/2014) Department of Human Services</p> <ul style="list-style-type: none"> • Unskilled Services • Consumer Directed Care • FFS 	<p>Colorado (in Implementation) Department of Health Care Policy and Financing</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • Part of HPE MMIS Contract • FFS
<p>Connecticut (Launch 9/1/2016) Department of Social Services</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • Part of HPE MMIS Contract • FFS 	<p>Indiana (in Implementation) Family and Social Services Administration</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • Part of HPE MMIS Contract • FFS
<p>Rhode Island (Launch 6/1/2016) Executive Office of Health and Human Services</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • FFS and Managed Care 	<p>Maine (in Implementation)</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • Managed Care
<p>Ohio (Launch 1/8/2018 – Phase 1; Phase 2 in Implementation) Department of Medicaid</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • FFS and Managed Care 	<p>Oklahoma (Launch 9/1/2014) Department of Human Services</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • Advantage Waiver and State Plan Personal Care • FFS
<p>Florida (Launch 3/1/2010) AHCA, Amerigroup, Sunshine Health Plan</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • FFS and Managed Care 	<p>Tennessee (Launch 8/1/2010) BlueCare, Amerigroup, United</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services/Home Delivered Meals • Managed Care
<p>New York (Launch 1984) NYC Human Resources Administration</p> <ul style="list-style-type: none"> • Skilled/Unskilled Services • FFS 	<p>Texas (Launch 3/1/2011) Department of Aging and Disability Services</p> <ul style="list-style-type: none"> • Unskilled Services • FFS

National Contracts

**Centene Corporation (2014),
 Molina Healthcare Inc. (2011)**

- Skilled/Unskilled Services
- Managed Care

Aetna (2018)

- Skilled/Unskilled Services
- Consumer Directed Care
- Managed Care

Humana (Launch 5/1/2016)

- Unskilled Services
- Managed Care

EVV qualifies for Enhanced Federal Match

- 90% Implementation
- 75% Program Fees

Sandata's Third-Party Outcomes

Independent analysis documents proven savings and program quality improvements.



Enhanced Member Experience



Improved Quality



Increased Savings

FL: Florida Medicaid and Public Assistance Strike Force Reports show that AHCA realized:

- \$19M savings (46%) for Miami-Dade County alone in Year 1
- \$3.5M savings (an additional 15%) for Miami-Dade County in Year 2

TX: Results from EVV Project showed:

- 5% - 7.75% savings
- 5% decrease in hours delivered to authorized hours
- 3.6% net savings

TN: TennCare presentation to National Association of Medical Directors quoted:

- 97% of all scheduled in-home services were provided
- >99.75% of all scheduled in-home services were provided on time

OK: Results from EVV Pilot Project showed:

- 8% decline in visits/month
- Decrease in reimbursed units
- Decrease in per participant per month cost
- Average 12-day decrease in lag time per claim payment per month

IL: Results from EVV Project showed:

- Since July 1, 2016, a small audit of 86 timesheets resulted in the recovery of 1,200 hours of overpayment
- EVV indicators drove 200 IG investigations which led to terminations, penalties, etc.

CT: Results from EVV Project showed:

- Processed over \$202M in claims
- Projected annual savings of 5-10%, estimated at \$8M - \$15M dollars per year
- 33% reduction in claim denial rate with EVV

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DRAFT: NE EVV Program Implementation Schedule

ID	Task Name	WBS	Duration	Start	Finish	Predecessors
1	NE-DHHS EVV PROGRAM IMPLEMENTATION SCHEDULE (Draft)	1	69 days	Wed 11/20/19	Tue 2/25/20	
2	Contract Signing/Execution	1.1	69 days	Wed 11/20/19	Tue 2/25/20	
3	Notification of Intent to Award	1.1.1	1 day	Wed 11/20/19	Wed 11/20/19	
4	Contract Finalization Period	1.1.2	28 days	Wed 11/20/19	Fri 12/27/19	3SS
5	Discovery Period/ Project Preparation	1.1.3	40 days	Mon 12/30/19	Fri 2/21/20	4
6	Intro/ Walkthrough Sessions	1.1.4	12 days	Mon 1/27/20	Tue 2/11/20	
7	"Get Ready" Session #1	1.1.4.1	1 day	Mon 1/27/20	Mon 1/27/20	4FS+20 days
8	"Get Ready" Session #2	1.1.4.2	1 day	Tue 2/11/20	Tue 2/11/20	7FS+10 days
9	CMS Approval	1.1.5	1 day	Fri 2/21/20	Fri 2/21/20	
10	Contract Award	1.1.6	0 days	Tue 2/25/20	Tue 2/25/20	
11	EVV IMPLEMENTATION	2	305 days	Mon 3/2/20	Fri 4/30/21	
12	Project Initiation and Planning	2.1	16 days	Mon 3/2/20	Mon 3/23/20	
13	Project Kick-Off Meeting	2.1.1	6 days	Mon 3/2/20	Mon 3/9/20	
14	Travel to Onsite Meeting	2.1.1.1	1 day	Mon 3/2/20	Mon 3/2/20	15SS-1 day
15	Kick-Off Meeting (Onsite)	2.1.1.2	1 day	Tue 3/3/20	Tue 3/3/20	2
16	Review Program Goals and Criteria	2.1.1.2.1	1 day	Tue 3/3/20	Tue 3/3/20	
17	Review of Program Scope and Solutions	2.1.1.2.2	1 day	Tue 3/3/20	Tue 3/3/20	16SS
18	EVV System	2.1.1.2.2.1	1 day	Tue 3/3/20	Tue 3/3/20	
19	Scheduling	2.1.1.2.2.2	1 day	Tue 3/3/20	Tue 3/3/20	
20	Billing (837 creation)	2.1.1.2.2.3	1 day	Tue 3/3/20	Tue 3/3/20	
21	Consumer Directed	2.1.1.2.2.4	1 day	Tue 3/3/20	Tue 3/3/20	
22	3rd Party EVV Systems	2.1.1.2.2.5	1 day	Tue 3/3/20	Tue 3/3/20	
23	Aggregator	2.1.1.2.2.6	1 day	Tue 3/3/20	Tue 3/3/20	
24	EVV System Demonstration	2.1.1.2.3	1 day	Tue 3/3/20	Tue 3/3/20	16SS
25	Review Workstream Approach	2.1.1.2.4	1 day	Tue 3/3/20	Tue 3/3/20	16SS
26	EVV User Outreach	2.1.1.2.4.1	1 day	Tue 3/3/20	Tue 3/3/20	
27	EVV User Training	2.1.1.2.4.2	1 day	Tue 3/3/20	Tue 3/3/20	
28	EVV User Support (Client Success)	2.1.1.2.4.3	1 day	Tue 3/3/20	Tue 3/3/20	
29	User Acceptance Testing	2.1.1.2.4.4	1 day	Tue 3/3/20	Tue 3/3/20	
30	Review of Current Project Plan	2.1.1.2.5	1 day	Tue 3/3/20	Tue 3/3/20	16SS
31	Lookahead to next steps (Business Rules and Tech Design sessions)	2.1.1.2.6	1 day	Tue 3/3/20	Tue 3/3/20	16SS
32	Travel from Onsite Meeting	2.1.1.3	1 day	Wed 3/4/20	Wed 3/4/20	31
33	Post Kick-Off Meeting	2.1.1.4	3 days	Thu 3/5/20	Mon 3/9/20	32
34	Publish Kick-off Meeting Minutes	2.1.1.4.1	3 days	Thu 3/5/20	Mon 3/9/20	15
35	Schedule Weekly Implementation Team Meetings (Cross Functional, Internal)	2.1.1.4.2	3 days	Thu 3/5/20	Mon 3/9/20	15
36	Establish SharePoint site to exchange documentation	2.1.1.4.3	3 days	Thu 3/5/20	Mon 3/9/20	15
37	<i>M: Kick-Off Meeting Complete</i>	<i>2.1.1.5</i>	<i>0 days</i>	<i>Mon 3/9/20</i>	<i>Mon 3/9/20</i>	<i>15,33</i>

DRAFT: NE EVV Program Implementation Schedule

ID	Task Name	WBS	Duration	Start	Finish	Predecessors
38	Create/ Revise Project Documents	2.1.2	10 days	Tue 3/10/20	Mon 3/23/20	
39	Project Management Plan	2.1.2.1	10 days	Tue 3/10/20	Mon 3/23/20	10FS+10 days
40	Detailed Project Work Plan/ Schedule	2.1.2.2	10 days	Tue 3/10/20	Mon 3/23/20	10FS+10 days
41	Project Deliverable & Acceptance Process	2.1.2.3	10 days	Tue 3/10/20	Mon 3/23/20	10FS+10 days
42	Monthly Status Report	2.1.2.4	10 days	Tue 3/10/20	Mon 3/23/20	10FS+10 days
43	CMS Certification (R1)	2.1.3	9 days	Tue 3/10/20	Fri 3/20/20	
44	Initial Introductory Meeting	2.1.3.1	1 day	Tue 3/10/20	Tue 3/10/20	33
45	Establish Access to CMS Document Repository	2.1.3.2	1 day	Wed 3/11/20	Wed 3/11/20	44
46	Review R1 Materials	2.1.3.3	4 days	Thu 3/12/20	Tue 3/17/20	45
47	Meeting: Review R1 Findings, Q&A	2.1.3.4	3 days	Wed 3/18/20	Fri 3/20/20	46
48	Publish agenda / questions	2.1.3.4.1	1 day	Wed 3/18/20	Wed 3/18/20	
49	Conduct meeting	2.1.3.4.2	1 day	Thu 3/19/20	Thu 3/19/20	48
50	Distribute meeting notes / findings	2.1.3.4.3	1 day	Fri 3/20/20	Fri 3/20/20	49
51	Program Requirements Analysis and Design	2.2	26 days	Wed 3/25/20	Wed 4/29/20	
52	Business Rules (Program Design)	2.2.1	21 days	Wed 3/25/20	Wed 4/22/20	
53	Rules Session: EVV System	2.2.1.1	2 days	Wed 3/25/20	Thu 3/26/20	15FS+15 days
54	Rules Session: Scheduling Module	2.2.1.2	1 day	Fri 3/27/20	Fri 3/27/20	53
55	Rules Session: Billing Module (837 creation and submission)	2.2.1.3	1 day	Fri 3/27/20	Fri 3/27/20	53
56	Rules Session: Consumer Directed	2.2.1.4	1 day	Fri 3/27/20	Fri 3/27/20	53
57	Rules Session: 3rd Party EVV, Aggregator	2.2.1.5	1 day	Fri 3/27/20	Fri 3/27/20	53
58	Follow-Up / Resolution Sessions	2.2.1.6	3 days	Mon 3/30/20	Wed 4/1/20	57
59	Create and Submit Initial Business Rules Document	2.2.1.7	5 days	Thu 4/2/20	Wed 4/8/20	58
60	Review Business Rules Documents, Revise as Needed	2.2.1.8	5 days	Thu 4/9/20	Wed 4/15/20	59
61	Agreement/Sign-Off on Business Rules Document	2.2.1.9	5 days	Thu 4/16/20	Wed 4/22/20	60
62	<i>M: Functional Design Documents Complete</i>	2.2.1.10	0 days	Wed 4/22/20	Wed 4/22/20	61
63	Technical Design (Data Interfacing)	2.2.2	24 days	Fri 3/27/20	Wed 4/29/20	
64	Tech. Session: EVV Data Intake (Provider, Member, Auth Data)	2.2.2.1	0.5 days	Fri 3/27/20	Fri 3/27/20	53
65	Tech. Session: Billing (837 creation and submission)	2.2.2.2	0.5 days	Fri 3/27/20	Fri 3/27/20	64
66	Tech. Session: System Exports (Data Warehouse)	2.2.2.3	0.5 days	Mon 3/30/20	Mon 3/30/20	65
67	Tech Session: Consumer Directed Data Sourcing	2.2.2.4	0.5 days	Mon 3/30/20	Mon 3/30/20	66
68	Tech. Session: 3rd Party EVV Data Interface	2.2.2.5	0.5 days	Tue 3/31/20	Tue 3/31/20	67
69	Create and Submit Initial Technical Design Documents	2.2.2.6	5 days	Thu 4/2/20	Wed 4/8/20	64,65,66,68,58
70	Review Technical Design Documents, Revise as Needed	2.2.2.7	5 days	Thu 4/9/20	Wed 4/15/20	69
71	Agreement/Sign Off on Technical Design Documents	2.2.2.8	5 days	Thu 4/23/20	Wed 4/29/20	70,61
72	<i>M: Technical Design Documents Complete</i>	2.2.2.9	0 days	Wed 4/29/20	Wed 4/29/20	71
73	PAYMENT MILESTONE: DESIGN	2.2.3	0 days	Wed 4/29/20	Wed 4/29/20	71,39,40,15
74	System Configuration and Deployment	2.3	24 days	Thu 4/23/20	Tue 5/26/20	

DRAFT: NE EVV Program Implementation Schedule

ID	Task Name	WBS	Duration	Start	Finish	Predecessors
75	System Configuration	2.3.1	15 days	Thu 4/23/20	Wed 5/13/20	52
76	Configuration: EVV System	2.3.1.1	15 days	Thu 4/23/20	Wed 5/13/20	
77	Configuration: Scheduling Module	2.3.1.2	15 days	Thu 4/23/20	Wed 5/13/20	76SS
78	Configuration: Billing Module (837 creation and submission)	2.3.1.3	15 days	Thu 4/23/20	Wed 5/13/20	76SS
79	Configuration: Consumer Directed Modules	2.3.1.4	15 days	Thu 4/23/20	Wed 5/13/20	76SS
80	Configuration: 3rd Party EVV Systems	2.3.1.5	15 days	Thu 4/23/20	Wed 5/13/20	76SS
81	Configuration: Aggregator	2.3.1.6	15 days	Thu 4/23/20	Wed 5/13/20	76SS
82	Configuration: BI Reporting Tool	2.3.1.7	15 days	Thu 4/23/20	Wed 5/13/20	76SS
83	Configuration Validation	2.3.2	5 days	Thu 5/14/20	Wed 5/20/20	75
84	EVV System	2.3.2.1	5 days	Thu 5/14/20	Wed 5/20/20	76
85	Scheduling Module	2.3.2.2	5 days	Thu 5/14/20	Wed 5/20/20	77
86	Billing Module (837 creation and submission)	2.3.2.3	5 days	Thu 5/14/20	Wed 5/20/20	78
87	Consumer Directed Modules	2.3.2.4	5 days	Thu 5/14/20	Wed 5/20/20	79
88	3rd Party EVV Services	2.3.2.5	5 days	Thu 5/14/20	Wed 5/20/20	80
89	Aggregator	2.3.2.6	5 days	Thu 5/14/20	Wed 5/20/20	81
90	BI Reporting Tool	2.3.2.7	5 days	Thu 5/14/20	Wed 5/20/20	82
91	<i>M: System Configuration & Validation Complete</i>	2.3.3	0 days	Wed 5/20/20	Wed 5/20/20	75,83
92	Initial Deployment	2.3.4	4 days	Thu 5/21/20	Tue 5/26/20	83
93	Set Up Master Account Configuration	2.3.4.1	2 days	Thu 5/21/20	Fri 5/22/20	
94	Set Up Training Environment	2.3.4.2	1 day	Mon 5/25/20	Mon 5/25/20	93
95	Set Up UAT Environment	2.3.4.3	1 day	Tue 5/26/20	Tue 5/26/20	94
96	Application and Integration Validation & Testing	2.4	71 days	Thu 4/2/20	Thu 7/9/20	
97	Test Planning	2.4.1	20 days	Thu 4/2/20	Wed 4/29/20	
98	Create Test Plan	2.4.1.1	10 days	Thu 4/2/20	Wed 4/15/20	59SS,69SS
99	Feedback and Revisions	2.4.1.2	5 days	Thu 4/16/20	Wed 4/22/20	98
100	Finalize & Approve Test Plan	2.4.1.3	5 days	Thu 4/23/20	Wed 4/29/20	99
101	System Integration Testing (SIT)	2.4.2	12 days	Mon 6/8/20	Tue 6/23/20	71,95FS+8 days
102	Integration Test Prep	2.4.2.1	3 days	Mon 6/8/20	Wed 6/10/20	
103	Establish SIT Connectivity	2.4.2.1.1	2 days	Mon 6/8/20	Tue 6/9/20	
104	Determine Delivery Method for SIT	2.4.2.1.2	3 days	Mon 6/8/20	Wed 6/10/20	
105	Data Intake / Exchange	2.4.2.2	12 days	Mon 6/8/20	Tue 6/23/20	
106	EVV Data Intake (Provider, Member, Authorization Data)	2.4.2.2.1	12 days	Mon 6/8/20	Tue 6/23/20	
107	Intake File Creation / Development	2.4.2.2.1.1	5 days	Mon 6/8/20	Fri 6/12/20	71
108	Test File Submission / Review	2.4.2.2.1.2	3 days	Mon 6/15/20	Wed 6/17/20	107,93

DRAFT: NE EVV Program Implementation Schedule

ID	Task Name	WBS	Duration	Start	Finish	Predecessors
109	Feedback and Revision	2.4.2.2.1.3	4 days	Thu 6/18/20	Tue 6/23/20	108
110	Sign-Off on approved intake files	2.4.2.2.1.4	0 days	Tue 6/23/20	Tue 6/23/20	109
111	Provider: Initial Data File Delivery	2.4.2.2.1.5	0 days	Tue 6/23/20	Tue 6/23/20	110
112	Member: Initial Data File Delivery	2.4.2.2.1.6	0 days	Tue 6/23/20	Tue 6/23/20	111
113	Authorization: Initial Data File Delivery	2.4.2.2.1.7	0 days	Tue 6/23/20	Tue 6/23/20	112
114	Consumer Directed Data Intake (Employer/Employee)	2.4.2.2.2	10 days	Mon 6/8/20	Fri 6/19/20	
115	Intake File Creation / Development	2.4.2.2.2.1	5 days	Mon 6/8/20	Fri 6/12/20	67
116	Test File Submission / Review	2.4.2.2.2.2	3 days	Mon 6/15/20	Wed 6/17/20	115,93
117	Feedback and Revision	2.4.2.2.2.3	2 days	Thu 6/18/20	Fri 6/19/20	116
118	Sign-Off on approved intake files	2.4.2.2.2.4	0 days	Fri 6/19/20	Fri 6/19/20	117
119	Billing Module (837)	2.4.2.3	7 days	Mon 6/8/20	Tue 6/16/20	65
120	Billing Data Delivery (837)	2.4.2.3.1	5 days	Mon 6/8/20	Fri 6/12/20	
121	837 Test File Submission / Review	2.4.2.3.1.1	3 days	Mon 6/8/20	Wed 6/10/20	93
122	Feedback and Revision	2.4.2.3.1.2	2 days	Thu 6/11/20	Fri 6/12/20	121
123	Sign-Off on approved 837 file	2.4.2.3.1.3	0 days	Fri 6/12/20	Fri 6/12/20	122
124	Billing Module (Integration Test)	2.4.2.3.2	7 days	Mon 6/8/20	Tue 6/16/20	
125	Review Integration scenarios	2.4.2.3.2.1	1 day	Mon 6/8/20	Mon 6/8/20	
126	Integration testing: Round 1	2.4.2.3.2.2	1 day	Tue 6/9/20	Tue 6/9/20	125
127	Issue Resolution / Fix: Round 1	2.4.2.3.2.3	2 days	Wed 6/10/20	Thu 6/11/20	126
128	Regression: Round 1	2.4.2.3.2.4	1 day	Fri 6/12/20	Fri 6/12/20	127
129	Issue Resolution / Fix: Round 2	2.4.2.3.2.5	1 day	Mon 6/15/20	Mon 6/15/20	128
130	Regression: Round 1	2.4.2.3.2.6	1 day	Tue 6/16/20	Tue 6/16/20	129
131	Sign-off on Completion	2.4.2.3.2.7	0 days	Tue 6/16/20	Tue 6/16/20	130
132	Data Warehouse Export (Integration Test)	2.4.2.4	7 days	Mon 6/8/20	Tue 6/16/20	66
133	Review Integration Scenarios	2.4.2.4.1	1 day	Mon 6/8/20	Mon 6/8/20	
134	Integration Testing: Round 1	2.4.2.4.2	1 day	Tue 6/9/20	Tue 6/9/20	133
135	Issue Resolution / Fix: Round 1	2.4.2.4.3	2 days	Wed 6/10/20	Thu 6/11/20	134
136	Regression: Round 1	2.4.2.4.4	1 day	Fri 6/12/20	Fri 6/12/20	135
137	Issue Resolution / Fix: Round 2	2.4.2.4.5	1 day	Mon 6/15/20	Mon 6/15/20	136
138	Regression: Round 1	2.4.2.4.6	1 day	Tue 6/16/20	Tue 6/16/20	137
139	Sign-off on Completion	2.4.2.4.7	0 days	Tue 6/16/20	Tue 6/16/20	138
140	3rd Party EVV Data Interface (Integration Test)	2.4.2.5	3 days	Mon 6/8/20	Wed 6/10/20	88,95
141	3rd Party EVV Testing System Available	2.4.2.5.1	2 days	Mon 6/8/20	Tue 6/9/20	
142	3rd Party EVV Testing Open to Providers, EVV Vendors	2.4.2.5.2	1 day	Wed 6/10/20	Wed 6/10/20	141
143	Completion date for Testing (to use by program launch)	2.4.2.5.3	1 day	Wed 6/10/20	Wed 6/10/20	141
144	<i>M: Integration Testing Complete</i>	2.4.2.6	0 days	Tue 6/23/20	Tue 6/23/20	102,105,119,132,140
145	User Acceptance Testing (UAT)	2.4.3	14 days	Mon 6/22/20	Thu 7/9/20	

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ID	Task Name	WBS	Duration	Start	Finish	Predecessors
146	EVV System Application w/ Scheduling (UA Test)	2.4.3.1	12 days	Wed 6/24/20	Thu 7/9/20	95,106
147	Configure / Review UA Testing Scenarios	2.4.3.1.1	1 day	Wed 6/24/20	Wed 6/24/20	
148	Train Resources performing UAT	2.4.3.1.2	1 day	Thu 6/25/20	Thu 6/25/20	147
149	Application UA Testing: Round 1	2.4.3.1.3	3 days	Fri 6/26/20	Tue 6/30/20	148
150	Issue Resolution / Fix: Round 1	2.4.3.1.4	2 days	Wed 7/1/20	Thu 7/2/20	149
151	Application UA Regression: Round 1	2.4.3.1.5	2 days	Fri 7/3/20	Mon 7/6/20	150
152	Issue Resolution / Fix: Round 2	2.4.3.1.6	1 day	Tue 7/7/20	Tue 7/7/20	151
153	Application UA Regression: Round 2	2.4.3.1.7	1 day	Wed 7/8/20	Wed 7/8/20	152
154	Agreement/Sign off on Application UAT Complete	2.4.3.1.8	1 day	Thu 7/9/20	Thu 7/9/20	153
155	Consumer Directed Portals (UA Test)	2.4.3.2	3 days	Mon 6/22/20	Wed 6/24/20	95,114
156	Configure / Review UA Testing Scenarios	2.4.3.2.1	1 day	Mon 6/22/20	Mon 6/22/20	52
157	Train Resources performing UAT	2.4.3.2.2	1 day	Mon 6/22/20	Mon 6/22/20	95
158	Application UA Testing: Round 1	2.4.3.2.3	3 days	Mon 6/22/20	Wed 6/24/20	
159	Bug Fix / Updates: Round 1	2.4.3.2.4	3 days	Mon 6/22/20	Wed 6/24/20	
160	Application UA Regression: Round 1	2.4.3.2.5	2 days	Tue 6/23/20	Wed 6/24/20	157
161	Bug Fix / Updates: Round 2	2.4.3.2.6	2 days	Mon 6/22/20	Tue 6/23/20	
162	Application UA Regression: Round 2	2.4.3.2.7	1 day	Mon 6/22/20	Mon 6/22/20	
163	Agreement/Sign off on Application UAT Complete	2.4.3.2.8	2 days	Mon 6/22/20	Tue 6/23/20	
164	<i>M: User Acceptance Testing Complete</i>	2.4.3.3	0 days	Thu 7/9/20	Thu 7/9/20	146,155
165	Development/Deployment	2.5	125 days	Tue 3/10/20	Mon 8/31/20	
166	Outreach Workstream	2.5.1	108 days	Tue 3/10/20	Thu 8/6/20	
167	Outreach & Communication Planning	2.5.1.1	20 days	Tue 3/10/20	Mon 4/6/20	
168	Create Communication Plan	2.5.1.1.1	10 days	Tue 3/10/20	Mon 3/23/20	33
169	Feedback & Revisions	2.5.1.1.2	5 days	Tue 3/24/20	Mon 3/30/20	168
170	Finalize and Approve Communication Plan	2.5.1.1.3	5 days	Tue 3/31/20	Mon 4/6/20	169
171	Provider Survey	2.5.1.2	36 days	Tue 4/7/20	Tue 5/26/20	
172	Review / Revise Provider Survey Content	2.5.1.2.1	10 days	Tue 4/7/20	Mon 4/20/20	167
173	Agreement/Sign off on Survey Content	2.5.1.2.2	1 day	Tue 4/21/20	Tue 4/21/20	172
174	Make Survey accessible to Providers	2.5.1.2.3	1 day	Tue 4/21/20	Tue 4/21/20	172
175	Monitoring Period	2.5.1.2.4	20 days	Wed 4/22/20	Tue 5/19/20	174
176	Survey Complete	2.5.1.2.5	1 day	Wed 5/20/20	Wed 5/20/20	175
177	Compile Results of Survey	2.5.1.2.6	3 days	Thu 5/21/20	Mon 5/25/20	176
178	Review Findings	2.5.1.2.7	1 day	Tue 5/26/20	Tue 5/26/20	177
179	Program Website	2.5.1.3	21 days	Tue 3/10/20	Tue 4/7/20	
180	Set up Program Website	2.5.1.3.1	20 days	Tue 3/10/20	Mon 4/6/20	167SS
181	Program Website Launched	2.5.1.3.2	1 day	Tue 4/7/20	Tue 4/7/20	180
182	EVV Program Outreach	2.5.1.4	88 days	Tue 4/7/20	Thu 8/6/20	

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ID	Task Name	WBS	Duration	Start	Finish	Predecessors
183	Review and Refine Outreach Plan	2.5.1.4.1	5 days	Tue 4/7/20	Mon 4/13/20	167
184	Agreement/Sign off on Outreach Plan	2.5.1.4.2	3 days	Tue 4/14/20	Thu 4/16/20	183
185	Perform Outreach Activities	2.5.1.4.3	80 days	Fri 4/17/20	Thu 8/6/20	184
186	Consumer Directed Outreach	2.5.1.5	88 days	Tue 4/7/20	Thu 8/6/20	
187	Review and Refine Outreach Plan	2.5.1.5.1	5 days	Tue 4/7/20	Mon 4/13/20	167
188	Agreement/Sign off on Outreach Plan	2.5.1.5.2	3 days	Tue 4/14/20	Thu 4/16/20	187
189	Perform Outreach Activities	2.5.1.5.3	80 days	Fri 4/17/20	Thu 8/6/20	188
190	3rd Party EVV Outreach	2.5.1.6	40 days	Wed 5/27/20	Tue 7/21/20	
191	Registration Process Review	2.5.1.6.1	3 days	Wed 5/27/20	Fri 5/29/20	263SS-10 days
192	Registration Opens	2.5.1.6.2	0 days	Tue 6/9/20	Tue 6/9/20	263
193	Specification and Testing Materials Available	2.5.1.6.3	0 days	Tue 6/9/20	Tue 6/9/20	263
194	Notice of Completion Deadline (deadline date 30d prior to launch)	2.5.1.6.4	0 days	Tue 7/21/20	Tue 7/21/20	192FS+30 days
195	<i>M: Outreach Activities Complete</i>	2.5.1.7	0 days	Thu 8/6/20	Thu 8/6/20	167,171,179,182,186,1
196	Training Workstream	2.5.2	110 days	Tue 3/31/20	Mon 8/31/20	
197	Training Preparation	2.5.2.1	20 days	Tue 3/31/20	Mon 4/27/20	
198	Review and Refine Training Plan	2.5.2.1.1	10 days	Tue 3/31/20	Mon 4/13/20	10FS+25 days
199	Feedback & Revisions	2.5.2.1.2	5 days	Tue 4/14/20	Mon 4/20/20	198
200	Finalize & Approve Training Plan Training Plan	2.5.2.1.3	5 days	Tue 4/21/20	Mon 4/27/20	199
201	Training Materials	2.5.2.2	61 days	Thu 5/14/20	Thu 8/6/20	
202	Revise to State Configurations	2.5.2.2.1	30 days	Thu 5/14/20	Wed 6/24/20	52,75
203	EVV System Behavior (TVV, MVV, FVV)	2.5.2.2.1.1	10 days	Thu 5/14/20	Wed 5/27/20	
204	Scheduling Module	2.5.2.2.1.2	10 days	Thu 5/28/20	Wed 6/10/20	203
205	Billing Module	2.5.2.2.1.3	10 days	Thu 6/11/20	Wed 6/24/20	204
206	Consumer Directed Modules	2.5.2.2.1.4	10 days	Thu 5/28/20	Wed 6/10/20	203
207	3rd Party EVV	2.5.2.2.1.5	10 days	Thu 5/28/20	Wed 6/10/20	203
208	Aggregator	2.5.2.2.1.6	10 days	Thu 5/28/20	Wed 6/10/20	203
209	Revise to UA / Integration Test Results	2.5.2.2.2	16 days	Thu 6/25/20	Thu 7/16/20	
210	EVV System Behavior (TVV, MVV, FVV)	2.5.2.2.2.1	5 days	Fri 7/10/20	Thu 7/16/20	146
211	Scheduling Module	2.5.2.2.2.2	5 days	Fri 7/10/20	Thu 7/16/20	146
212	Billing Module	2.5.2.2.2.3	5 days	Fri 7/10/20	Thu 7/16/20	146
213	Consumer Directed Modules	2.5.2.2.2.4	5 days	Thu 6/25/20	Wed 7/1/20	155
214	3rd Party EVV / Aggregator	2.5.2.2.2.5	5 days	Fri 7/10/20	Thu 7/16/20	146
215	Sign-Off on Training Materials	2.5.2.2.3	5 days	Fri 7/17/20	Thu 7/23/20	202,209
216	Produce Training Materials	2.5.2.2.4	10 days	Fri 7/24/20	Thu 8/6/20	215
217	Training Logistics	2.5.2.3	27 days	Tue 4/28/20	Wed 6/3/20	
218	Create Training Schedule	2.5.2.3.1	7 days	Tue 4/28/20	Wed 5/6/20	
219	Confirm Training Schedule	2.5.2.3.1.1	2 days	Tue 4/28/20	Wed 4/29/20	200

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ID	Task Name	WBS	Duration	Start	Finish	Predecessors
220	Finalize & Approve Training Schedule	2.5.2.3.1.2	5 days	Thu 4/30/20	Wed 5/6/20	219
221	Training Logistics (including locations, capacities, etc.)	2.5.2.3.2	20 days	Thu 5/7/20	Wed 6/3/20	218
222	Training Registration	2.5.2.4	38 days	Thu 6/4/20	Mon 7/27/20	
223	Setup / configuration of Learning Management System (LMS)	2.5.2.4.1	3 days	Thu 6/4/20	Mon 6/8/20	217
224	Training Registration Period	2.5.2.4.2	35 days	Tue 6/9/20	Mon 7/27/20	223
225	Trainer Led Course Registration Closes	2.5.2.4.3	0 days	Mon 7/27/20	Mon 7/27/20	224
226	Train-the-Trainers (DHHS)	2.5.2.5	3 days	Fri 8/7/20	Tue 8/11/20	
227	Conduct EVV Program Training / Train-backs	2.5.2.5.1	3 days	Fri 8/7/20	Tue 8/11/20	201
228	Training Execution	2.5.2.6	14 days	Wed 8/12/20	Mon 8/31/20	
229	Training Execution: State Staff	2.5.2.6.1	10 days	Wed 8/12/20	Tue 8/25/20	226
230	Conduct Training Sessions for State Personnel	2.5.2.6.1.1	10 days	Wed 8/12/20	Tue 8/25/20	
231	Training Execution: Providers	2.5.2.6.2	14 days	Wed 8/12/20	Mon 8/31/20	226
232	Conduct Initial Provider Training Sessions (Classroom, Webinar, Self-Paced)	2.5.2.6.2.1	14 days	Wed 8/12/20	Mon 8/31/20	
233	Welcome Materials Available	2.5.2.6.2.2	14 days	Wed 8/12/20	Mon 8/31/20	232SS
234	Training Execution: Consumer Directed	2.5.2.6.3	5 days	Wed 8/12/20	Tue 8/18/20	226
235	Conduct Fiscal Agent Training	2.5.2.6.3.1	5 days	Wed 8/12/20	Tue 8/18/20	
236	Initial Employer / Recipient Training (classroom, webinar, self paced)	2.5.2.6.3.2	2 days	Wed 8/12/20	Thu 8/13/20	
237	Employee / Caregiver Training (video / material distribution)	2.5.2.6.3.3	2 days	Wed 8/12/20	Thu 8/13/20	
238	Training Execution: 3rd Party EVV	2.5.2.6.4	1 day	Wed 8/12/20	Wed 8/12/20	226
239	Aggregator Training (LMS) Available	2.5.2.6.4.1	1 day	Wed 8/12/20	Wed 8/12/20	
240	Training Execution: NE-DHHS Aggregator / Reporting Training	2.5.2.6.5	1 day	Wed 8/12/20	Wed 8/12/20	
241	Conduct NE-DHHS Aggregator / Reporting Training	2.5.2.6.5.1	1 day	Wed 8/12/20	Wed 8/12/20	226
242	<i>M: Training Activities Complete</i>	2.5.2.7	0 days	Mon 8/31/20	Mon 8/31/20	228
243	Support Workstream (Client Success)	2.5.3	111 days	Tue 3/10/20	Wed 8/12/20	
244	EVV User Support Planning	2.5.3.1	20 days	Tue 3/10/20	Mon 4/6/20	
245	Create Support Plan	2.5.3.1.1	10 days	Tue 3/10/20	Mon 3/23/20	10FS+10 days
246	Feedback & Revisions	2.5.3.1.2	5 days	Tue 3/24/20	Mon 3/30/20	245
247	Finalize & Approve Support Plan	2.5.3.1.3	5 days	Tue 3/31/20	Mon 4/6/20	246
248	Staffing for new EVV support team	2.5.3.2	30 days	Tue 4/7/20	Mon 5/18/20	244
249	Revise Support Body of Knowledge (BOK) for State	2.5.3.3	14 days	Thu 6/25/20	Tue 7/14/20	33
250	EVV System Configurations	2.5.3.3.1	3 days	Fri 7/10/20	Tue 7/14/20	146
251	Scheduling Module	2.5.3.3.2	1 day	Fri 7/10/20	Fri 7/10/20	146
252	Billing Module (837 creation and submission)	2.5.3.3.3	1 day	Fri 7/10/20	Fri 7/10/20	146
253	Consumer Directed	2.5.3.3.4	2 days	Thu 6/25/20	Fri 6/26/20	155
254	3rd Party EVV	2.5.3.3.5	1 day	Fri 7/10/20	Fri 7/10/20	146
255	Aggregator	2.5.3.3.6	1 day	Fri 7/10/20	Fri 7/10/20	146
256	Train Customer Care Staff on State Program	2.5.3.4	5 days	Wed 7/15/20	Tue 7/21/20	249,248

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ID	Task Name	WBS	Duration	Start	Finish	Predecessors
257	Initial Support Coverage Level	2.5.3.5	0 days	Fri 4/17/20	Fri 4/17/20	189SS,185SS
258	Full Support Coverage Level	2.5.3.6	0 days	Wed 8/12/20	Wed 8/12/20	232SS
259	<i>M: Support Activities Complete</i>	2.5.3.7	0 days	Wed 8/12/20	Wed 8/12/20	258
260	3rd Party Workstream	2.5.4	88 days	Thu 4/30/20	Mon 8/31/20	
261	Review Request Process / Specifications	2.5.4.1	19 days	Thu 4/30/20	Tue 5/26/20	71
262	Revise Specifications (based on BRD)	2.5.4.2	10 days	Wed 5/27/20	Tue 6/9/20	261
263	3rd Party EVV Request Process Opens	2.5.4.3	0 days	Tue 6/9/20	Tue 6/9/20	262
264	3rd Party EVV Testing (for Go-Live)	2.5.4.4	59 days	Wed 6/10/20	Mon 8/31/20	263
265	CMS / MITA Workstream	2.5.5	94 days	Mon 3/23/20	Thu 7/30/20	43
266	Tools & Methods Understanding	2.5.5.1	20 days	Mon 3/23/20	Fri 4/17/20	
267	CMS R1 Results Review	2.5.5.2	10 days	Mon 4/20/20	Fri 5/1/20	266
268	CMS R2 Preparations	2.5.5.3	49 days	Mon 5/4/20	Thu 7/9/20	267
269	CMS R2 Review	2.5.5.4	15 days	Fri 7/10/20	Thu 7/30/20	268
270	CMS / MITA Workstream (R2 Presentation)	2.5.5.4.1	15 days	Fri 7/10/20	Thu 7/30/20	
271	Support Materials (Appendix B)	2.5.5.4.1.1	8 days	Fri 7/10/20	Tue 7/21/20	
272	Deliver EVV system support materials	2.5.5.4.1.1.3	3 days	Fri 7/10/20	Tue 7/14/20	
273	Review EVV System support materials	2.5.5.4.1.1.5	5 days	Wed 7/15/20	Tue 7/21/20	272
274	Checklist Support Documentation	2.5.5.4.1.2	7 days	Fri 7/10/20	Mon 7/20/20	
275	Deliver and Map EVV System support materials	2.5.5.4.1.2.5	5 days	Fri 7/10/20	Thu 7/16/20	
276	Review Checklist Support materials	2.5.5.4.1.2.2	2 days	Fri 7/17/20	Mon 7/20/20	275
277	Bidirectional Traceability	2.5.5.4.1.2.5	5 days	Fri 7/10/20	Thu 7/16/20	
278	Mapping of RTM to Project Documentation	2.5.5.4.1.2.5	5 days	Fri 7/10/20	Thu 7/16/20	
279	Mapping of RTM to UAT / SIT test results	2.5.5.4.1.2.5	5 days	Fri 7/10/20	Thu 7/16/20	
280	R2 Materials Presentation	2.5.5.4.1.3	7 days	Wed 7/22/20	Thu 7/30/20	271,274
281	Final Review	2.5.5.4.1.3.1	1 day	Wed 7/22/20	Wed 7/22/20	
282	IV&V Preparation & Review Period	2.5.5.4.1.3.5	5 days	Thu 7/23/20	Wed 7/29/20	281
283	CMS R2 Presentation	2.5.5.4.1.3.1	1 day	Thu 7/30/20	Thu 7/30/20	282
284	<i>M: CMS R2 Presentation Complete</i>	2.5.5.5	0 days	Thu 7/30/20	Thu 7/30/20	283
285	PAYMENT MILESTONE: DEVELOPMENT	2.5.6	0 days	Tue 8/25/20	Tue 8/25/20	155,146,284,229
286	Go-Live Phase	2.6	198 days	Tue 7/28/20	Fri 4/30/21	
287	Production Deployment	2.6.1	1 day	Fri 8/7/20	Fri 8/7/20	
288	EVV System: Deploy for all providers, CDS entities	2.6.1.1	1 day	Fri 8/7/20	Fri 8/7/20	228SS-3 days
289	Billing: Deploy Claims Service (837)	2.6.1.2	1 day	Fri 8/7/20	Fri 8/7/20	288SS
290	Data Warehouse: Deploy Export Schedule Service	2.6.1.3	1 day	Fri 8/7/20	Fri 8/7/20	288SS
291	3rd Party EVV: Deploy Intake Service	2.6.1.4	1 day	Fri 8/7/20	Fri 8/7/20	288SS
292	Aggregator: Deploy Configuration & Jurisdictional View	2.6.1.5	1 day	Fri 8/7/20	Fri 8/7/20	288SS
293	EVV Data Intake (Provider, Member, Authorization Data)	2.6.2	0 days	Tue 7/28/20	Tue 7/28/20	

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ID	Task Name	WBS	Duration	Start	Finish	Predecessors
294	Ongoing Production Data Delivery	2.6.2.1	0 days	Tue 7/28/20	Tue 7/28/20	
295	Provider Data Feed	2.6.2.1.1	0 days	Tue 7/28/20	Tue 7/28/20	106FS+25 days
296	Member Data Feed	2.6.2.1.2	0 days	Tue 7/28/20	Tue 7/28/20	106FS+25 days
297	Authorization Data Feed	2.6.2.1.3	0 days	Tue 7/28/20	Tue 7/28/20	106FS+25 days
298	SYSTEM GO-LIVE	2.6.3	0 days	Tue 9/1/20	Tue 9/1/20	
299	EVV Program "Soft Launch" Period	2.6.4	88 days	Tue 9/1/20	Thu 12/31/20	
300	Providers Begin Using EVV System	2.6.4.1	1 day	Tue 9/1/20	Tue 9/1/20	243,287,228SS
301	CDS Fiscal Entities Begin Using EVV System	2.6.4.2	0 days	Tue 9/1/20	Tue 9/1/20	300
302	Providers Using 3rd Party EVV Systems Begin Data Deliveries	2.6.4.3	0 days	Tue 9/1/20	Tue 9/1/20	300
303	Post-Launch Support & Stabilization	2.6.4.4	87 days	Wed 9/2/20	Thu 12/31/20	300
304	Account Management	2.6.4.4.1	43 days	Wed 9/2/20	Fri 10/30/20	
305	Monitor Operations, Determine Post Launch Focused Training Needs	2.6.4.4.1.1	43 days	Wed 9/2/20	Fri 10/30/20	
306	Transition Program to Account Management	2.6.4.4.1.2	43 days	Wed 9/2/20	Fri 10/30/20	
307	Outreach Workstream	2.6.4.4.2	40 days	Wed 9/2/20	Tue 10/27/20	
308	EVV System: Targeted Outreach to Delinquent Providers	2.6.4.4.2.1	40 days	Wed 9/2/20	Tue 10/27/20	
309	Consumer Directed: Targeted Support for Fiscals, Employers, Employees	2.6.4.4.2.2	40 days	Wed 9/2/20	Tue 10/27/20	
310	3rd Party EVV: Notice of Ongoing Support Availability	2.6.4.4.2.3	2 days	Wed 9/2/20	Thu 9/3/20	
311	Continue to support 3rd party EVV as required	2.6.4.4.2.4	40 days	Wed 9/2/20	Tue 10/27/20	
312	Training Workstream	2.6.4.4.3	49 days	Wed 9/2/20	Mon 11/9/20	
313	Conduct Optimization and Stabilization (Hot Topic) Trainings, if Needed	2.6.4.4.3.1	49 days	Wed 9/2/20	Mon 11/9/20	231
314	Conduct Additional Trainings as required	2.6.4.4.3.2	30 days	Wed 9/2/20	Tue 10/13/20	
315	Program Oversight Training: State Participants	2.6.4.4.3.3	10 days	Thu 10/1/20	Wed 10/14/20	
316	Jurisdictional View Training	2.6.4.4.3.3.1	8 days	Thu 10/1/20	Mon 10/12/20	
317	Business Intelligence Tool Training	2.6.4.4.3.3.2	2 days	Tue 10/13/20	Wed 10/14/20	316
318	Client Success (Support) Workstream	2.6.4.4.4	74 days	Wed 9/2/20	Mon 12/14/20	
319	EVV Program: Targeted Support for Delinquent Providers	2.6.4.4.4.1	74 days	Wed 9/2/20	Mon 12/14/20	
320	Consumer Directed: Targeted Support for Fiscals, Employers, Employees	2.6.4.4.4.2	74 days	Wed 9/2/20	Mon 12/14/20	
321	3rd Party EVV: Monitoring of Progress, Tier 2 support	2.6.4.4.4.3	74 days	Wed 9/2/20	Mon 12/14/20	
322	Implementation Complete	2.6.4.4.5	23 days	Tue 12/1/20	Thu 12/31/20	
323	Implementation Project Retrospective	2.6.4.4.5.1	3 days	Tue 12/1/20	Thu 12/3/20	
324	Project Summary / Closure Documentation	2.7.1	20 days	Fri 12/4/20	Thu 12/31/20	323
325	Close Implementation Project	2.7.2	0 days	Thu 12/31/20	Thu 12/31/20	324
326	<i>M: Post-Implementation Activities Complete</i>	2.7.3	0 days	Thu 12/31/20	Thu 12/31/20	325
327	PAYMENT MILESTONE: PRODUCTION	2.6.4.5	0 days	Thu 12/31/20	Thu 12/31/20	
328	Mandatory EVV Use Date (per Cures)	2.6.5	0 days	Fri 1/1/21	Fri 1/1/21	
329	CMS / MITA Workstream (R3)	2.6.6	173 days	Wed 9/2/20	Fri 4/30/21	
330	CMS R3 Production Metric Gathering	2.6.6.1	120 days	Wed 9/2/20	Tue 2/16/21	300

DRAFT: NE EVV Program Implementation Schedule

ID	Task Name	WBS	Duration	Start	Finish	Predecessors
331	Compilation of Checklist support evidence	2.6.6.2	10 days	Wed 2/17/21	Tue 3/2/21	330
332	Checklist Support Documentation	2.6.6.3	15 days	Wed 3/3/21	Tue 3/23/21	331
333	Deliver and Map EVV System support materials	2.6.6.3.1	10 days	Wed 3/3/21	Tue 3/16/21	
334	Review Checklist Support materials	2.6.6.3.2	5 days	Wed 3/17/21	Tue 3/23/21	333
335	R3 Materials Presentation	2.6.6.4	28 days	Wed 3/24/21	Fri 4/30/21	332
336	Final Review	2.6.6.4.1	5 days	Wed 3/24/21	Tue 3/30/21	
337	IV&V Preparation & Review Period	2.6.6.4.2	20 days	Wed 3/31/21	Tue 4/27/21	336
338	CMS R3 Presentation	2.6.6.4.3	3 days	Wed 4/28/21	Fri 4/30/21	337
339	PAYMENT MILESTONE: R3 COMPLETION	2.6.6.5	0 days	Fri 4/30/21	Fri 4/30/21	335



September 10, 2019

Via Email

Re: RFP 6113 Z1

TO WHOM IT MAY CONCERN:

Reference is made to the State of Nebraska, Department of Administrative Services, Materiel Division, State Purchasing Bureau, and its Request for Proposal Number 6113 Z1 (the "RFP") for the purpose of selecting a qualified bidder to provide an Electronic Visit Verification Solution. Under separate cover, Sandata Technologies, LLC ("Sandata"), is submitting a proposal in response to the RFP ("Sandata's RFP Response").

The RFP states that "in furtherance of the State's public records Statute (Neb. Rev. Stat. § 84-712 et seq.), all proposals or responses received regarding this RFP will be posted to the State Purchasing Bureau public website" and that the Bidders must request and identify the proprietary information to be excluded from the posting. The RFP goes on to state that the "bidder must submit a detailed written document showing that the release of the proprietary information would give a business advantage to named business competitor(s) and explain how the named business competitor(s) will gain an actual business advantage by disclosure of information. The mere assertion that information is proprietary or that a speculative business advantage might be gained is not sufficient. (See Attorney General Opinion No. 92068, April 27, 1992). The State will then determine, in its discretion, if the interests served by nondisclosure outweighs any public purpose served by disclosure. (See Neb. Rev. Stat. § 84-712.05(3)) The Bidder will be notified of the agency's decision. Absent a State determination that information is proprietary, the State will consider all information a public record subject to release regardless of any assertion that the information is proprietary."

Sandata's RFP Response contains the following trade secrets, or other proprietary and/or commercial items:

1. The enclosed 2018 audited financial statements (the "Financials");
2. Architectural Diagram in RFP Attachment A, Req #158 ID TEC. 9 (the "Architectural Diagram");
3. Product Roadmap in RFP Attachment A, Req #169 ID TEC. 20 (the "Product Roadmap");
4. Sandata's confidential commercial information:
 - a. Sandata's Ownership Information, RFP §A;
 - b. Sandata's Banking Reference, RFP §B; and
 - c. Sandata's Contract Performance Information, RFP §G (Section 2(a)-(c) are collectively referred to as "Sandata's Confidential Information")

The Financials, Architectural Diagram, Product Roadmap and Sandata's Confidential Information are collectively referred to as the "Documents."

In accordance with Nebraska Revised Statute §84-712.05(3), by this letter Sandata is requesting that the Documents be withheld from the public for the reasons set forth herein.

Page 1 of 4

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Under §87-502(4) of Nebraska's Trade Secrets Act, a trade secret is defined as "information, including, but not limited to, a drawing, formula, pattern, compilation, program, device, method, technique, code, or process that: (a) Derives independent economic value, actual or potential, from not being known to, and not being ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (b) Is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. Examples of trade secrets under §87-502(4) are (1) a recipe can be considered a trade secret, *see Magistro v. J. Lou, Inc.*, 270 Neb. 438, 703 N.W.2d 887 (2005) or (2) a customer list can be included in the definition of a trade secret, *see Home Pride Foods v. Johnson*, 262 Neb. 701, 634 N.W.2d 774 (2001).

Sandata strives to maintain the confidentiality of certain information about its business and accordingly limits access and only provides such information pursuant to executed agreements that require the recipient to maintain the confidentiality of the information, and prohibit the disclosure or duplication of such information, including information contained within the Documents. Sandata is a private company and the information contained in the Documents are accessible only by Sandata employees who have a need to know. We use a variety of measures to guard the secrecy of the information including administrative, physical, legal and technical controls. The Financials, Architectural Diagram and Product Roadmap are each extremely valuable to Sandata and were created with the expenditure of substantial time, money and effort. For example, the Architectural Diagram represents the Sandata EVV application architecture which includes the end to end process of how visit and other data is transmitted between applicable services and system environments. This process is unique and proprietary to Sandata. Sandata invests a significant amount of time in architecting its environments and back-end processes. This unique architecture is foundational to our position as leaders in the home healthcare market. Similarly, the Product Roadmap summarizes our strategic product initiatives and highlights how Sandata synthesizes information from its client base to create a product roadmap that is innovative and client-centric. Of necessity, this is unique to Sandata and how it has iterated products over the many decades of its existence. Disclosure of our future product plans would be detrimental to our advantage over our competitors.

Sandata derives economic value from the Financials, Architectural Diagram and Product Roadmap – each of those documents are Sandata's unique trade secrets that are not generally known and are extremely valuable to Sandata's business. All of our proposals responsive to public procurements contain a similar request that such information remain private and confidential and not be subject to public disclosure. While there is no case law squarely on point, by way of example, the Delaware the court found that publicly disclosing a unique form contract would have put the plaintiff "at a competitive disadvantage among its peers...who operate [similar] systems or who are looking to enter that market." *See Heron Bay P.O.A v. Cooter Sunrise, LLC et al.*, 2013 WL 3871432 (Del. Ch. Jun. 27, 2013) and granted trade secret protection to the unique form contract. Thus, the Financials, the Architectural Diagram and the Product Roadmap would seem to fall squarely within the definition of a "trade secret."

In addition to trade secrets, the other type of information covered by Nebraska Revised Statute §84-712.05(3) is "other proprietary or commercial information." Sandata's Confidential Information falls within this category. This information is proprietary and confidential and not known to the general public. Contained within it is information about our ownership structure, financial information about our banking reference, and detailed



information about the outcomes of our various state contracts, including contracts that were not renewed or that had performance penalties.

Two Attorney General Opinion letters set out that “nondisclosure must be based upon a showing that a specified competitor[s] may gain a demonstrated advantage by disclosure rather than upon an assertion that some unknown business competitor may gain some unspecified advantage.” (see Attorney General Opinion No. 92068, April 27, 1992 and Opinion No. 97033, June 4, 1997). On each state electronic visit verification request for proposal Sandata encounters a similar group of competitors, such as Therap, Conduent/Tellus, First Data, HHAX, FEI, and Healthstar (collectively, “Sandata Competitors”). Disclosure of the Documents, or any portion thereof, would give a competitive advantage to Sandata’s Competitors in that we vigorously compete with one another in order to win a state RFP and disclosure of nonpublic commercial information would give a decided advantage in the RFP bid process. Disclosure of the Documents would not only cause Sandata to lose its trade secret protection over the Financials, Architectural Diagram and Product Roadmap but would, moreover, cause substantial competitive harm to Sandata as the Sandata Competitors would be in possession of significant material nonpublic information about Sandata and use of this confidential proprietary/commercial information would place us at a competitive disadvantage for future State RFPs and, generally, in the home healthcare industry, which is the industry that Sandata’s business model is based on. Stated differently, under Nebraska Revised Statute §84-712.05(3), if the Documents were released, such disclosure would clearly “give [an] advantage to business competitors” at Sandata’s expense.

Unlike other similar state statutes, Nebraska’s nondisclosure statute adds an additional prong that would apply both to trade secrets and other proprietary or commercial information. Not only does Sandata have to demonstrate that disclosure of the information “would give advantage to business competitors” but that is also would “serve no public purpose.” In Aksamit Resource Mgmt. v. Nebraska Pub. Power Dist., 299 Neb. 114 (February 23, 2018), the Supreme Court states that a “public purpose has for its objective the promotion of the public health, safety, morals, security, prosperity, contentment, and the general welfare of all the inhabitants.” That case turned on the fact that the NPPD was not a private company but a “public corporation organized for the purpose of generating...electrical energy...” (see Aksamit, pages 125 and 126). As a “public corporation” the Supreme Court found that “if a district wishes to acquire an existing system for electric light and power...a copy of the proposed contract must be open to public inspection for a period of time before being executed.”

In the case of private companies, Aksamit is inapposite and does not apply. The advantage that the State of Nebraska gains and one of the purposes of requiring competitive bids, is to have private companies compete against one another in order to win the state’s business. In order to ensure competitive processes going forward, it is in the state’s best interests to keep trade secrets and other proprietary or commercial information confidential in order to encourage companies to provide a best and final offer. Further, the state has a vested interest in receiving all of the relevant information in order to properly evaluate such bids. Disclosing proprietary or commercial information could result in a chill in subsequent RFP disclosures that would not be beneficial for the state. Most, if not all companies, have restrictive processes in place in order to keep critical business information confidential. Therefore, in this case, it would harm the public purpose to disclose competitive confidential information.



For the reasons set forth herein, we respectfully request that the Documents not be publicly disclosed and be given confidential and proprietary treatment. Thank you for your time in this matter. If you have any questions, please do not hesitate to contact me at (516) 484-4400, extension 1299 or KFaltischek@sandata.com.

Sincerely,

A handwritten signature in black ink, appearing to read 'KFaltischek', written over a horizontal line.

Kenneth D. Faltischek
COO



**Requirement Specification for
Receipt of Alternate Electronic Visit Verification
Systems Data (altEVV)
Part of the Open EVV Series of Interfaces**

Version 7.5

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Revision History

Version	Description	Date Updated
7.1	Clarified wording of acceptable formats (SOAP vs REST)	3/26/2019
7.2	Added Visit Tasks segment	6/10/2019
7.3	Add Client Coordinator, Authorization Effective Dates	6/18/2019
7.4	Removed requirement that client latitude and longitude be set	6/24/2019
7.5	Added Technical Companion Appendix. Removed extra Client ID field in visit segment (ClientIdentifier).	8/9/2019



1 Overview

This specification is intended to document the requirements for using the Sandata Real Time Interface (part of the Open EVV Series of Interface) for receiving information from 3rd party EVV Vendors into the Sandata Aggregator. This interface is also referred to as the Alternate EVV Data Interface of altEVV. An Alternate EVV Data Collection System will build one data pipe to the Aggregator and send synchronous data 'packages' per defined provider agency.

This interface includes clients, employees, visits, and their associated calls as well as the ability to send data related to visit modifications.

A companion guide will be created for each Payer / Program implemented to specify agreed upon frequencies, additional required fields and those fields which will be omitted or left to the sender's discretion.

In addition, appendix 3.6 contains technical information and examples for each entity type.

1.1. Intended Audience

The intended audience of this document is:

- Project Management and Technical teams at Sandata.
- Project Management and Technical teams at a designated Providers/Vendors who will be implementing this interface.

1.2. Transmission Frequency

For optimal system performance, it is recommended that visits should be sent in near real time. It is expected that information is sent as it is added/changed/deleted in the Alternate EVV Data Collection System. Note that rejection responses will be delivered on a separate API call that is initiated by the third party—in near real time.

1.3. Transmission Limits

A single transaction may contain from 1 to 5,000 records. A single record set would include all associated elements.

If the group size exceeds the maximum limit for the group, the complete group will be rejected.

During peak loads, records received may be queued and processed as resources permit. Other transactions received for the Provider ID will be queued behind these until they are processed since they must be processed in the proper order.

1.4. Data Type Format Details

The user will send information in **JSON or XML** format. JSON and XML allow multiple "child" entities for a parent.

The format of the information sent must match exactly the format defined below and must be sent via web service using JSON or XML. Ultimately, we support only three data types during transmission: string, number and Boolean. The specification uses more additional data types to ensure that data is received in the expected formats and appropriate record level editing can be incorporated. Except where numeric, the assumed JSON and XML format should be string. The data type provided in the specification is based on the following field definitions.

See appendix 3.6 for samples transmissions.

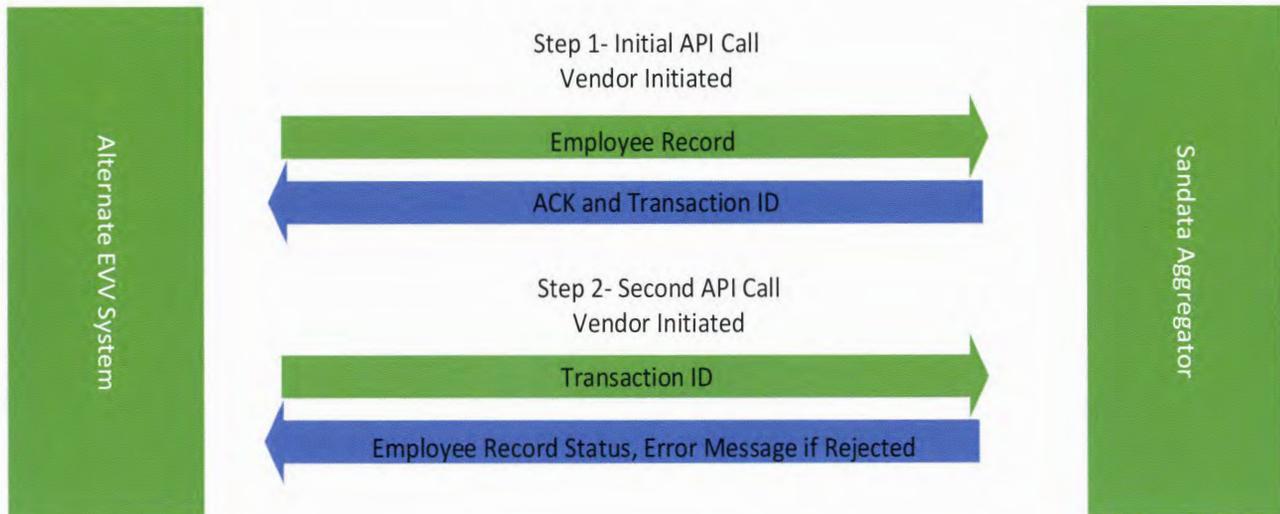
Note that the format is case sensitive. All field names must be provided in EXACTLY the casing used in the definitions below. Sandata recommends using RESTful services with JSON formatting.

Data Type	Description	Example
DateTime	<p>The date and time is represented as a string with the following format: YYYY-MM-DDTHH:MM:SSZ</p> <p>All times will be provided in UTC.</p> <p>If time is not material, it will be provided as is expected.</p>	2016-12-20T16:10:28Z
Date (only Date)	<p>The data is represented as a string with the following format: YYYY-MM-DD</p> <p>Date only will be sent in UTC format.</p>	2016-12-20
Timezone	<p>All time for tracking visits will be in UTC.</p> <p>Timezone values are based on the Internet Assigned Numbers Authority (IANA) Time Zone Database, which contains data that represents the history of local time for locations around the globe. It is updated periodically to reflect changes made by political bodies to time zone boundaries, UTC offsets, and daylight-saving rules.</p>	<p>A complete list of time zones can be found at: https://www.iana.org/time-zones</p> <p>See Appendix for list of EVV supported Timezones</p>

Data Type	Description	Example
	The Time zone name expected in each transaction is the actual Time zone where the event took place. i.e. US/Eastern	
String	A string is a row of zero or more characters which can include letters, numbers, or other types of characters as a unit, not an array of single characters. (e.g. plain text).	"This is a string" (See Wikipedia String)
Integer	An integer is a numeric value without a decimal. Integers are whole numbers and can be positive or negative.	52110 (positive) -87721 (negative) (See Wikipedia Integer)
Decimal	A floating point number is referred to as a decimal . Can be positive or negative.	8221.231 (positive) -71.214 (negative) (See Wikipedia Decimal)
Boolean	A logic predicate indicator that can be either true or false.	True False See Wikipedia Boolean

1.5. Rejected Record Process

When records are received, Sandata will return against each group a transaction ID and an ACK (acknowledgment of receipt). This transaction ID can be queried by the caller for status of the records in the transaction. This process will allow the provider/vendor to get status on any of the records that may have been rejected. The example below is for an employee record.



1.6. New Record and Updates

New records and updates for previously sent data should be provided via clients, employees, visits interfaces ('data packages'). If a set of records is sent (either client, employee, or visit), all associated applicable elements should be sent. Partial updates will be rejected. An update that deletes a record will not actually remove information since Sandata will not physically delete information. The deleted record/s will no longer be visible on the application. However, the record history will maintain the original data received.



1.7. Transmission Method

Sandata supports an SOA architecture. Sandata will provide an API for 3rd party vendors or agency's internal IT organizations to utilize. Sandata will provide sample JSON or XML format information (Java equivalent to XML), as well as the WADL (JSON equivalent of the WSDL) to those parties developing the interface. This specification will include the rest endpoints needed to request status on record acceptance /rejection.

See appendix 3.6 for sample transmissions.

1.8. Rules

The following rules apply to information received through this interface. For all rules that result in a rejection, it is expected that the issue will be resolved in the Alternate Data Collection System and the information subsequently retransmitted.

- ✓ There is one set of Interfaces per Sandata Provider Agency ID.

- ✓ There will be 3 independent types of data provided through the Alternate EVV interface:
 - Clients;
 - Employees (Field Staff); and
 - Visit Information.

Each will be sent individually but can be delivered through the same single connection.

THE ALTERNATE DATA COLLECTION SYSTEM WILL BE RESPONSIBLE FOR:

- ✓ Visit transmittals. Visits should be transmitted near real time. Actual payer frequency requirements may vary. Note that rejection responses will be delivered as separate API calls initiated by the third party. Information should be sent for only those records that are added, changed, or deleted. This is considered to be an incremental interface. Records which have not changed should not be resent.

- ✓ Complete transmissions.
 - When sending a client, all applicable elements and sub elements must be sent during each transmission.
 - When sending an employee, all applicable elements and sub elements must be sent during each transmission.
 - When sending a visit, all applicable elements and sub elements must be sent during each transmission.

- ✓ Call matching. Calls received--regardless of the collection method used by the Alternate Data Collection System--are received together into a complete visit by the Aggregator, per the specification. Sandata will not attempt to match or rematch the visits received.



- ✓ Data quality. all data will be accepted from third party data "as is," including any calculated fields.
- ✓ Latitude and Longitude. Alternate EVV Data Collection Systems are responsible for providing latitude and longitude on all client addresses provided. Latitude and longitude must be provided for both the visit start and visit end time, assuming it is collected via a GPS-enabled device.
- ✓ Assigning sequence numbers. For each of the 3 types of records (client, employee, visit), the Alternate Data Collection System will be responsible for assigning sequence numbers for each interface to ensure that updates are applied in the appropriate sequence. If a record is rejected, an incremented sequence is expected on the next transmission of that record set. Sequence numbers are per unique record (client, employee, visit) and record set (modifications to the same client, employee, visit). For example, the first time a particular client is sent, the sequence would be set to 1. The second time that same client is sent, the sequence would be set to 2, etc.
- ✓ Having the ability to correct defined exceptions. Exceptions must be corrected using the standard set of reason codes provided by Payer/State. Some of the defined reason codes require additional text to provide additional information; this information must also be sent as part of this interface.
- ✓ Change log transmission. Changes made to all visit information must be fully logged, and the log information must be transmitted as part of the visit record, as applicable.
- ✓ Using standard date/time format. All dates and times provided must be sent in UTC (Coordinated Universal Time) format in GMT.

GENERAL PROCESSING RULES:

- ✓ If a record is received and any required data is missing, malformed, or incomplete as defined in the specification, the record will be rejected or set to default values in accordance with the detailed specifications.
- ✓ If an optional field is provided with an invalid value (one not listed in this specification), the field will be set to the default value, null and/or rejected, unless otherwise specified in this specification.
- ✓ If text (string) field length is longer (>/greater than) than the maximum allowed for that field value, unless otherwise noted, the field will be truncated to the maximum length specified for that field.
- ✓ Any record without a sequence number will be rejected. Sequence numbers are per unique record (client, employee, visit). For example, the first time a particular client is sent, the sequence would be set to 1. The second time the same client is sent, the sequence would be set to 2, etc.
- ✓ Records will be processed in the order received using the assigned sequence number.



- ✓ If a record that has been received has a sequential number that is less than the one already processed, it WILL BE PROCESSED, but will be logged as “received” and inserted into history. It will not be considered to be the current record.
- ✓ Header information as determined for the payer and program must be included in each transmission for each record (client, employee, visit), otherwise the entire collection of records will be rejected.

CLIENT RULES:

The following represents a subset of the requirements for client information. Please see the Field Information section of this document for all applicable rules.

- ✓ If the client does not include at least 1 complete address (address line 1, city, state, zip code) with a latitude and longitude, the client will be rejected.
- ✓ If the client does not include the defined unique identifier, the client will be rejected.
- ✓ If the client does not include a Client Other ID (external ID) and Sequence ID, the client will be rejected.
- ✓ If the client does not include first name, last name and time zone, the client will be rejected.

EMPLOYEE RULES:

The following represents a subset of the requirements for employee information. Please see the Field Information section of this document for all applicable rules.

- ✓ If the employee 9-digit social security number is required for the payer / program and this value is not provided, the employee will be rejected.
- ✓ If Staff Other ID (External ID), Sequence ID and Staff ID are not provided, the employee will be rejected.
- ✓ If employee first name and last name are not provided, the employee will be rejected.

VISIT RULES:

- ✓ No Client Provided - To allow the Aggregator to determine if the visit is for a Payer/State client, the visit must include a client. If a visit does not include a client, the complete visit will be rejected.
- ✓ Invalid/Unknown Client Provided - To allow the Aggregator to determine if the visit is for a Payer/State Client, the visit must include a valid client associated with the payer. If a visit includes a client that is unknown to Sandata (has not been received and accepted), the complete visit record will be rejected.
- ✓ No Employee Provided / Invalid or Unknown Employee Provided - If a visit does not include an employee (visit record send without an employee associated), the visit will be accepted and the ‘Unknown Employee’ exception will be calculated and applied. This record is accepted but raises an exception.



- ✓ The Alternate EVV system is expected to be able to handle a visit that crosses calendar days.
- ✓ A visit can only be cancelled if it does not have any calls associated with it or any adjusted times. If a visit has calls but is being cancelled in the source EVV system, the “Bill Visit” indicator should be set to False to indicate that the visit should be disregarded for billing purposes. The visit status will be set to Omit by the Aggregator.
- ✓ The following rules apply to the dates and times provided for the visit:

Date and Time Exists for the Following:				Rule
Call In	Call Out	Adjusted In	Adjusted Out	
x	x			Call Out must be > Call In Otherwise record rejected.
Superseded by Adj. In	Superseded by Adj. Out	X	x	Adj. Out must be > Adj. In Otherwise record rejected.
x	Superseded by Adj. Out		x	Adj. Out must be > Call In Otherwise record rejected.
Superseded by Adj. In	x	X		Call Out must be > Adj. In Otherwise record rejected.

- ✓ Upon receipt, Sandata will calculate all configured Payer/Program exceptions and apply those exceptions as applicable. For those exceptions that may be recalculated over the life of the visit, these exceptions will be calculated as appropriate.
- ✓ It is assumed that there are some exceptions that cannot be “fixed” in the Alternate Data Collection System by their nature. They are configured for the Payer/State program as requiring acknowledgement by the system user. One of the included visit elements provides the ability for the user to send their acknowledgement. These exceptions require attestation that the exception has been reviewed/acknowledged in the system along with the appropriate reason code and attestation that appropriate documentation exists. Exceptions are specific to a given Payer/Program and will be noted in the associated companion guide.
- ✓ Upon receipt, Sandata will calculate and apply visit status as defined for the Payer/Program.
- ✓ The Alternate Data Collection System will be expected to send a reason code and optionally the defined resolution code if it applies to the payer. Based on the definitions of the reason codes, some reason codes require additional information explaining the change. If additional information is required, the alternate data collection system must collect the information and include it when transmitting the visit to Sandata.

1.9. Sequencing

The SequenceID on all three types of records (clients, employees, visits) should be independent per record and should be incremented each time any record is sent. The Sequence ID will be used to ensure that a record is processed only once and that the most current information is used for reporting and claims processing. In the event a visit update is not accepted (rejected), the SequenceID on that transmission should not be reused. The next update should increment to the next number in the sequence. Failure to do so will cause the new record to be rejected as a duplicate.

Sequence Rules:

- If the latest SequenceID is greater than the highest value previously received, the record set will not be rejected. i.e. latest SequenceID = 5, previous SequenceID = 4 → Record accepted and latest record is displayed.
- If the latest SequenceID is less than the value previously received, and the record has not yet been processed, it will be accepted and recorded as historical information. i.e. latest SequenceID = 8, previous SequenceID = 10 → Record accepted and latest record is still SequenceID = 10.
- If the Sequence ID is equal to a value previously received, it will be rejected. i.e. latest SequenceID = 15, previous SequenceID = 15 → Record rejected.
- Gaps in sequence will be allowed.

Please Note:

For those agencies that wish to use the Alternate EVV interface, and would prefer to use timestamps as the sequence number in their deliveries, the Sandata system can accept the timestamp value as the sequence number, under two conditions:

- 1. The timestamp value provided must contain only numbers, and no other symbols (i.e. “/”, “-”, and “:” characters removed)*
- 2. The timestamp value provided must be formatted as YYYYMMDDHHMMSS. For example:*

Timestamp Value	Formatted as Sequence Number (YYYY+MM+DD+HH+MI+SS)
April 6, 2017 3:23:15pm	20170406152315
	<div style="display: flex; justify-content: space-around; font-size: small;"> Year Month Day Hour (24) Minute Second </div>

1.10. Message Acknowledgement (ACK) and Transaction ID

Index	Column Name	Description	Max Length	Type
1	AgencyIdentifier	Unique identifier for the agency.	10	String
2	ProviderID	Unique identifier for the agency.	64	String
3	TransactionID	Unique identifier for the request generated by the payer.	50	String
4	Reason	Default and only value provided: "Transaction Received"	250	String

1.11. Response for Record Status

Index	Column Name	Description	Max Length	Type
1	AgencyIdentifier	Unique identifier for the agency.	10	String
2	ProviderID	Unique identifier for the agency.	64	String
3	RecordType	Type of record that was rejected Values: Client, Employee, Visit	10	String
4	RecordOtherID	Value of the record identifier	50	String
5	Reason	Default and only value provided: "Transaction Received"	250	String



2 Field Information

Note that this element will be required as part of the header information provided for all three types of transmissions. This information will be compared to the connection being used within the interface to ensure that the transmission is appropriate. If this match cannot be validated, the transmission will be rejected. As part of the implementation process, required fields may be adjusted and the available fields may be reduced based on the program specifics.

See appendix 3.6 for sample transmissions.

2.1 Provider Identification

Index	Column Name	Description	Max Length	Type	Required
1	ProviderQualifier	Identifier being sent as the unique identifier for the provider. Values: SandataID, NPI, API, MedicaidID, TaxID, Taxonomy, Legacy, Other.	20	String	Yes
2	ProviderID	Unique identifier for the agency.	64	String	Yes

2.2 Client General Information

Additional fields may be required depending on the program; fields below may be ignored if a Payer Client Feed is implemented.

Index	Column Name	Description	Max Length	Type	Required
1	ClientID	Assigned client_id. If a value is assigned by another system. Note that this value can be automatically assigned by Sandata EVV. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable.	10	String	

Index	Column Name	Description	Max Length	Type	Required
2	ClientFirstName	Client's First Name.	30	String	Yes
3	ClientMiddleInitial	Client's Middle Initial.	1	String	
4	ClientLastName	Client's Last Name.	30	String	Yes
5	ClientQualifier	Value being sent to unique identify the client. Values: ClientSSN; ClientOtherID, ClientCustomID. Should be the same as the value used by the Payer if a client feed is provided by the payer.	20	String	Yes. Please see the Addendum for program specific values.
6	ClientMedicaidId	Unique ID provided by the State Medicaid program to the client.	64	String	Yes. Please see the Addendum for program specific values.
7	ClientIdentifier	Payer assigned client identifier identified by ClientQualifier. If client and associated authorization information is received from the payer, this information will be used to link the received Third Party EVV information with the payer information provided.	64	String	Yes. Please see the Addendum for program specific values.
8	MissingMedicaidID	Indicator that a patient is a newborn. If this value is provided, Client Medicaid ID will be ignored and will be valid as null. Values True/False	5	String	

Index	Column Name	Description	Max Length	Type	Required
9	SequenceID	The Third Party visit sequence ID to which the change applied.	16	Integer	Yes
10	ClientCustomID	Additional Client User-Defined ID. Commonly used to customize the built-in client ID within the system. Must be provided if billing is in scope. May be equal to another ID provided.	24	String	
11	ClientOtherID	Additional Client User-Defined ID. Commonly used to store client's ID from another system. This value is used to match the client to an existing record during import. During implementation it will be determined if this value or the ClientSSN will be used for matching.	24	String	
12	ClientSSN	Client's Social Security Number. If the Field is left empty, ClientOtherID must be populated. Not required if ClientOtherID sent. Numbers only, no dashes and leading zeroes must be included. May be required if needed for billing. Format - #####.	9	String	
13	ClientTimeZone	Client's primary time zone. Depending on the program, this value may be defaulted or automatically calculated. Please see the appendix for acceptable values.	64	Timezone	Yes
14	Coordinator	The staff member assigned to the Client in a specific Agency as the coordinator for an employee. The values for this field will be defined during implementation.	3	String	

2.3 Client Payer Information

This segment is only required for programs where members/clients and their association to the associated programs and services is not provided by the payer.

Index	Column Name	Description	Max Length	Type	Required
1	PayerID	Sandata EVV assigned ID for the payer. Payer ID is determined during the implementation process.	64	String	Yes. Please see the Addendum for program specific values.
2	PayerProgram	If applicable, the program to which this visit belongs. Potential use and list of values to be determined during implementation.	9	String	Yes. Please see the Addendum for program specific values.
3	ProcedureCode	This is the billable procedure code which would be mapped to the associated service. For most programs, it is the HCPCS number.	5	String	Yes. Please see the Addendum for program specific values.
4	ClientPayerID	Unique Identifier sent by Payer.	20	String	
5	ClientEligibilityDateBegin	Client Eligibility Begin Date. This field is optional if ClientStatus is sent.	10	Date	
6	ClientEligibilityDateEnd	Client Eligibility End Date. This field is optional if ClientStatus is sent.	10	Date	
7	ClientStatus	The client's current status. Provide the 2-digit code including the 0. Available values: 02 = Active, 04 = Inactive. This field is optional if ClientEligibilityDateBegin or ClientEligibilityDateEnd is sent.	2	String	
8	EffectiveStartDate	The effective start date for the client payer information.	10	Date	Yes
9	EffectiveEndDate	The effective end date for the client payer information.	10	Date	

2.4 Client Address

At least one record for each client is required if GPS validation is required for the program. If an address is provided via a Payer feed, this address information will be regarded as secondary based on program rules.

Index	Column Name	Description	Max Length	Type	Required
1	ClientAddressType	Values: Home, Business, Other. Note that multiple of the same type can be provided. Default to Other if not available.	12	String	Yes
2	ClientAddressIsPrimary	One address must be designated as primary Values: true/false	5	String	Yes
3	ClientAddressLine1	Street Address Line 1 associated with this address. PO Box may not be acceptable for Billing and PO Box will not function correctly for MVV.	30	String	Yes
4	ClientAddressLine2	Street Address Line 2 associated with this address.	30	String	
5	ClientCounty	County associated with this address	25	String	
6	ClientCity	City associated with this address.	30	String	Yes
7	ClientState	State associated with this address. Two Character standard abbreviation.	2	String	Yes
8	ClientZip	Zip Code associated with this address. Required for Billing. 9-digit primary address zip code. If additional 4 digits are not known, provide zeros. Format #####.	9	String	Yes
9	ClientAddressLongitude	GPS Longitude recorded during event. Longitude has a range of -180 to 180 with a 15 digit precision	20	Decimal	
10	ClientAddressLatitude	GPS Latitude recorded during event. Latitude has a range of -90 to 90 with a 15 digit precision	19	Decimal	

2.5 Client Phone - Optional

Index	Column Name	Description	Max Length	Type	Required
1	ClientPhoneType	Values: Home, Mobile, Business and Other. Note that multiple of the same type can be provided. Default to Other if not available.	12	String	
2	ClientPhone	Client phone number. Format #####.	10	String	

2.6 Responsible Party/Designated Signer-

Provide if applicable for the Client and in the absence of a Payer member feed.

Index	Column Name	Description	Max Length	Type	Required
1	ClientContactType	Client Contact Type. Values: Family, Other.	12	String	
2	ClientContactFirstName	Client Contact First Name. Entered by provider agency.	30	String	
3	ClientContactLastName	Client Contact Last Name. Entered by provider agency.	30	String	
4	ClientContactPhoneType	Client Contact's Phone Type. Values: Business, Home, Mobile, Other.	12	String	
5	ClientContactPhone	Client Contact Home Phone Number. Entered by provider agency. Format #####.	10	String	
6	ClientContactEmailAddress	Client Contact's email address. Required if this client will be authorized to login to the client portal as the client's authorized representative and approve timesheets on behalf of the client.	64	String	
7	ClientContactAddressLine1	Client Contact's Street Address, Line 1.	30	String	
8	ClientContactAddressLine2	Client Contact's Street Address, Line 2.	30	String	
9	ClientContactCity	Client Contact's City.	30	String	
10	ClientContactState	Client Contact's State. Two Character standard abbreviation.	2	String	
11	ClientContactZip	Client Contact's Zip Code. 9-digit primary address zip code. If additional 4 digits is not known, provide zeros. Format #####.	9	String	

2.7 Employee General Information

Index	Column Name	Description	Max Length	Type	Required
1	EmployeeQualifier	Value being sent to unique identify the employee. Values: EmployeeSSN, EmployeeRegID, EmployeeCustomID.	20	String	Yes
2	EmployeeIdentifier	Employee identifier identified by EmployeeQualifier. If employee information is received from the payer, this information will be used to link the received 3 rd party EVV information with the payer information provided and should be defined as the same value.	9	String	Yes
3	EmployeeOtherID	Unique employee identifier in the external system, if any.	64	String	
4	SequenceID	The Third Party visit sequence ID to which the change applied	16	Integer	Yes
5	EmployeeSSN	Employee Social Security Number. Employee SSN may be required depending on the program rules.	9	String	Please see the Addendum for program specific values.
6	EmployeeLastName	Employee's Last Name	30	String	Yes
7	EmployeeFirstName	Employee's First Name	30	String	Yes
8	EmployeeEmail	Employee's Email Address	64	String	Yes
9	EmployeeManagerEmail	Email of the Employee's Manager	64	String	
10	EmployeeAPI	Employee Client's Alternate Provider Identifier or Medicaid ID.	25	String	
11	EmployeePosition	Values for Payer/State Programs to be determined during implementation. If multiple positions, send primary.	3	String	

2.8 Visit General Information

Index	Column Name	Description	Max Length	Type	Required
1	VisitOtherID	Visit identifier in the external system	50	String	Yes
2	SequenceID	The Third Party visit sequence ID to which the change applied	16	Integer	Yes
3	EmployeeQualifier	Value being sent to unique identify the employee. Values: EmployeeSSN, EmployeeRegID, EmployeeCustomID.	20	String	Yes
4	EmployeeOtherID	Unique employee identifier in the external system, if any.	64	String	
5	EmployeeIdentifier	Employee identifier identified by EmployeeQualifier. If employee information is received from the payer, this information will be used to link the received 3 rd party EVV information with the payer information provided and should be defined as the same value.	9	String	Yes
6	GroupCode	This visit was part of a group visit. Group Code is used to reassemble all members of the group.	6	String	
7	ClientIDQualifier	Value being sent to unique identify the client. Values: ClientID, ClientSSN; ClientOtherID, ClientCustomID. Should be the same as the value used by the Payer if a client feed is provided by the payer.	20	String	Yes
8	ClientID	Identifier used in the client element.	64	String	Yes
9	ClientOtherID	Additional Client User-Defined ID. Commonly used to store client's ID from another system. This value is used to match the client to an existing record during import.	24	String	
10	VisitCancelledIndicator	true/false – allows a visit to be cancelled / deleted based on defined rules.	5	String	Yes
11	PayerID	Sandata EVV assigned ID for the payer. Payer ID is determined during the implementation process.	64	String	Yes. Please see the Addendum for program specific values.

Index	Column Name	Description	Max Length	Type	Required
12	PayerProgram	If applicable, the program to which this visit belongs. Potential use and list of values to be determined during implementation.	9	String	Yes. Please see the Addendum for program specific values.
13	ProcedureCode	This is the billable procedure code which would be mapped to the associated service. For most programs, it is the HCPCS number.	5	String	Yes. Please see the Addendum for program specific values.
14	Modifier1	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
15	Modifier2	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
16	Modifier3	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
17	Modifier4	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
18	VisitTimeZone	Visit primary time zone. Depending on the program, this value may be defaulted or automatically calculated. Please see the appendix for acceptable values. Should be provided if the visit is occurring in a time zone other than that of the client.	64	Timezone	Yes
19	ScheduleStartTime	Activity / Schedule start date and time. This field is generally required but may be omitted if the schedule is denoting services that can happen at any time within the service date.	20	DateTime	

Index	Column Name	Description	Max Length	Type	Required
20	ScheduleEndTime	Activity / Schedule end date and time. This field is generally required but may be omitted if the schedule is denoting services that can happen at any time within the service date.	20	DateTime	
21	AdjInDateTime	Adjusted in date/time if entered manually. Otherwise the actual date/time received.	20	DateTime	
22	AdjOutDateTime	Adjusted out date/time if entered manually. Otherwise the actual date/time received.	20	DateTime	
23	BillVisit	True/False. If the visit is going to be billed, should be sent as Y. Otherwise N.	5	String	
24	HoursToBill	Hours that are going to be billed.	99.999	Decimal	
25	HoursToPay	If payroll is in scope for the payer program, the hours to pay.	99.999	Decimal	
26	Memo	Associated free form text.	512	String	
27	ClientVerifiedTimes	true/false	5	String	
28	ClientVerifiedTasks	true/false	5	String	
29	ClientVerifiedService	true/false	5	String	
30	ClientSignatureAvailable	true/false The actual signature will not be transferred. The originating system will be considered the system of record.	5	String	
31	ClientVoiceRecording	true/false The actual voice recording will not be transferred. The originating system will be considered the system of record.	5	String	

2.9 Calls

If calls are not provided, adjusted times must be included in the parent visit element. Calls include any type of clock in or clock out depending on system capabilities. Note that some vendor systems may not record some visit activity as calls. If this is the case, the call element can be omitted. Sandata will treat visit information without calls as manually entered.

Index	Column Name	Description	Max Length	Type	Required
1	CallExternalID	Call identifier in the external system	16	String	Yes
2	CallDateTime	Event date time. Must be at least to the second.	20	DateTime	Yes
3	CallAssignment	Values: Time In, Time Out, Other	10	String	Yes
4	GroupCode	This visit was part of a group visit. Group Code is used to reassemble all members of the group.	6	String	
5	CallType	The type of device used to create the event. Values: Telephony, Mobile, FVV, Manual, Other. Any call with GPS data collected should be identified as Mobile. FVV should be used for any type of Fixed verification device.	20	String	Yes
6	ProcedureCode	This is the billable procedure code if identified on the call. For most programs, it is the HCPCS number. The actual entered value should be provided.	5	String	Please see the Addendum for program specific values.
7	ClientIdentifierOnCall	If a client identifier was entered on the call, this value should be provided.	10	String	Conditional See description
8	MobileLogin	Log in used if a mobile application is in use for GPS calls. Required if CallType = 'Mobile'.	64	String	Conditional See description
9	CallLatitude	GPS Latitude recorded during event. Latitude has a range of -90 to 90 with a 15 digit precision. Required for CallType = Mobile.	19	Decimal	Conditional See description

Index	Column Name	Description	Max Length	Type	Required
10	CallLongitude	GPS Longitude recorded during event. Longitude has a range of -180 to 180 with a 15 digit precision. Required for CallType = Mobile.	20	Decimal	Conditional See description
11	Location	Specific values to be provided based on the program.	25	String	
12	TelephonyPIN	PIN for telephony. Identification for the employee using telephony. Required if CallType = Telephony.	9	Integer	Conditional See description
13	OriginatingPhoneNumber	Originating phone number for telephony. Required if CallType = Telephony.	10	String	Conditional See description

2.10 Visit Exception Acknowledgement

Index	Column Name	Description	Max Length	Type	Required
1	ExceptionID	ID for the exception being acknowledged. Exact values for exceptions implemented are based on program rules.	2	String	Please see the Addendum for program specific values.
2	ExceptionAcknowledged	true/false	5	String	

2.11 Visit Changes

Index	Column Name	Description	Max Length	Type	Required
1	SequenceID	The Third Party visit sequence ID to which the change applied	16	String	Yes
2	ChangeMadeBy	The unique identifier of the user, system or process that made the change. This could be a system identifier for the user or an email. Could also be a system process, in which case it should be identified.	64	String	Yes
3	ChangeDateTime	Date and time when change is made.	20	DateTime	Yes
4	GroupCode	This visit was part of a group visit. Group Code is used to reassemble all members of the group.	6	String	
5	ReasonCode	Reason Code associated with the change.	4	String	Yes. Please see the Addendum for program specific values.
6	ChangeReasonMemo	Reason/Description of the change being made if entered. Required for some reason codes.	256	String	Conditional See description. Please see the Addendum for program specific values.
7	ResolutionCode	Resolution Codes if selected. Resolution Codes are specific to the program.	4	String	

2.12 Visit Tasks

Index	Column Name	Description	Max Length	Type	Required
1	TaskID	Task id, this task id must map to the Task IDs used for the agency in the Sandata system.	4	String	Yes
2	TaskReading	Task reading	10	String	
3	TaskRefused	Did the client refuse the specific task. true/false	5	Boolean	

3 Appendix

3.1 Assumptions

There is no other external interface other than what is mentioned in this document.

3.2 Other Important Points to Note

Please note that this list will have periodic additions as new functionality is added and made available for transmission from Alternate EVV systems.

In the event of any required changes to the web services apart from the functionality covered in this document or the functionality already present in the code, it is recommended that a formal change control process be followed so as to ensure a set process for planning and scheduling, implementation of the same, verification and validation and roll-out for user testing.

3.3 Legend

Legend	
Field Name	Other Possible Naming
Client	Individual Member Patient Recipient
Employee	Caregiver Consumer Directed Worker Home Health Aide Staff Worker
Provider	Agency Third Party Admin (TPA)
Payer	Admission Contract Insurance Company Managed Care Organization (MCO) State

Legend	
Field Name	Other Possible Naming
Contract	Program Program Code
HCPCS	Bill Code <i>Procedure Code</i> <i>Service</i>

3.4 Acronyms and Definitions

Term	Definition
AKA	Also Known As
API	Application Programming Interface
GMT	Greenwich Mean Time
HTTP	Hypertext Transfer Protocol
JSON	JavaScript Object Notation
SOAP	Simple Object Access Protocol
SRS	System Requirement Specifications
TBD	To Be Determined
UTC	Universal Time Coordinated
XML	Extensible Markup Language

3.5 Time Zone List

This is the common list of time zones we used. If your area is not covered by this list please contact Sandata support to get additional time zone value that we accept. Please note that the value sent must exactly match the value and case shown.

Text Value	Daylight Saving
US/Alaska	Active
US/Aleutian	Active
US/Arizona	Inactive
US/Central	Active
US/East-Indiana	Active
US/Eastern	Active
US/Hawaii	Inactive
US/Indiana-Starke	Active

Text Value	Daylight Saving
US/Michigan	Active
US/Mountain	Active
US/Pacific	Active
US/Samoa	Inactive
America/Indiana/Indianapolis	Active
America/Indiana/Knox	Active
America/Indiana/Marengo	Active
America/Indiana/Petersburg	Active
America/Indiana/Vevay	Active
America/Indiana/Vincennes	Active
Canada/Atlantic	Active
Canada/Central	Active
Canada/East-Saskatchewan	Inactive
Canada/Eastern	Active
Canada/Mountain	Active
Canada/Newfoundland	Active
Canada/Pacific	Active
Canada/Saskatchewan	Active
Canada/Yukon	Active
America/Puerto Rico	Inactive

3.6 Technical Companion and Examples

This appendix serves as additional technical documentation for the use of the Sandata OpenEVV Alt-EVV APIs.

API Location

The RESTful APIs can be reached at the following locations:

Production:

<https://api.sandata.com/interfaces/intake/clients/rest/api/v1.1>
<https://api.sandata.com/interfaces/intake/employees/rest/api/v1.1>
<https://api.sandata.com/interfaces/intake/visits/rest/api/v1.1>

UAT:

<https://uat-api.sandata.com/interfaces/intake/clients/rest/api/v1.1>
<https://uat-api.sandata.com/interfaces/intake/employees/rest/api/v1.1>
<https://uat-api.sandata.com/interfaces/intake/visits/rest/api/v1.1>

The endpoints accept JSON data and support the HTTP POST method.

Authentication Header

The API endpoints utilize Basic Authentication. Therefore, a valid "Authorization" header must be sent with each request. This header is simply a Base 64 encoded representation of the username and password in the format "username:password".

The credentials are determined and distributed during implementation.

An example header for "user@example.com" with password "secret" would be:

Authorization: Basic dXNIckBleGFtcGxILmNvbTpzZWNYZXQ=

Account Header

In addition to the "Authorization" header, a header denoting the callers EVV "Account" must be sent. The credentials provided are specific to an account, and all data sent must also correspond to that account, or the request will be rejected.

An example of this header would be:

Account: 12345

Alternatively, for MCO customers and other vendors sending data on behalf of multiple EVV accounts, the "EntityGuid" header is used. This ID will be provided by Sandata during implementation.

An example of this header would be:

EntityGuid: 12345

Content-Type Header



As with all RESTful API requests, the "Content-Type" header should also be included:

Content-Type: application/json

Workflow

Interacting with the APIs is a two-step process:

Step 1 – Send a POST request with the data to the API

Step 2 – Utilize the "Status" API to check that processing completed successfully

Details are as follows:

The first step is to POST the data being sent to the URLs mentioned above in the "API Location" section. When data is sent, the Sandata system will validate the input meets the business requirements, process the data, and return a response.

The response sends back some key pieces of information. This includes any errors that may have been flagged, as well as a UUID, generated by Sandata, which uniquely identifies the request. See example responses below in the "Sample Response" section.

After this response is sent, the Sandata system begins processing the data into the system. Since the initial POST has already received a response, callers must use a second endpoint to check on the status of their request.

To this end, each API is accompanied by an additional endpoint for checking status. This endpoint is reached simply by appending "/status" to the URLs in the "API Location" section above. Calls to this endpoint must utilize the HTTP GET method and send in the UUID that is returned in the response to the POST call.

An example GET request for status for clients, would be sent as follows:

<https://api.sandata.com/interfaces/intake/clients/rest/api/v1.1/status?uuid=8d7c31f7-4a09-41a9-8edd-f9819def58f1>

Sample data can be found below.

In summary, the caller would POST data to the API, receive a response with a UUID, then utilize the "status" endpoint via GET in order to determine if processing was completed and successful.

Sample POST Data

Below find sample POST bodies for each entity, as well as sample responses in both successful and unsuccessful situations. Note that, based on implementation, not all fields are required to be present. In addition, certain implementations may include custom fields that are not represented in the samples. Please refer to the addendum for a full set of fields and their details.

JSON Employee

```
[{
  "ProviderIdentification": {
    "ProviderQualifier": "SandataID",
    "ProviderID": "123456"
  },
  "EmployeeQualifier": "EmployeeSSN",
  "EmployeeIdentifier": "999999999",
  "EmployeeOtherID": "2222",
  "SequenceID": 99811930002,
  "EmployeeSSN": "999999999",
  "EmployeeLastName": "Employee",
  "EmployeeFirstName": "Test",
  "EmployeeEmail": "dummy@sandata.com",
  "EmployeeManagerEmail": "dummymanager@sandata.com",
  "EmployeeAPI": "111111111",
  "EmployeePosition": "RN"
}]
```

JSON Client

```
[{
  "ProviderIdentification": {
    "ProviderQualifier": "SandataID",
    "ProviderID": "123456"
  },
  "ClientID": "96641",
  "ClientFirstName": "Test",
  "ClientMiddleInitial": "T",
  "ClientLastName": "Client",
  "ClientQualifier": "ClientSSN",
  "ClientMedicaidID": "999999999",
  "ClientIdentifier": "999999999",
  "MissingMedicaidID": "False",
  "SequenceID": 99811930002,
  "ClientCustomID": "111111111",
  "ClientOtherID": "2222",
  "ClientSSN": "999999999",
  "ClientTimezone": "US/Eastern",
  "Coordinator": "123",
  "ClientPayerInformation": [{
    "PayerID": "57",
    "PayerProgram": "123",
    "ProcedureCode": "123",
    "ClientPayerID": "987654321",
    "ClientEligibilityDateBegin": "2019-01-01",
    "ClientEligibilityDateEnd": "2020-01-01",
    "ClientStatus": "02",
    "EffectiveStartDate": "2019-01-01",
    "EffectiveEndDate": "2020-01-01"
  }]
}]
```

```

    }],
    "ClientAddress": [{
      "ClientAddressType": "Home",
      "ClientAddressIsPrimary": true,
      "ClientAddressLine1": "36 West 5th Street",
      "ClientAddressLine2": "10th Floor",
      "ClientCounty": "Kings",
      "ClientCity": "Manhattan",
      "ClientState": "NY",
      "ClientZip": "10017",
      "ClientAddressLongitude": -73.4228741,
      "ClientAddressLatitude": 40.7431032
    }],
    "ClientPhone": [{
      "ClientPhoneType": "Home",
      "ClientPhone": "1234567890"
    }],
    "ClientResponsibleParty": [{
      "ClientContactType": "Other",
      "ClientContactFirstName": "Test",
      "ClientContactLastName": "Respparty",
      "ClientContactPhoneType": "Mobile",
      "ClientContactPhone": "3478788467",
      "ClientContactEmailAddress": "dummy@sandata.com",
      "ClientContactAddressLine1": "2727 East 29th Street",
      "ClientContactAddressLine2": "Apt 8I",
      "ClientContactCity": "Brooklyn",
      "ClientContactState": "NY",
      "ClientContactZip": "11229"
    }
  ]
}

```

JSON Visit

```

[ {
  "ProviderIdentification": {
    "ProviderID": "123456",
    "ProviderQualifier": "SandataID"
  },
  "VisitOtherID": "123456789",
  "SequenceID": 111,
  "EmployeeQualifier": "EmployeeSSN",
  "EmployeeOtherID": "999999999",
  "EmployeeIdentifier": "999999999",
  "GroupCode": null,
  "ClientIDQualifier": "ClientMedicaidID",
  "ClientID": "111111111",
  "ClientOtherID": "111111111",
  "VisitCancelledIndicator": false,
  "PayerID": "999",
  "PayerProgram": "PRG",
  "ProcedureCode": "T1000",
  "Modifier1": null,
  "Modifier2": null,
  "Modifier3": null,
  "Modifier4": null,
  "VisitTimeZone": "US/Eastern",
  "ScheduleStartTime": "2019-07-28T16:02:26Z",
  "ScheduleEndTime": "2019-07-28T20:02:26Z",
  "AdjInDateTime": "2019-07-28T15:02:26Z",
  "AdjOutDateTime": "2019-07-28T19:02:26Z",
}

```

```
"BillVisit": true,
"HoursToBill": 10,
"HoursToPay": 10,
"Memo": "This is a memo!",
"ClientVerifiedTimes": true,
"ClientVerifiedTasks": true,
"ClientVerifiedService": true,
"ClientSignatureAvailable": true,
"ClientVoiceRecording": true,
"Calls": [{
  "CallExternalID": "123456789",
  "CallDateTime": "2019-07-28T16:02:26Z",
  "CallAssignment": "Time In",
  "GroupCode": null,
  "CallType": "Other",

  "ProcedureCode": "T1000",
  "ClientIdentifierOnCall": "111111111",
  "MobileLogin": null,
  "CallLatitude": 40.34455,
  "CallLongitude": -21.99383,
  "Location": "123",
  "TelephonyPIN": 999999999,
  "OriginatingPhoneNumber": "9997779999"
}],
"VisitExceptionAcknowledgement": [{
  "ExceptionID": "15",
  "ExceptionAcknowledged": false
}],
"VisitChanges": [{
  "SequenceID": "110",
  "ChangeMadeBy": "dummy@sandata.com",
  "ChangeDateTime": "2019-07-25T18:45:00Z",
  "GroupCode": null,
  "ReasonCode": "7227",
  "ChangeReasonMemo": "Change Reason Memo 999",
  "ResolutionCode": "A"
}],
"VisitTasks": [{
  "TaskID": "321",
  "TaskReading": "98.6",
  "TaskRefused": false
}]
}]
```



Sample Responses

See some sample responses below. Note that the samples are provided for employee, but the same pattern is followed for both client and visit.

Employee POST (Successful)

```
{
  "id": "7f6dcd1a-ec5e-4efd-a2d4-1049756016a5",
  "status": "SUCCESS",
  "messageSummary": "The result for the input UUID is not ready yet. Please try again.",
  "data": {
    "uuid": "7f6dcd1a-ec5e-4efd-a2d4-1049756016a5",
    "account": "12345",
    "message": "The result for the input UUID is not ready yet. Please try again.",
    "reason": "Transaction Received."
  }
}
```

Employee POST (Validation Error)

```
{
  "id": "ea76e9a1-9b29-4f3d-af1c-6b573eb29b76",
  "status": "FAILED",
  "messageSummary": "[1] Records uploaded, please check errors/warnings and try again.",
  "data": [
    {
      "ProviderIdentification": {
        "ProviderID": "123456",
        "ProviderQualifier": "SandataID",
        "ErrorCode": null,
        "ErrorMessage": null
      },
      "EmployeeIdentifier": "999999999",
      "EmployeeOtherID": "2222",
      "SequenceID": 99811930002,
      "EmployeeQualifier": "EmployeeSSN",
      "EmployeeSSN": "999999999",
      "EmployeeLastName": "Employee",
      "EmployeeFirstName": "Test",
      "EmployeeEmail": "dummy@sandata.com",
      "EmployeeManagerEmail": "dummymanager@sandata.com",
      "EmployeeAPI": "111111111",
      "EmployeePosition": "AKN",
      "ErrorCode": null,
      "ErrorMessage": "ERROR: The EmployeePosition expected format is not correct. The record should satisfy this regular expression ['HHA|HCA|RN|LPN|PCA']. Invalid Value='AKN'. The record is being rejected."
    }
  ]
}
```

Employee GET (Status)

A sample response to a status GET request that has finished processing is:

```
{
  "id": "73b7a9d7-a79a-45cc-9def-cb789c111f4b",
  "status": "SUCCESS",
}
```



```
"messageSummary": "All records updated successfully.",
"data": {
  "uuid": "73b7a9d7-a79a-45cc-9def-cb789c111f4b",
  "account": null,
  "message": "All records updated successfully.",
  "reason": "Transaction Received."
}
}
```

If the request is not yet finished being processed, the "messageSummary" will be "The result for the input UUID is not ready yet. Please try again."

```
{
  "id": "873a1d97-0681-402e-8268-b6cad8f2b4b7",
  "status": "SUCCESS",
  "messageSummary": "The result for the input UUID is not ready yet. Please try again.",
  "data": {
    "uuid": "873a1d97-0681-402e-8268-b6cad8f2b4b7",
    "account": "12345",
    "message": "The result for the input UUID is not ready yet. Please try again.",
    "reason": "Transaction Received."
  }
}
```

If the request was processed but failed business rules, an example status would be:

```
{
  "id": "e5de964b-9803-4051-b89b-8a89926e4983",
  "status": "SUCCESS",
  "messageSummary": "[2] Records uploaded, please check errors/warnings and try again.",
  "data": [
    {
      "ProviderIdentification": {
        "ProviderID": "123456",
        "ProviderQualifier": "SandataID",
        "ErrorCode": null,
        "ErrorMessage": null
      },
      "EmployeeIdentifier": "999999999",
      "EmployeeOtherID": "2222",
      "SequenceID": 99811930002,
      "EmployeeQualifier": "EmployeeSSN",
      "EmployeeSSN": "999999999",
      "EmployeeLastName": "Employee",
      "EmployeeFirstName": "Test",
      "EmployeeEmail": "dummy@sandata.com",
      "EmployeeManagerEmail": "dummymanager@sandata.com",
      "EmployeeAPI": "111111111",
      "EmployeePosition": "RN",
      "ErrorCode": "-709",
      "ErrorMessage": "Version number is duplicated or older than current"
    }
  ]
}
```



Requirement Specification for Authorizations (AUTH) Part of the Open EVV Series of Interfaces

Version 7.2

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Revision History

Version	Description	Date Updated
7.1	Updated max length of "AuthorizationMaximum" field. Marked "ClientIdentifier" as required. Corrected value to be sent for "Suspended" status authorizations. Removed extra "DiagnosisCode" object in JSON example. Removed references to consuming "Full" files – leaving incremental as only option.	5/20/2019
7.2	Moved fields into the authorization limits segment where appropriate (service, modifiers, and program related fields)	6/12/2019

1 Overview

This specification is intended to document the requirements for using the Sandata Real Time Interface (part of the Open EVV Series of interfaces) for receiving Authorization information from 3rd party systems including Payers and MCOs.

A companion guide will be created for each Payer / Program implemented to specify agreed upon frequencies, required fields and those fields which will be omitted or left to the sender’s discretion.

1.1 Intended Audience

The intended audiences of this document are:

- Project Management and Technical teams at Sandata.
- Project Management and Technical teams at designated Payers/MCOs/Vendors who will be implementing this interface.

1.2 Data Type Format Details

Data Type	Description	Example
DateTime	<p>The date and time is represented as a string with the following format: YYYY-MM-DDTHH:MM:SSZ</p> <p>All times will be provided in UTC.</p> <p>If time is not material, it will be provided as is expected.</p>	2016-12-20T16:10:28Z
Date (only Date)	<p>The data is represented as a string with the following format: YYYY-MM-DD</p> <p>Date only will be sent in UTC format.</p>	2016-12-20
Timezone	<p>All time for tracking visits will be in UTC.</p> <p>Timezone values are based on the Internet Assigned Numbers Authority (IANA) Time Zone Database, which contains data that represents the history of local time for locations around the globe. It is updated periodically to reflect changes made by</p>	<p>A complete list of time zones can be found at: https://www.iana.org/time-zones</p> <p>See Appendix for list of EVV supported Timezones</p>

Data Type	Description	Example
	<p>political bodies to time zone boundaries, UTC offsets, and daylight-saving rules.</p> <p>The Time zone name expected in each transaction is the actual Time zone where the event took place. i.e. US/Eastern</p>	
String	<p>A string is a row of zero or more characters which can include letters, numbers, or other types of characters as a unit, not an array of single characters. (e.g. plain text).</p>	<p>“This is a string” (See Wikipedia String)</p>
Integer	<p>An integer is a numeric value without a decimal. Integers are whole numbers and can be positive or negative.</p>	<p>52110 (positive) -87721 (negative) (See Wikipedia Integer)</p>
Decimal	<p>A floating point number is referred to as a decimal. Can be positive or negative.</p>	<p>8221.231 (positive) -71.214 (negative) (See Wikipedia Decimal)</p>
Boolean	<p>A logic predicate indicator that can be either true or false.</p>	<p>True False See Wikipedia Boolean</p>

2 Authorization (Auth) Interface

This specification is intended for a payer or provider to provide authorization information to Sandata regarding which clients are receiving specified services, the amount and the period during which the services are to be provided. This may also be referred to as Prior Authorization or Service Plan.

3 Data Exchange

Sandata supports data exchange via two mechanisms: a real-time, RESTful API and flat-file processing (DSV).

While Sandata supports both mechanisms, the default is a RESTful API with JSON to greatly reduce complexity of customized implementations.

3.1 Real-Time Transactions

Authorizations may be sent via a real-time RESTful API for processing. Sandata will take each request as it is received, process the authorization and return a response

Sandata will provide real-time RESTful API endpoints for the customers in a UAT environment for user acceptance testing as well as production. This document contains the technical details for utilizing this API. The API is designed to be a service-oriented architecture (SOA). All transactions will utilize the JSON format which is the JAVA equivalent to XML. JSON, like XML is self-describing. A WADL (equivalent to the WSDL) will be provided using the [API documentation provided by Swagger](#).

Customers must be able to send and consume member data and responses in a **JSON** format. **JSON** allows multiple 'child' entities for a parent (See JSON Request Example)

NOTE: For testing purposes, generic, de-identified files will be provided, or data for testing will be identified by the customer based on available or constructed data. Testing these files will be part of the overall system testing process. Mutually agreed upon dates will be determined for joint testing and included in the overall project plan.

3.1.1 Representational State Transfer (REST) Interface

Sandata has developed a RESTful interface that allows for a client to send data as real time transactions with appropriate responses rather than in batches of text files for periodic processing

In a Sandata RESTful web service, requests made to a resource's URL will elicit a response with a payload formatted in JSON. The response can confirm that some alteration has been made to the stored resource, and the response will provide any errors that may have occurred. When HTTP is used for processing authorizations, you will only need to execute a POST HTTPS request method.

3.1.2 HTTPS (TLS 1.2)

Sandata's RESTful interfaces support TLS v1.2 (a successor to SSL) which provides a layer of security and reliability by exchanging PHI information as encrypted data packets between Sandata and other customer systems.

3.1.3 Authorizations Real-Time Processing

The authorizations real-time processing interfaces refers to Sandata's RESTful HTTPS endpoints for receiving authorizations. Sandata will provide the customer with URL endpoints for UAT and Production. Sandata will also provide the customer with a username and password that will use Basic Authentication to validate the request. The customer will receive a 401 HTTP error code if the username and/or password does not match.

3.1.4 JSON Examples

Request Payload Example

Below, find a sample payload (body) that could be sent to the Sandata real-time RESTful API. See the table in section 3.2.18 for a detailed description of each field.

```
[
  {
    "PayerID": "Zitest",
    "PayerRegion": "NA",
    "ClientQualifier": "ClientSSN",
    "ClientIdentifier": "123456789",
    "ProviderQualifier": "SandataID",
    "ProviderID": "999999999",
    "AuthorizationReferenceNumber": "8725",
    "AuthorizationAmountType": "H",
    "AuthorizationMaximum": 123,
    "AuthorizationStartDate": "2018-09-10",
    "AuthorizationEndDate": "2018-09-22",
    "AuthorizationShared": "N",
```

```
"AuthorizationComments": "Sample comments",
"AuthorizationLimitType": "W",
"AuthorizationStatus": "A",
"AuthorizationLimit": [{
    "AuthorizationServiceID": "1015",
    "PayerProgram": "Testabc",
    "AuthorizationBillingType": "Test101",
    "AuthorizationLimit": "123",
    "AuthorizationWeekStart": "Sun",
    "AuthorizationLimitDayOfWeek": null,
    "AuthorizationLimitStartTime": "0600",
    "AuthorizationLimitEndTime": "1100",
    "Modifier1": "G1",
    "Modifier2": null,
    "Modifier3": null,
    "Modifier4": null
}],
"DiagnosisCode": [{
    "ClientDiagnosisCodeIsPrimary": "Y",
    "ClientDiagnosisCode": "12345",
    "ClientDiagnosisCodeBeginDate": "2018-01-01",
    "ClientDiagnosisCodeEndDate": "2018-01-01"
}]
}
]
```

Response Payload Examples

NOTE: The response example shows the payload (body) that will be a response from the Sandata real-time RESTful API. The response is contained as part of the “data” entity which is part of the standard Sandata HttpResponseMessage entity. This response may be augmented over time to contain additional information. Consumers of the API should be able to handle responses that contain additional data elements.

id – This field is a RESTful service transaction globally unique ID (GUID) which is generated by Sandata. Please log this GUID as it will help Sandata Tier3 support and troubleshoot any issues.

status – This status has two possible values:

- **SUCCESS:** Indicates that the request was received and processed successfully by the Sandata backend.
- **FAILED:** Indicates that there was some error detected by the Sandata backend. E.g. 500 Server Error

NOTE: Both of these states are returned with an HTTP 200 response code.

messageSummary – This field This field will contain either null for status=SUCCESS or “Parameter Error” for status=FAILED. This would typically occur for a “POST” without BODY.

messageDetail – This field will contain either null for status=SUCCESS or a detailed service error message for status=FAILED. E.g. “Database Unavailable”

failedCount – the number of items in the request that resulted in some error

succeededCount – the number of items in the request that ended in a successful result

data – This entity will contain details of the JSON response. Examples can be provided upon request.

Successful Response Example

```
{  
  
  "id": "d25cbb0c-2043-4a71-ae7c-8e917b71096c",  
  
  "status": "SUCCESS",  
  
  "messageSummary": null,  
  
  "messageDetail": null,  
  
  "failedCount": 0,  
  
}
```

```
"succeededCount": 2,  
"data": [{  
  "ProviderID": "12345",  
  "ClientIdentifier": "12345",  
  "ClientQualifier": "12345",  
  "PayerID": "12345",  
  "PayerProgram": "12345",  
  "AuthorizationServiceID": "12345",  
  "AuthorizationReferenceNumber": "12345",  
  "status": "SUCCESS",  
  "messageSummary": null,  
  "messageDetail": null  
}]  
}
```

Failed Response Example – This example is caused by batch-level failure including file/transmission corruption or incorrect JSON.

```
{
  "id": "228cb2fa-50da-453e-b9a7-7f35da47c492",
  "status": "FAILED",
  "messageSummary": "Request Failed",
  "messageDetail": "Your request has been received and logged successfully. However, an internal error was triggered. The Sandata technical team has been notified. Please retry your request. If you continue to experience this error, contact Sandata and provide the GUID [228cb2fa-50da-453e-b9a7-7f35da47c492] for the failed transaction."
}
```

3.2 Delimiter Separated Values (DSV)

Formats that use DSV to store two-dimensional arrays of data by separating the values in each row with specific delimiter characters. Most database and spreadsheet programs are able to read or save data in a delimited format. Due to their wide support, DSV files can be used in data exchange among many applications.

A delimited text file is a text file used to store data, in which each line represents a single record (i.e. Authorization) and each line has fields separated by the agreed upon delimiter. Compared to a fixed-length formatted files that uses spaces or other filler characters to force the length of a given field to be fixed in width/size for every value, a delimited file has the advantage of allowing field values of any length. Additionally, when accompanied by a "header row" (the first row in a file) that provides for the names of each column of data, columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: The very first line within the DSV is the header record. (See [Header Record](#))

3.2.1 Supported Delimiters

Acceptable delimiters supported by this specification include:

- Pipe or Vertical Bar (|); ASCII 124 or UTF-8 007C
- Comma (,); ASCII 44 or UTF-8 002C

3.2.2 End of Line Characters

Each record within the delimited file will be located on a new line, which is composed of two characters, carriage return (\r) and line feed (\n).

3.2.3 Double Quotes

Each field must be enclosed with double quotes ("").

Example: "<PAYER>"|"HHS"|"North America"|"MedicaidID"|"123456789"

3.2.4 Character Encoding

Each field within the delimited file must conform to the ASCII/UTF-8 character encoding standard.

3.2.5 Header Record

The header record provides for the names of each column of data found in the DSV. Columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: Rules around columns data points will be discussed with Sandata during implementation. Removing columns from the DSV that are critical to the import process will cause an error and the entire file will be rejected.

- The header record is the first record at the top of the DSV file.
- The header record is required.
- The field names in the header record, also known as column names, must conform to the names provided by Sandata. (See Field Names)
- Customers, at their discretion, may exclude non-required fields.

Example: "PayerID"|"PayerProgram"|"PayerRegion" | ... | "ClientDiagnosisCodeEndDate"

3.2.6 File Naming Convention

The file naming convention was agreed upon during implementation, and is important to help with validation, entity mapping, dates and times to make sure files are not overwritten and loaded in the order they are received, extensions to drive the parsing and decryption logic, etc.

NOTE: Use underscores (_) to separate each variable section of the file name. [Prefix]_[EntityName]_[YYYYMMDD]_[HHMMSS.SSS]_[Incremental].[FileExtensions]

- [Prefix] is a customer specific string agreed upon with Sandata during implementation. The file prefix must be included with all files provided by the customer ("<PAYER>_EVV")

- [EntityName] is the name of the domain specific name of the parent entity that reflects the data fields within the DSV file (“PriorAuth”)
- [YYYYMMDD] is the four-digit year, two-digit month and two-digit day that the file was created
- [HHMMSS.SSS] is the two-digit hours, two-digit minutes, two-digit seconds, and three-digit milliseconds values (Military Time)
 - [HHMMSS.SSS] file value can be optional if we are consuming a daily file
- [Incremental]
 - [Incremental] signifies that the file contains only new and/or updated data from the source system
 - [Incremental] file value can be optional if we are consuming a daily file
- [FileExtensions]
 - [.csv] signifies a comma separated file
 - [.dsv] signifies a delimiter separated file (specific delimiters are agreed upon with the customer during implementation)
 - [.zip/.gzip/.gz/.tar/.7z] signifies the compression used
 - [.pgp] signifies that the file has been encrypted with PGP [See [File Encryption](#)]
- Example format
 - <PAYER>_EVV_PriorAuth_20180817.dsv.gpg

3.2.7 File Encryption

File encryption is encouraged to add an additional layer of security for sensitive PHI data. Files are processed over Secure FTP (SFTP) which provides its own layer of encryption as well.

- Sandata supports file encryption using OpenPGP ([RFC4880](#)).
- Sandata will provide customers with a public key upon implementation.
- PGP encrypted files will append the “pgp” file extension.

3.2.8 Cryptographic Hash (Optional)

A cryptographic hash function can provide strong assurance about data integrity, whether changes to the data are accidental (e.g., due to transmission errors) or maliciously introduced. Any modification to the data will be detected through a mismatching hash value. Furthermore, given some hash value, it is infeasible to find some input data (other than the one given) that will yield the same hash value.

- The customer can calculate the hash value for each DSV file and provide that value in the control file.
- When calculating the hash, the customer can use any of the following hash functions:
 - [SHA-1](#)
 - [SHA-2 \(SHA-256/512\)](#)
 - [SHA-3 \(Most Secure\)](#) (Recommended)

- NOTE: MD5 is no longer supported as it has known security vulnerabilities
- This hash value of a file is optional. Sandata will validate the hash if one is provided in the control file under the “Hash” column. (See Control File)

3.2.9 Control File

Control files are used as a quality control mechanism to ensure file integrity following transmission.

- The customer will provide Sandata with an outbound control file.
- Sandata will provide the customer with an inbound control file.
- The control file will be named as follows
 - [Prefix]_[Direction]_ControlFile_[YYYYMMDD]_[HHMMSS.SSS].[FileExtensions]
 - [Prefix] is a customer specific string agreed upon with Sandata during implementation
 - [Direction]
 - Outbound – Customer to Sandata
 - Inbound – Sandata to Customer
 - [YYYYMMDD] is the four-digit year, two-digit month and two-digit day that the file was created
 - [HHMMSS.SSS] is the two-digit hours, two-digit minutes, two-digit seconds, and three-digit milliseconds values (Military Time)
 - [HHMMSS.SSS] file value can be optional if we are consuming a daily file
 - [FileExtensions]
 - [.csv] signifies a comma separated file
 - [.dsv] signifies a delimiter separated file (specific delimiters are agreed upon with the customer during implementation)
 - [.zip/.gzip/.gz/.tar/.7z] signifies the compression used
 - The control file will be a DSV file using the same delimiter agreed upon with the customer during implementation
 - The outbound control file will have the following column names for the header row (assuming pipe (|) delimiter value). Quotation marks are optional in control file.
 - “FileName”|”RecordCount”|”StartDateTime”|”EndDateTime”|”Hash”
 - FileName: (See File Naming Convention)
 - RecordCount: Total number of records found in the DSV (not including the header row)
 - StartDateTime: The start date and military time when the records in the DSV were queried from. (See Date Time Format) [Optional]
 - EndDateTime: The end date and military time when the records in the DSV were queried from. (See Date Time Format) [Optional]
 - Hash: Cryptographic hash value generated by the given file. (See Cryptographic Hash) [Optional]
 - The inbound control file will have the following column names for the header row (assuming pipe (|) delimiter value)

- "FileName"|"RecordCount"|"StartDateTime"|"EndDateTime"|"Hash"|"Success Count"|"Failed Count"
 - FileName: (See [File Naming Convention](#))
 - RecordCount: Total number of records found in the DSV (not including the header row)
 - StartDateTime: The start date and military time when the records in the DSV were queried from. (See [Date Time Format](#))
 - EndDateTime: The end date and military time when the records in the DSV were queried from. (See [Date Time Format](#))
 - Hash: Cryptographic hash value generated by the given file. (See [Cryptographic Hash](#))
 - Success Count: Total records that were processed successfully
 - Failed Count: Total records that were not processed successfully

- Example Payer outbound control file:

<PAYER>_EVV_Outbound_ControlFile_20180817.dsv.gpg

"FileName"|"RecordCount"

"<PAYER>_EVV_Provider_20181002.dsv"|"2012"

"<PAYER>_EVV_Member_20181002.dsv"|"12"

"<PAYER>_EVV_PriorAuth_20181002.dsv"|"22"

"<PAYER>_EVV_Outbound_ControlFile_20181002.dsv"|"5"

"1/1/2010 3:19:01 PM" - "10/2/2018 3:47:43 PM"

The last row of the control file is a date and time range of the extracts, for informational purpose only, and would only be used for possible future use in regeneration efforts. Not expected to be validated by Sandata.

- Example inbound control file:

- <PAYER>_EVV_Inbound_ControlFile_20180817.dsv.gpg

"FileName"|"RecordCount"|"StartDateTime"|"EndDateTime"|"Hash"|"Success Count"|"Failed Count"

"<PAYER>_EVV_Auth_Errors_20180817.dsv.gpg"|"2012"|"2018-09-18T00:00:00Z"|"2018-09-18T23:59:59Z"|"cjqpr032alimp883jasddejkm"|"2012"|"0"

3.2.10 Error File

PAYER AND SANDATA ERROR HANDLING PROCESS

- Sandata will notify PAYER via email to alert of any errors found in processing each file that was imported.
- Sandata will not send emails or error files if there are no errors detected for the delivery.
- The email would be addressed to recipient email address provided by the Payer.
 - E.g. EVV_Interface_<payer>@<payer_domain>.com
- The email Subject would include "<PAYER>-Sandata errors: {date of files (probably same for all)}"
- The email Body would include (at a minimum) lines for "file name", "number of errors found"
- Sandata will provide the customer with an error file for each file that was imported.
- Only those records that caused error would be sent in the error file.
- The error file will add an "Error Description" column to the end of record.

- “Error Description”: This is a string value describing the error and/or errors that were encountered when trying to process the record
- The naming of the error file is the same as the naming pattern of the source file (See [File Naming Convention](#)) with an “Error” label appended to the [Entity]
- Example
 - <PAYER>_EVV_Auth_Error_20180817.dsv.gpg

3.2.11 File Transport

Files will be consumed and delivered via Secure FTP (SFTP). The target SFTP server will be hosted by the Payer. The host IP, username, password and optional public cryptographic key have been discussed and tested during implementation.

3.2.12 File Location

DSV files will be located on the Payer’s secure SFTP, in a folder created specifically for Sandata, “/Sandata/<Payer_Folder_Name>”.

3.2.13 File Frequency

Sandata will accept files on a daily schedule. The ongoing daily job will run and deliver files at about 2AM, Monday through Friday. For an authorization to be applied to a provider, the client information must be received at least once. If there is no matching client, the authorization will be held until the client is received.

3.2.14 Authorization File Logic

Sandata is expecting to receive only active authorizations for clients who are part of a program and for services considered in scope for this project. Once an authorization is transmitted to Sandata, the authorization should only be resent if there are changes to be applied to the prior information.

3.2.15 Authorization Matching

Unless otherwise specified during implementation, received authorizations will be matched against existing authorizations based on the following values:

- PayerID;
- PayerProgram if applicable for the implementation;
- PayerRegion if applicable for the implementation;
- ClientIdentifier;
- AuthorizationServiceID;
- AuthorizationReferenceNumber; and
- AuthorizationStartDate.

If the import process finds a matching authorization based on the above criteria, the authorization will be updated. If there is no match, the authorization will be added.

3.2.16 Shared Authorization

Based on program requirements, Sandata can support the concept of a shared or umbrella authorization where one set of units or dollars is applied for a client across a set of services. It then is up to the discretion of the agency provider regarding which services to provide. The interface provides for receiving the authorization for each service that is shared.

- A shared authorization will consist of all authorization records that have the shared indicator (AuthorizationShared) set to 'Y', and the same
 - PayerID;
 - ClientIdentifier;
 - AuthorizationReferenceNumber; and
 - AuthorizationStartDate.
- For Shared Authorizations:
 - If a matching PayerID, ClientIdentifier, AuthorizationReferenceNumber and AuthorizationStartDate is found, the existing authorization will be updated.
 - If the following set of fields cannot be found in combination: PayerID, ClientIdentifier, and AuthorizationReferenceNumber a new authorization will be created.
 - If the following set of fields is found in combination: PayerID, ClientIdentifier and AuthorizationReferenceNumber but the associated AuthorizationStartDate is different, the incoming authorization will be rejected.
 - Limitations on shared authorizations must be the same for all services making up the shared authorization (daily, weekly, monthly, yearly or none).
 - Consumption of the authorization will be measured based on the unit of measure defined on the authorization (hourly, unit, visit, or monetary).

Utilization of both unit based and monetary based limits will be based on the amount billed by the provider.

3.2.17 Authorization DSV Field Names

- The fields listed below are the fields available for transmission to Sandata EVV.
- Required columns must have data, otherwise the system will reject the record.
- The file will be rejected if a header column name is unknown to the Sandata system.
- If a field is not required, it does not need to be included.

3.2.18 Parent-Child Relationships

- The authorization data represented in the DSV file naturally has some parent-child (one-to-many) relationships
- These can be referenced in the flat file through the use of the “SegmentName” field
- Valid segment names are:
 - AuthorizationLimit
 - DiagnosisCode
- If the DSV row represents either of the above segments, it is expected that the “SegmentName” is populated and the only data in the row is the basic authorization data and the specified segment. Note that, for authorizations with a single limit record, the data can be provided in a single row with SegmentName = AuthorizationLimit.
- If segments beyond basic authorization information are provided, there are specific fields that must be included for each. See the table below for a list of these required fields per segment. Note the segment descriptions below mention some scenarios where the segments themselves would be required.
- Since all data will be transmitted in a single file, columns for each row must be consistent and match the header. For instance, even if a segment only includes a handful of columns, empty values must be included in all other columns for the row. Each row should exactly match the number of columns provided in the header record.

Index	Column Name	Description	Max Length	Type	Required
1	PayerID	Sandata EVV assigned ID for the payer. Payer ID is determined during the implementation process.	64	String	Yes
2	PayerRegion	If applicable, the region in which this client is being provided services. Potential use and list of values to be determined during implementation.	2	String	
4	ClientQualifier	Value being sent to unique identify the client. Values: ClientSSN; ClientOtherID, ClientCustomID.	30	String	Yes
5	ClientIdentifier	ID used to uniquely identify the client. ID type identified by ClientQualifier.	64	String	Yes
6	ProviderQualifier	Identifier being sent as the unique identifier for the provider. Values: SandataID, NPI, API, MedicaidID, TaxID, Taxonomy, Legacy, Other.	30	String	Yes
	ProviderID	ID to uniquely identify the provider. ID type identified by ProviderQualifier.	64	String	Yes

Index	Column Name	Description	Max Length	Type	Required
8	AuthorizationReferenceNumber	Unique identifier for the authorization generated by the payer's source system.	30	String	Yes
9	AuthorizationAmountType	The type of authorized amounts being supplied. Values: H = Hourly, V = Visit, U = Unit, M = Monetary.	1	String	Yes
10	AuthorizationMaximum	The maximum number of the specified type to allow. If the authorization is active, 0 in this field indicates unlimited. This is the overall limit and may be further limited by the Authorization Limits fields below. This value was previously a "numeric" type.	6	Integer	
11	AuthorizationStartDate	Start date for the authorization.	10	Date	Yes
12	AuthorizationEndDate	End Date for the authorization.	10	Date	
13	AuthorizationShared	To be used, shared authorizations must be part of the program specifications. Denotes that the authorization being provided is part of a shared authorization set. Values: Y, N. Default = N.	1	String	
14	AuthorizationComments	Free text comments. Used by the payer to include additional information. If value provided is greater than the maximum, the text will be truncated to the maximum size allowed.	256	String	
15	AuthorizationLimitType	If the authorization has sub limits, the type of sub limits being detailed. Values: N = None, S = Specified Schedule, D = Day, W = Week, M = Month, Y = Year. Default = N.	1	String	Yes
16	AuthorizationStatus	The status of the authorization. Values: A = Active, I = Inactive, V = Voided, S = Suspended. Default = A.	1	String	Yes
17	SegmentName	If this is a child segment, the name of the segment. Valid values are found above. NOTE: Field should be omitted when using the REST API.	30	String	

Segment: AuthorizationLimit : Sub Limits within the Authorization. If AuthorizationLimitType = N this section will be ignored. Allows specification of monthly sub limits as well as limits based on day of week, time of day or specific schedules.

Index	Column Name	Description	Max Length	Type	Required
18	AuthorizationServiceID	The procedure or service to be performed. This will correspond to a HCPCS code to be used in billing. These values will be established as part of the implementation process.	5	String	Yes
19	PayerProgram	If applicable, the program to which this client belongs. Potential use and list of values to be determined during implementation.	9	String	Yes
20	AuthorizationBillingType	Optional information which may control additional mapping including determining billing information including HCPCS code and modifiers. Potential use and values to be determined during the implementation process. <u>Client may send this attribute but it will not be validated or stored in Sandata's DB. This field will not be included in the DW Export as well.</u>	64	String	
21	AuthorizationLimit	The limit value for the sublimit being specified. Required if this segment is provided. Client may send this attribute but it will not be validated or stored in Sandata's DB. This field will not be included in the DW Export as well.	5	String	
22	AuthorizationWeekStart	Required if AuthorizationLimitType is W. Values: Mon, Tue, Wed, Thu, Fri, Sat, Sun.	3	String	
23	AuthorizationLimitDayOfWeek	Required if AuthorizationLimitType is S or D. Values: Mon, Tue, Wed, Thu, Fri, Sat, Sun.	3	String	
24	AuthorizationLimitStartTime	Required if AuthorizationLimitType is S. Optional if AuthorizationLimitType is D. If AuthorizationLimitType = S, the schedule MUST start at the time specified. If AuthorizationLimitType = D, the start and end times provide a range in which services are to be delivered. Does not apply for other AuthorizationLimitTypes. Format hhmm assuming a 24-hour clock. client or Account time zone is assumed.	4	String	

Index	Column Name	Description	Max Length	Type	Required
25	AuthorizationLimitEndTime	Optional if AuthorizationLimitType is S. Optional if AuthorizationLimitType is D. If AuthorizationLimitType = S, the service is scheduled to end at the time specified. If AuthorizationLimitType = D, the start and end times provide a range in which services are to be delivered. Does not apply for other AuthorizationLimitTypes. Format hh:mm assuming a 24 hour clock. client or Account time zone is assumed.	4	String	
26	Modifier1	First modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String	
27	Modifier2	Second modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String	
28	Modifier3	Third modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String	
29	Modifier4	Fourth modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String	
Segment – DiagnosisCode : Diagnosis codes for the client. This is a repeating element. Only one diagnosis code can be indicated as primary.					
30	ClientDiagnosisCodelsPrimary	Indicates that the diagnosis code is the primary code for the client. If more than one code is primary, first value designated as primary will be assumed to be primary. If no value is provided as primary, first value provided will be assumed to be primary. Required if segment is provided. Values: Y, N. Default = N. Client may send this attribute but it will not be validated or stored in Sandata's DB. This field will not be included in the DW Export as well.	1	String	

Index	Column Name	Description	Max Length	Type	Required
29	ClientDiagnosisCode	The client's diagnosis code in ICD-10 format. Client may send this attribute but it will not be validated or stored in Sandata's DB. This field will not be included in the DW Export as well.	10	String	
30	ClientDiagnosisCodeBeginDate	The beginning date associated with the specified diagnosis code. Format YYYY-MM-DD. Client may send this attribute but it will not be validated or stored in Sandata's DB. This field will not be included in the DW Export as well.	10	Date	
31	ClientDiagnosisCodeEndDate	The ending date associated with the specified diagnosis code. Format YYYY-MM-DD. Client may send this attribute but it will not be validated or stored in Sandata's DB. This field will not be included in the DW Export as well.	10	Date	

Additional elements such as ClientDevice, EmployeeKey, Service, etc. may be added for a particular program and can be found in their companion guide.

4 Appendixes

4.1 Assumptions

N/A

4.2 Other Important Points to Note

In the event of any required changes to the process apart from the functionality covered in this document or the functionality already present in the code, it is recommended that a formal change control process be followed so as to ensure a set process for planning and scheduling, implementation of the same, verification and validation and roll-out for user testing.

4.3 Legend

Legend	
Field Name	Other Possible Naming
Client	Individual Member Patient Recipient
Employee	Caregiver Consumer Directed Worker Home Health Aide Staff Worker
Provider	Agency Third Party Admin (TPA)
Payer	Admission Contract Insurance Company Managed Care Organization (MCO) State

Legend	
Field Name	Other Possible Naming
Contract	Program Program Code
HCPCS	Bill Code Procedure Code Service

4.4 Acronyms and Definitions

Term	Definition
AKA	Also Known As
API	Application Programming Interface
GMT	Greenwich Mean Time
HTTP	Hypertext Transfer Protocol
SRS	System Requirement Specifications
TBD	To Be Determined
UTC	Universal Time Coordinated

4.5 Time Zone List

This is the common list of time zone we used. If your area is not covered by this list please contact Sandata support to get additional time zone value that we accept. Please note that the value sent must exactly match the value and case shown.

Text Value	Daylight Saving
US/Alaska	Active
US/Aleutian	Active
US/Arizona	Inactive
US/Central	Active
US/East-Indiana	Active
US/Eastern	Active
US/Hawaii	Inactive
US/Indiana-Starke	Active
US/Michigan	Active
US/Mountain	Active
US/Pacific	Active
US/Samoa	Inactive
America/Indiana/Indianapolis	Active
America/Indiana/Knox	Active
America/Indiana/Marengo	Active
America/Indiana/Petersburg	Active
America/Indiana/Vevay	Active
America/Indiana/Vincennes	Active
America/Puerto_Rico	Inactive



Requirement Specification for Data Warehouse Export Part of the Open EVV Series of Interfaces

Version 7.2

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Revision History

Version	Description	Date Updated
7.1	Updated "Units" in VISITS_CLAIMST segment from Integer to Decimal	3/7/2019
7.2	Updated size of visit task elements	6/10/2019



1 Overview

1.1 Data Warehouse Export

This specification documents the Aggregator data that will be sent to a 3rd party Data Warehouse. This interface includes clients, employees, visits and their associated events and modifications. All data received by the Aggregator from Sandata and third parties is included in this specification, as well as any additional elements added via Aggregator processing.

Inclusion of fields and segments in this export will be reviewed during program implementation. Not all elements will be available for all programs. Additional fields and segments may be added over time as additional functionality is added and based on program specifics.

1.2 Frequency

This information will be created and provided to Payer/State nightly, via SFTP. The file will be available by 5 am seven days a week, 365 days per year. Data included on the export file will be from 12:00 am to 11:59:59 pm of the previous day, which covers 24 hours of data per export. If no data is generated within the last 24 hours from the last export, an empty set of files will be delivered.

If an issue is found, that causes a file to be regenerated, the next file generated during the standard run will begin with a start date of the end of the last successfully completed file through midnight the previous day.

Sandata will have the ability to export all data on an as-requested basis.

1.3 Incremental

Only new information and updates will be provided via this interface. This is an add/update interface. Delete transactions are not provided, as Sandata does not physically delete information. The file created for Payer/State will include all related information for clients, employees and visits in the program.

1.4 Historical Data

Visit history will be tracked and all visit changes will be included in the export if there are any changes to that visit since the last export. The main visit information will be included in the main section of the visit. All prior states of the visit since the last export will be included in the 'Historic Visit Changes' section. The "ChangeID" field will provide a summary description of the changes done on the visit. Third Party historical data as well as information captured by the Sandata EVV system will be included if received, along with any information calculated by the Aggregator.



Client and employee information will be noted based on a change date/time showing that information has changed since the last version sent and will only include the value as it exists at the time of the export. If the export is run for more than a single day period, records could be present for multiple individual days for either the client or employee.

2 Full Export Request

Whenever a full extract is required, Payer/State will need to put in a request via Sandata Account Management for a “Full Data Warehouse Export” to be produced, Sandata will require a date range for the data that is to be included in the file. Due to size constraints, the SFTP location provided will need to allocate sufficient storage space for the file requested. Sandata will provide a full data extract at program go-live as a starting point.

3 Data Type Format Details

Data Type	Description	Example
DateTime	The date and time is represented as a string with the following format: YYYY-MM-DDTHH:MM:SS All times will be provided in UTC. If time is not material, it will be provided as is expected.	2016-12-20T16:10:28Z
Date (only Date)	The data is represented as a string with the following format: YYYY-MM-DD Date only will be sent in UTC format.	2016-12-20

Data Type	Description	Example
Timezone	<p>All time for tracking visits will be in UTC.</p> <p>All time zone values will be derived from the Internet Assigned Numbers Authority (IANA) Time Zone Database, which contains data that represents the history of local time for locations around the globe. It is updated periodically to reflect changes made by political bodies to time zone boundaries, UTC offsets, and daylight-saving rules.</p> <p>The Time zone name expected in each transaction is the actual Time zone where the event took place. i.e. US/Eastern</p>	<p>A complete list of time zones can be found at: https://www.iana.org/time-zones See Appendix for list of Timezones</p>
String	<p>A string is a row of zero or more characters which can include letters, numbers, or other types of characters as a unit, not an array of single characters. (e.g. plain text).</p>	<p>"This is a string" (See Wikipedia String)</p>
Integer	<p>An integer is a numeric value without a decimal. Integers are whole numbers and can be positive or negative.</p>	<p>52110 (positive) -87721 (negative) (See Wikipedia Integer)</p>
Decimal	<p>A floating point number is referred to as a decimal. Can be positive or negative.</p>	<p>8221.231 (positive) -71.214 (negative) (See Wikipedia Decimal)</p>
Boolean	<p>A logic predicate indicator that can be either true or false.</p>	<p>True False See Wikipedia Boolean</p>

4 Data Exchange

4.1 Delimiter Separated Values (DSV)

A delimited file is a text file used to store data, in which each line represents a single record (i.e. Provider) and each line has fields separated by the agreed upon delimiter. Compared to a fixed-length formatted files that uses spaces or other filler characters to force the length of a given field to be fixed in width/size for every value, a delimited file has the advantage of allowing field values of any length. Additionally, when accompanied by a “header row” (the first row in a file) that provides for the names of each column of data, columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: The very first line within the DSV is the header record. (See [Header Record](#))

4.2 Supported Delimiters

Acceptable delimiters supported by this specification include:

- Pipe or Vertical Bar (|); ASCII 124 or UTF-8 007C
- Comma (,); ASCII 44 or UTF-8 002C

Value to be provided will be determined during implementation.

4.3 End of Line Characters

- Each record within the delimited file will be located on a new line, which is composed of two characters, carriage return (\r) and line feed (\n).

4.4 Double Quotes

- Each field will be enclosed with double quotes (“”).
- However, NULL data does NOT use double quotes

Example: “<PAYER>” | “HHS” | “North America” | “MedicaidID” | | “123456789”

4.5 Character Encoding

- Each field within the delimited file will conform to the ASCII/UTF-8 character encoding standard.

4.6 Header Record

The header record provides for the names of each column of data found in the delimited file. Columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: Rules around column data points will be discussed with Sandata during implementation. Removing required columns from the delimited file that are critical to the import process will cause an error and the entire file will be rejected.

- The header record is the first record at the top of the delimited file.
- The header record is required.
- The field names in the header record, also known as column names, must conform to the names provided by Sandata. (See [Field Names](#))

Example: "ProviderID"|"ProviderQualifier"|"ProviderName"|"<PAYER>ID" | ... | "LocationPhone"

4.7 File Naming Convention

Each defined segment will include all required identifying information in the .dsv file and each will be created as a separate file.

NOTE: Underscores (_) will be used to separate each variable section of the file name.
An example of how files will be named is provided below.

- [Prefix]_[SEGMENT]_[MMDDYY]_[HH_MM_SS].[FileExtensions]
 - [Prefix] is a customer specific string agreed upon with Sandata during implementation. ("<PAYER>_EVV_DWExtract")
 - [SEGMENT] is the name of the domain specific name of the parent entity that reflects the data fields within the DSV file
 - [MMDDYY] is the two-digit month, two-digit day, and two-digit year, that the file was created
 - [HH_MM_SS] is the two-digit hours, two-digit minutes and two-digit seconds values (Military Time)
 - [FileExtensions]
 - [.dsv] signifies a comma separated file
 - [.dsv] signifies a delimiter separated file (specific delimiters are agreed upon with the customer during implementation)
 - [.zip/.gzip/.gz/.tar/.7z] signifies the compression used.
Compression methodology will be discussed during implementation
 - [.pgp] signifies that the file has been encrypted with PGP [See [File Encryption](#)]
- Example format
 - <PAYER>_EVV_DWExtract_VISIT_GENERAL_081718_03_15_55.dsv.gpg

4.8 File Retention

Sandata will retain the file for a period of no less than 10 days should an issue be detected with the file copied to the agreed upon SFTP site. Payer/State can request the file be manually recopied if needed. The file naming convention has been agreed upon during implementation, and is important to help with validation, entity mapping, dates and times to make sure files are not overwritten and loaded in the order they are received, extensions to drive the parsing and decryption logic, etc.

4.9 File Encryption

File encryption is encouraged to add an additional layer of security for sensitive PHI data. Files are processed over Secure FTP (SFTP) which provides its own layer of encryption as well.

- Sandata supports file encryption using OpenPGP ([RFC4880](#)).
- Sandata will provide customers with a public key upon implementation.
- PGP encrypted files will append the “gpg” file extension.

4.10 Cryptographic Hash (Optional)

A cryptographic hash function can provide strong assurance about data integrity, whether changes of the data are accidental (e.g., due to transmission errors) or maliciously introduced. Any modification to the data will be detected through a mismatching hash value. Furthermore, given some hash value, it is infeasible to find some input data (other than the one given) that will yield the same hash value.

- The customer can calculate the hash value for each DSV file and provide that value in the control file.
- When calculating the hash, any of the following hash functions can be used:
 - [SHA-1](#)
 - [SHA-2 \(SHA-256/512\)](#)
 - [SHA-3](#) (Most Secure) (Recommended)
- NOTE: [MD5](#) is no longer supported as it has known [security vulnerabilities](#)
- This hash value of a file is optional. Sandata will validate the hash if one is provided in the control file under the “Hash” column. (See [Control File](#))

4.11 Control File

Control files are used as a quality control mechanism to ensure file integrity following transmission.

- Sandata will provide the customer with a control file.
- The control file will be named as follows
 - [Prefix]_Control_[MMDDYY]_[HH_MM_SS].[FileExtensions]
 - [Prefix] is a customer specific string agreed upon with Sandata during implementation (“<PAYER>_EVV_DWExtract”)

- [MMDDYY] is the two-digit month, two-digit day, and two-digit year, that the file was created
- [HH_MM_SS] is the two-digit hours, two-digit minutes and two-digit seconds values (Military Time)
- [FileExtensions]
 - [.dsv] signifies a comma separated file
 - [.dsv] signifies a delimiter (i.e. non-comma / PIPE) separated file
 - [.zip/.gzip/.gz/.tar/.7z] signifies the compression used
- The control file uses the pipe (|) delimiter value.
- The control file will have the following in the first row:
 - "Total Files" | "{number of files}"
- The control file will then have a row corresponding to each of the files in the delivery, with the following data fields:
 - "{file name}" | "{number of records}"
- The control file will end with the following four lines:
 - "Grand total of records generated" | "{total of records}"
 - "File Size" | "{file size in Mb}"
 - "Export Start Date Time" | "{date-time}"
 - This date/time represents the "from" date and time of data being extracted
 - "Export End Date Time" | "{date-time}"
 - This date/time represents the "to" date and time of data being extracted
- Example Sandata-Recipient control file:

```

"<PAYER>_EVV_DWExtract_Control_101118_01_43_45.dsv.gpg
"Total Files"|"15"
"<PAYER>_EVV_DWExtract_VISIT_CALLS_101118_01_43_44.dsv"|"65"
"<PAYER>_EVV_DWExtract_PROVIDER_LOC_101118_01_43_44.dsv"|"65"
"<PAYER>_EVV_DWExtract_CLIENT_GENERAL_101118_01_43_44.dsv"|"1749"
"<PAYER>_EVV_DWExtract_CLIENT_AUTH_101118_01_43_44.dsv"|"1749"
"<PAYER>_EVV_DWExtract_CLIENT_ADDR_101118_01_43_44.dsv"|"1749"
"<PAYER>_EVV_DWExtract_CLIENT_PHONE_101118_01_43_44.dsv"|"1733"
"<PAYER>_EVV_DWExtract_CLIENT_SCHEDULE_101118_01_43_44.dsv"|"0"
"<PAYER>_EVV_DWExtract_EMP_GENERAL_101018_11_56_03.dsv"|"3"
"<PAYER>_EVV_DWExtract_EMP_DISC_101018_11_56_03.dsv"|"3"
"<PAYER>_EVV_DWExtract_VISIT_GENERAL_101018_11_56_03.dsv"|"4"
"<PAYER>_EVV_DWExtract_VISIT_CALLS_101018_11_56_03.dsv"|"6"
"<PAYER>_EVV_DWExtract_VISIT_TASKS_101018_11_56_03.dsv"|"0"
"<PAYER>_EVV_DWExtract_VISIT_EXCP_101018_11_56_03.dsv"|"10"
"<PAYER>_EVV_DWExtract_VISIT_CHANGES_101018_11_56_03.dsv"|"12"
"<PAYER>_EVV_DWExtract_VISIT_CLAIMST_101018_11_56_03.dsv"|"0"
"Grand total of records generated"|"10646"
"File Size"|"0.84"
"Export Start Date Time"|"2018-07-31T20:00:00Z"
"Export End Date Time"|"2018-10-30T16:00:00Z"

```

4.12 Error File

SANDATA-RECIPIENT ERROR HANDLING PROCESS

- **RECIPIENT** will notify Sandata via email to alert of any errors found in processing each provided file.
- **RECIPIENT** will not send emails or error files if there are no errors detected for the delivery.
- The email would be addressed to Interface_DWH_<PAYER>@sandata.com
- The email Subject would include "Sandata-<PAYER> DWH errors: {date of files}"
- The email Body would include (at a minimum) lines for "file name", "number of errors found"
- This email can be generated manually or by a system process created by the RECIPIENT.

4.13 File Transport

Files will be consumed and delivered via Secure FTP (SFTP). The target SFTP server will be hosted by **RECIPIENT**. The host IP, username, password and optional public cryptographic key will be established, configured and tested during implementation.

4.14 File Location

DSV files will be located on the **RECIPIENT** secure SFTP, in a folder created specifically for Sandata, "/Sandata/<PAYER_FOLDER_NAME>/".

4.15 File Frequency

This information will be created and provided to Payer/State nightly, via SFTP. The file will be available by 5 am seven days a week, 365 days per year. Data included on the export file will be from 12:00 am to 11:59:59 pm of the previous day, which covers 24 hours of data per export. If no data is generated within the last 24 hours from the last export, an empty set of files will be delivered.

5 Data Warehouse Segment Files

The file name below will represent the file generation date/time. Each defined segment will include all required identifying information in the .dsv file and each will be created as a separate file.

Naming convention: <Payer/State>_EVV_DWExtract_SEGMENT_mmddyy_hh_mm_ss.dsv

Sandata will retain the file for a period of no less than 10 days should an issue be detected with the file copied to the SFTP site. Payer/State can request the file be manually recopied if needed.

5.1 Fields Overview

The following are all the fields that will be included in the interface specification. All fields in this specification are exported regardless of their intended use. RECIPIENT may choose to ignore these fields at their own discretion.

All referenced fields will be exported. However, on a program-by-program basis, some fields may be irrelevant and contain no data. The exported data will mirror the program specific data captured on intake interfaces and via other means, such as the EVV user interface.

Further, the "Type" column denotes the intended use of the data in that column despite all columns (other than NULL) being supplied with double quotes as noted elsewhere in this document.

Also note that additional fields may be added in the future and become available. RECIPIENT should not rely on a hard-coded list or order of fields, but rather use the header row to pull fields they consider relevant. This will help prevent issues in the future should additional fields become available.

5.2 Data Hierarchy and Fields List

The table below describes how the segments relate to each other from a logical perspective. It is followed by a detailed description of the interface fields.

Segment	Identifying Field(s)	Parent(s)	Related Field(s)
PROVIDER_GENERAL	ProviderID	(none)	
PROVIDER_LOC	PayerID	PROVIDER_GENERAL	ProviderID
CLIENT_GENERAL	ProviderID ClientID	PROVIDER_GENERAL	ProviderID
CLIENT_AUTH	AuthID	PROVIDER_GENERAL PROVIDER_LOC CLIENT_GENERAL	ProviderID PayerID ClientID
CLIENT_ADDR	AddressID	CLIENT_GENERAL	ClientID

Segment	Identifying Field(s)	Parent(s)	Related Field(s)
CLIENT_PHONE	ClientPhone	CLIENT_GENERAL	ClientID
SCHEDULE	ScheduleID	PROVIDER_GENERAL PROVIDER_LOC CLIENT_GENERAL EMP_GENERAL	ProviderID PayerID ClientID EmployeeID
EMP_GENERAL	ProviderID EmployeeID	PROVIDER_GENERAL	ProviderID
EMP_DISC	ProviderID EmployeeID	PROVIDER_GENERAL EMP_GENERAL	ProviderID EmployeeID
VISIT_GENERAL	VisitKey	PROVIDER_GENERAL PROVIDER_LOC CLIENT_GENERAL EMP_GENERAL	ProviderID PayerID ClientID EmployeeID
VISIT_CALLS	CallKey	VISIT_GENERAL	VisitKey
VISIT_TASKS	VisitKey TaskID	VISIT_GENERAL	VisitKey
VISIT_EXCP	VisitKey ExceptionID	VISIT_GENERAL	VisitKey
VISIT_CHANGES	VisitKey ChangeID	VISIT_GENERAL	VisitKey
VISIT_CLAIMST	VisitKey TransactionID BatchID	VISIT_GENERAL	VisitKey

6 Provider Information

6.1 General Provider Information (PROVIDER_GENERAL)

This is the parent entity for the client, employee and visit information. This is the general identifying information for the information to follow. It also includes all information about the provider. Note that while the ProviderID is noted as being unique, it is possible for a single provider to have multiple Sandata accounts in which case there may be multiple entries for the same ProviderID.

Column Name	Description	Max Length	Type
ProviderQualifier	Identifier being sent as the unique identifier for the provider. Values: SandataID, NPI, API, MedicaidID, TaxID, Taxonomy, Legacy, Other.	20	String
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
ProviderName	The provider name provided.	30	String
ProviderDoingBusinessAs	Doing Business As name of the Provider/Agency.	50	String
AddressLine1	Mailing address line 1. This is the street address for a provider.	50	String
AddressLine2	Mailing addresses line 2. This is the mailing address for a provider.	50	String
AddressCity	Mailing address city. This is the city where a provider would receive business mail.	30	String
AddressState	Mailing address state. This is the state where a provider would receive business mail.	2	String
AddressZip	Mailing address zip code. This is the full nine digits of the zip code for a business mailing zip code.	9	String
County	County in which the provider is located.	30	String
AgencyPhone	Phone for the primary address. Full 10 digits, no dashes.	10	String
AgencyEmail	E-Mail address for the agency's primary contact.	64	String
PrimaryContactLastName	Last name for the primary contact.	30	String
PrimaryContactFirstName	First name for the primary contact.	30	String
VendorID	The identifier specifying the source of the EVV data for the provider. Supplied if the program includes multiple EVV Vendors.	50	String
ProviderFax	Provider 10 digit fax number if applicable.	10	String
ProviderNPI	Provider NPI Number.	10	String
ProviderAPI	Provider API Number.	30	String

Column Name	Description	Max Length	Type
ProviderMedicaidID	This is the Medicaid ID assigned to the provider agency by the Medicaid authority.	9	String
SSN	This is the SSN number assigned to a provider by the Internal Revenue Service. Digits only. Must include leading zeroes.	9	String
TaxID	This is the tax identification number assigned to a provider by the Internal Revenue Service. This is the current Tax ID. Digits only. Must include leading zeroes.	9	String
ProviderTaxonomy	Provider Taxonomy Number. Provide Digits Only.	9	String
ProviderRequireAuth	Is an authorization required for billing? Values 0 and 1. 0 = False 1 = True	1	String
ProviderTimeZone	Primary time zone of the provider.	64	Timezone
ProviderDateBegin	Date provider account was created.	10	Date
ProviderDateEnd	Date provider ended contract. The contract end date for the provider will be null unless it is current date or in the past. Date only will be provided (no time) and no time zone conversion to be applied.	10	Date

6.2 Provider Location Information (PROVIDER_LOC)

If information is available for provider location(s), the following information may be provided. This segment is only supported for SAM implementations. Uniqueness for this entity is defined as PayerID + ProviderID + LocationName.

Column Name	Description	Max Length	Type
PayerID	Sandata assigned identifier for the payer. Determined during the implementation process.	64	String
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
LocationName	Name associated with the location. LocationName must be unique within the provider.	20	String
LocationIdentifier	Provider location identifier. Could be the NPI, API, Provider Assigned Medicaid ID etc.	30	String

Column Name	Description	Max Length	Type
LocationAddressLine1	Line 1 of the location address.	50	String
LocationAddressLine2	Line 2 of the location address.	50	String
LocationCity	City for the location.	30	String
LocationState	State for the location. Two letter state abbreviation.	2	String
LocationZip	Location 9 digit Zip Code. If additional 4 digits is not known, provide zeros. Format #####	9	String
LocationContactLastName	Location Contact Last Name.	30	String
LocationContactFirstName	Location Contact First Name.	30	String
LocationPhone	Phone number for the location. Format #####	10	String

7 Client

All client records will be generated as a set. The CLIENT_GENERAL will be used as the parent. All children will be provided assuming they are in-use for the program. The Add/Change/Delete indicator will be used to drive processing for all Client files.

7.1 Client - Client General Information (CLIENT_GENERAL)

Clients for the Business Entity / Provider Medicaid IDs. This is the parent entity for the set of client information. This element including all children will only be sent if the information in the parent or any of the children elements is new or has changed. The Primary Key for Client_General is PayerID + ProviderID + ClientID. The client is also unique based on the PayerID + ClientMedicaidID (or the unique value supplied by the state. When CLIENT_GENERAL is provided, all sub elements will also be provided.

The following is the information relative to the client's receiving service from the agency.

Column Name	Description	Max Length	Type
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
ClientID	Assigned client identifier. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable. This value uniquely identifies the client in the Sandata system.	10	String
ClientFirstName	Client's First Name.	30	String
ClientMiddleInitial	Client's Middle Initial. May be required if needed for billing.	1	String
ClientLastName	Client's Last Name.	30	String
MissingMedicaidID	Indicator that a patient is a newborn. If this value is provided, Client Medicaid ID will be ignored and will be valid as null. Values True/False	5	Boolean
ClientSSN	Client's Social Security Number. If the Field is left empty, ClientOtherID must be populated. Not required if ClientOtherID sent. Numbers only, no dashes and leading zeroes must be included. May be required if needed for billing. Format - #####	9	String
ClientMedicalRecordNum	Client's medical record number if it is applicable.	12	String

Column Name	Description	Max Length	Type
ClientMedicaidID	Unique ID provided by the State Medicaid program to the client.	64	String
ClientCustomID	Additional Client user-defined identifier. Commonly used to customize the built-in client ID within the system. May be equal to another ID provided.	24	String
ClientOtherID	Additional Client user-defined Identifier. Commonly used to store client's ID from another system. This value is used to match the client to an existing record during import. During implementation it will be determined if this value or the ClientSSN will be used for matching.	24	String
ClientSuffix	Client Suffix (e.g. Sr, Jr, III, IV, V (no special characters)).	4	String
Extended Demographics – all optional – exact fields to be provided will be determined during implementation.			
Coordinator	The identified assigned to the Client which associates the client to their Coordinators for an employee.	25	String
ClientCoordinatorEmail	Email address of client's agency coordinator.	64	String
ClientLanguage	Client's language. The list of acceptable values will be determined during implementation.	32	String
ClientGender	Client's Gender. Values: O=Unknown or Other, M=Male, F=Female.	1	String
ClientMaritalStatus	Client's Marital Status. Values: M = Married, S = Single, W = Widowed, O = Other.	1	String
ClientBirthDate	Client's Date of Birth. Required for billing.	10	Date
ClientEmail	Client's email address. Required for client portal access.	64	String
ClientPriority	Allows designation of a client's priority. Generally used to designate clients whose service is critical. Values will be determined during implementation if applicable.	2	String
ClientTimeZone	Client's primary time zone. Depending on the program, this value may be defaulted or automatically calculated. Please see the appendix for acceptable values.	64	Timezone



Column Name	Description	Max Length	Type
<p>Client Designee- Individual who is assigned to a Client and is granted access to Sandata EVV and have access to their specific Clients ONLY. Values will ONLY be provided if Client Designees are supplied in the incoming member file or via Client Entry by the provider.</p>			
ClientDesigneeFirstName	First Name of the Client Designee.	30	String
ClientDesigneeLastName	Last Name of the Client Designee.	30	String
ClientDesigneeEmail	Email address of the Client Designee.	50	String
ClientDesigneeStatus	<p>Status of the Client Designee pertaining to Sandata system access. If the ClientDesigneeStatus is sent, ClientDesigneeStartDate and ClientDesigneeEndDate are not required.</p> <p>(Provide the 2-digit code including the 0)</p> <p>Sandata System can either populate the start and end date based on the date of receipt of the status or the source system can send the activation and termination date.</p> <p>(Please note Activation and termination dates cannot be backdated or futuedated)</p> <p>Available Values:</p> <p>02 = Active,</p> <p>04 = Inactive.</p>	2	String
ClientDesigneeStartDate	The date Client Designee was assigned. Future date is not acceptable. If the ClientDesigneeStartDate is sent, ClientDesigneeStatus is not required.	10	Date
ClientDesigneeEndDate	The date Client Designee was terminated. Future date and Back date is not acceptable. If the ClientDesigneeEndDate is sent, ClientDesigneeStatus is not required.	10	Date
ClientContactType	Client Contact Type. Values: Family, Other.	12	String
ClientContactFirstName	Client Contact First Name. Entered by provider agency.	30	String
ClientContactLastName	Client Contact Last Name. Entered by provider agency.	30	String
ClientContactPhoneType	Client Contact's Phone Type. Values: Business, Home, Mobile, Other.	12	String
ClientContactPhone	Client Contact Home Phone Number. Entered by provider agency. Format #####	10	String

Column Name	Description	Max Length	Type
ClientContactEmailAddress	Client Contact's email address. Required if this client will be authorized to login to the client portal as the client's authorized representative and approve timesheets on behalf of the client.	64	String
ClientContactAddressLine1	Client Contact's Street Address, Line 1.	30	String
ClientContactAddressLine2	Client Contact's Street Address, Line 2.	30	String
ClientContactCity	Client Contact's City.	30	String
ClientContactState	Client Contact's State. Two Character standard abbreviation.	2	String
ClientContactZip	Client Contact's Zip Code. 9-digit primary address zip code. If additional 4 digits is not known, zeros padded. Format #####	9	String

7.2 Client – Programs and Services (CLIENT_AUTH)

All programs and services within the payer that the client participates in. If authorizations are being provided, this information will be derived from the authorization. All fields below are required for uniqueness other than the ClientRegion. PayerProgram and PayerService, if null would be considered for uniqueness as well (e.g. no Program or Service)

Column Name	Description	Max Length	Type
AuthID	Sandata assigned unique identifier for the payer/program/service mapping.	16	String
PayerID	Sandata assigned identifier for the payer. Determined during the implementation process.	64	String
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
ClientID	Assigned client identifier. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable. This value uniquely identifies the client in the Sandata system.	10	String
PayerProgram	If applicable, the program to which this client belongs. List of values to be determined during implementation.	9	String
ClientPayerID	Unique Client ID for the Payer if different from the Client's Medicaid ID.	20	String
PayerRegion	If applicable, the region code in which this client is being provided services. List of values to be determined during implementation.	2	String
PayerService	If applicable, the service to which this client belongs. List of values to be determined during implementation. Generally provided as a HCPCS code. Field may be larger if a different value is selected.	5	String
Modifier1	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String
Modifier2	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String
Modifier3	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String

Column Name	Description	Max Length	Type
Modifier4	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String
ClientEligibilityDateBegin	Client Eligibility Begin Date.	10	Date
ClientEligibilityDateEnd	Client Eligibility End Date.	10	Date
ClientStartOfCareDate	Start of Care Date.	10	Date
ClientEndOfCareDate	End of Care Date.	10	Date
ClientStatus	The client's current status. Provide the 2-digit code including the 0. Available values: 01 = Pending, 02 = Active, 03 = Hold, 04 = Inactive.	2	String
ClientStatusDate	The date of the last status change. If not provided, current date will be assumed. Entered by Payer.	10	Date
IsPrimary	Is this the client's primary diagnosis code. If more than 1 are noted as primary, one will be selected. Value: true/false.	5	Boolean
DiagnosisCode	The client's diagnosis code in ICD-10 format.	10	String

7.3 Client - Address (CLIENT_ADDR)

This is a child of the Individual/Client General Information. There can be any number of Individual/Client Address records. ProviderID + ClientID define the identifying elements, but these will repeat for each address provided.

Column Name	Description	Max Length	Type
AddressID	Sandata assigned unique identifier for the address.	16	String
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
ClientID	Assigned client identifier. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable. This value uniquely identifies the client in the Sandata system.	10	String
ClientAddressType	Values: Home, Business, Other. Note that multiple of the same type can be provided.	12	String
ClientAddressLine1	Street Address Line 1 associated with this address.	30	String
ClientAddressLine2	Street Address Line 2 associated with this address.	30	String
ClientCounty	County associated with this address.	25	String
ClientCity	City associated with this address.	30	String
ClientState	State associated with this address. Two Character standard abbreviation.	2	String
ClientZip	Zip Code associated with this address. Required for Billing. 9-digit primary address zip code. If additional 4 digits are not known, zeros padded. Format #####	9	String

7.4 Client - Phone (CLIENT_PHONE)

This is an optional child for the Individual / Client General Information. It is required for automatic matching for telephony. There can be any number of Individual/Client Phone Records. All fields other than ClientPhoneType are required for uniqueness.

Column Name	Description	Max Length	Type
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
ClientID	Assigned client identifier. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable. This value uniquely identifies the client in the Sandata system.	10	String
ClientPhoneType	Values: Home, Mobile, Business and Other. Note that multiple of the same type can be provided.	12	String
ClientPhone	Client phone number. Format #####	10	String

7.5 Client - Schedule (SCHEDULE)

The following element includes the schedule information for the client. This includes both the client and employee information. The client must exist in the system for a schedule to be successfully uploaded. Some programs require the employee to exist as well prior to uploading the schedule. In case if they do not pre-exist in the Sandata EVV database both client and Employee should be available in the same transfer. Schedules will be provided if available / applicable. Uniqueness defined by PayerID + ProviderID + ScheduleID.

Column Name	Description	Max Length	Type
PayerID	Sandata EVV assigned identifier for the payer associated with the schedule.	64	String
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
ClientID	Assigned client identifier. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable. This value uniquely identifies the client in the Sandata system.	10	String

Column Name	Description	Max Length	Type
EmployeeID	Unique employee identifier. This value uniquely identifies the employee in the Sandata system.	9	String
ScheduleID	Unique identifier for the schedule record.	16	String
ScheduleStartDate	Activity / Schedule start date is the date in UTC.	10	Date
ScheduleStartTime	Activity / Schedule start date and time.	20	DateTime
ScheduleEndTime	Activity / Schedule end date and time.	20	DateTime
ScheduleDuration	Duration of activity / scheduled visit. This is difference between end time and start time. In minutes.	10	String
PayRate	Rate for payroll. Provided if rate is specified as part of the schedule received.	5	String
BillRate	Rate for billing. Provided if rate is specified as part of the schedule received.	6	String
ClusterCaseFlag	Cluster case indicator. true/false. This is special use.	5	Boolean
Discipline	Type of service provided by the Employee.	6	String
PayerProgram	Program for which services are being provided. Determined during implementation.	9	String
PayerService	Service to be provided. This is the billable procedure code. For most programs, it is the HCPCS number.	5	String
VisitType	Used for billing. If visit type is set to 'V' it means charge by visit. Other values may be determined during implementation.	1	String
LiveInCase	24 hour live in case. Values are true/false.	5	Boolean
ScheduleTimeZone	Schedule time zone – if different that the client's default.	64	Timezone
Modifier1	First modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String
Modifier2	Second modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String
Modifier3	Third modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String

Column Name	Description	Max Length	Type
Modifier4	Fourth modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	2	String

8 Employee

All employee records will be generated as a set. The EMP_GENERAL will be used as the parent. All children will be provided assuming they are in-use for the program.

8.1 Employee – Employee General Information (EMP_GENERAL)

Employees for the Business Entity / Provider Medicaid IDs. This is the parent entity for the Employees providing care. This element will only be sent if the information is new or has changed. Uniqueness is defined by ProviderID + EmployeeID. When EMP_GENERAL is provided, all sub elements will also be provided.

Column Name	Description	Max Length	Type
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
EmployeeID	Unique employee identifier. This value is the Employee key field to the source system or other identifier for the Employee.	9	String
EmployeeLastName	Employee's last name.	30	String
EmployeeFirstName	Employee's first name.	30	String
Department	Employee's department.	3	String
EmployeeType	Such as nurse or home health attendant. This is user defined varies based on the source system.	1	String
EmployeeEmail	Employee Email Address	64	String
EmployeeAddress1	Employee's address.	30	String
EmployeeAddress2	Employee's address (line 2).	30	String
EmployeeCity	Employee's city.	30	String
EmployeeState	Employee's state.	2	String
EmployeeZipCode	Employee's 9 digit zip code. If additional 4 digits is not known, zeros padded. Format #####	9	String
EmployeePhone	Employee's phone number. Format #####	10	String
PayRate	Rate for payroll. Can have values like 5.043 or 1.23 and should not exceed 5 characters. Decimal point is included in the length.	5	String
EmployeeIDCustom1	Customized Employee id. Also known as Employee Other ID.	64	String

Column Name	Description	Max Length	Type
EmployeeIDCustom2	Customized Employee id. Also known as Employee Custom ID.	64	String
SocialSecurity	Employee SSN.	9	String
EmployeeAPI	Employee Client's Alternate Provider Identifier or Medicaid ID.	25	String
EmployeeHireDate	Date of Hire.	10	Date
EmployeeBirthDate	Employee's date of birth.	10	Date
EmployeeLocationName	The Employee's primary location.	20	String

8.2 Employee - Discipline (EMP_DISC)

Employees for the Business Entity / Provider Medicaid IDs. This is the parent entity for the Employees providing care. This element will only be sent if the information is new or has changed. Optional segment. Will be provided if information exists. All fields are required for uniqueness.

Column Name	Description	Max Length	Type
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier. 15 Character Unique Provider Identifier provided.	64	String
EmployeeID	Unique employee identifier. This value uniquely identifies the employee in the Sandata system.	9	String
EmployeeDiscipline	Code defining the discipline(s) of the employee. Examples depending on the program include HHA, RN, LPN, PT, etc.	6	String

9 Visit

All visit records will be generated as a set. The VISIT_GENERAL will be used as the parent. All children will be provided assuming they are in-use for the program. When VISIT_GENERAL is provided, all sub elements will also be provided.

Note that for a 'delete' record, based on the VisitStatus field, only the VisitKey and the actual Delete Flag are required elements in the response although other fields may be provided.

9.1 Visit – Visit General Information (VISIT_GENERAL)

This is the parent entity for the actual visit for the Business Entity / Provider Medicaid IDs. The Primary Key for Visit_General is the "VisitKey". VisitKey will span Payers and Providers.

Column Name	Description	Max Length	Type
PayerID	Sandata assigned identifier for the payer. Determined during the implementation process.	64	String
ProviderID	Identifier for the provider. Identifier type identified by ProviderQualifier.	64	String
ClientID	Assigned client identifier. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable. This value uniquely identifies the client in the Sandata system. Note that visits that cannot be clearly identified as belonging to Payer will be excluded from the export. Note: ClientID can be NULL ONLY when the VisitStatus is "Deleted"	10	String
EmployeeID	Unique employee identifier. This value uniquely identifies the employee in the Sandata system.	9	String
VisitKey	Visit identifier in the Sandata system. Note that the same VisitKey can be sent multiple times over the course of different exports. Subsequent VisitKeys are updates to the prior visit.	50	String
VisitOtherID	Visit identifier in the external EVV system, if any.	50	String
VisitCancelledIndicator	true/false – if omitted visits are requested and/or if a visit that has already been sent has been invalidated for some reason, this indicator would be sent as true.	5	String

Column Name	Description	Max Length	Type
PayerProgram	If applicable, the program to which this client belongs. List of values to be determined during implementation.	9	String
ProcedureCode	HCPCS Code denoting service.	5	String
Timezone	Time zone for Payer/State.	64	Timezone
CallInDateTime	The date/time of the actual Call In. If additional information is needed about the call, it is in the VISIT_CALL element.	20	DateTime
CallOutDateTime	The date/time of the actual Call Out. If additional information is needed about the call, it is in the VISIT_CALL element.	20	DateTime
ActDuration	Actual, calculated duration (Call Out – Call In) in Minutes.	10	Integer
AdjBeginningDateTime	Adjusted in date/time if entered manually. Otherwise the actual date/time received.	20	DateTime
AdjEndDateTime	Adjusted out date/time if entered manually. Otherwise the actual date/time received.	20	DateTime
AdjDuration	Adjusted, calculated duration (Adj Call Out -Adj Call In) in Minutes	10	Integer
BillVisit	If the visit is going to be billed. true/false	5	Boolean
BillTime	Minutes that are going to be billed.	8	Integer
PayTime	Minutes that are going to be paid.	8	Integer
Memo	The free form memo field from Sandata EVV or 3 rd Party System.	1024	String
EmpVoiceVerification	true/false If voice verification is in use, did the employee's voice recording match the enrollment information.	5	Boolean
ClientVerifiedTimes	true/false	5	Boolean
ClientVerifiedService	true/false	5	Boolean
ClientVerifiedTasks	true/false	5	Boolean
ClientSignatureAvailable	true/false The actual signature will not be transferred. The originating system will be considered the system of record.	5	Boolean

Column Name	Description	Max Length	Type
ClientVoiceRecording	true/false The actual voice recording will not be transferred. The originating system will be considered the system of record.	5	Boolean
ClientVoiceVerification	true/false If voice verification is in use, did the client's voice recording match the enrollment information.	5	Boolean
VisitStatus	Status of the visit as calculated by the Aggregator. Values: Omit, Scheduled, In Process, Incomplete, Verified, Processed, Deleted.	30	String
GroupCode	This visit was part of a group visit. Group Code is used to reassemble all members of the group. Note that Alternate EVV vendors may not supply this value.	6	String
Modifier1	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String
Modifier2	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String
Modifier3	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String
Modifier4	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String

9.2 Visit - Calls (VISIT_CALLS)

Call Information regardless of call type. This is an optional element in some circumstances including visits received from a 3rd Party provider or a provider using scheduling could exist without any associated calls. VisitKey is unique throughout the Sandata system and will be assigned during 3rd party EVV system import as required. The Primary Key for Visit_Calls is the "CallKey".

Column Name	Description	Max Length	Type
VisitKey	Visit identifier in the Sandata system.	50	String
CallKey	Call identifier in the Sandata system.	50	String

Column Name	Description	Max Length	Type
CallDateTime	Call date time.	20	DateTime
CallAssignment	Values: Call In, Call Out, Interim.	10	String
CallType	The type of device used to create the event. Values: TELEPHONY, MOBILE, FVV, MANUAL, OTHER. Additional values for this field may be added.	20	String
ProcedureCode	HCPCS Code. Actual values for each payer/program/service to be determined during implementation. This value is not validated – it is based on the worker’s entry during the call.	5	String
ClientIdentifierOnCall	Client ID entered or selected on Sandata EVV Event. This value is not validated – it is based on the worker’s entry during the call.	10	String
ServiceEnteredOnCall	Service selected on the Call. Mapped to the appropriate HCPCS code. This value is not validated – it is based on the worker’s entry during the call.	5	String
MobileLogin	Log in for GPS device.	64	String
VisitLocation	Location of the visit defined by the schedule or selected by the user.	64	String
VisitNotes	From the Sandata mobile application. Visit notes entered during the visit by the worker.	4000	String
CallLatitude	GPS Latitude recorded during event. Latitude has a range of -90 to 90 with a 15 digit precision	19	Decimal
CallLongitude	GPS Longitude recorded during event. Longitude has a range of -180 to 180 with a 15 digit precision	20	Decimal
TelephonyPIN	PIN for telephony.	9	String
CallTimeZone	Call time zone – if different that the client’s default.	64	Timezone
OriginatingPhoneNumber	Originating phone number for telephony.	10	String
RecordUpdatedBy	The unique identifier of the user, system or process that made the change. This value could also be a system process in which case it will be identified. i.e. If the call was entered manually, the user or user identifier entering the manual call.	100	String

Column Name	Description	Max Length	Type
RecordUpdateDateTime	If the call was entered manually, the date/time of the entry.	20	DateTime
GroupCode	This visit was part of a group visit. Group Code is used to reassemble all members of the group. This value may not be provided by 3 rd party EVV systems.	6	String

9.3 Visit - Tasks (VISIT_TASKS)

Provided if task collection is in use.

Column Name	Description	Max Length	Type
VisitKey	Visit identifier in the Sandata system.	50	String
TaskID	Task id, this task id must map to the Task IDs used for the agency in the Sandata system.	64	String
TaskReading	Task reading	10	String
TaskRefused	Did the client refuse the specific task. true/false	5	Boolean
TaskUnit	Task unit. Units that are used when collecting the tasks assuming readings are in use.	8	String
CallKey	Call identifier in the Sandata system. If the task was entered on a specific call, this value will be included.	50	String
RecordUpdatedBy	The unique identifier of the user, system or process that made the change. This value could also be a system process in which case it will be identified. Blank if captured during actual call. i.e. If the task was entered manually, the user or user identifier entering the task.	100	String
RecordUpdateDateTime	If the task was entered manually, the date/time of the entry. Blank if captured during actual call.	20	DateTime

9.4 Visit - Exceptions (VISIT_EXCP)

Exceptions will be provided within the Visit information being sent. The information provided below is based on the exceptions currently applied to the visit. A visit can have zero to many exceptions. All exceptions associated with the visit at that point in time will be supplied. If they have been acknowledged, it will be noted here. VisitKey is unique throughout the Sandata system and will be assigned during 3rd party EVV system import as required. Uniqueness is defined as VisitKey + ExceptionID although there COULD be duplicates if for some reason the same exception is applied, then acknowledged then applied again.

Column Name	Description	Max Length	Type
VisitKey	Visit identifier in the Sandata system.	50	String
ExceptionID	ID for the exception being acknowledged. Exact exceptions in use for programs will be contained in the companion guide developed during implementation.	2	String
ExceptionAcknowledged	true/false	5	Boolean

9.5 Visit - Historical Visit Changes (VISIT_CHANGES)

Within the visit being sent, a visit could have one or more changes that have been manually applied. For each visit change, these data are the details of the change(s) made. Multiple or duplicate rows may be exported if a particular field is exported several times and/or changes are reversed. VisitKey is unique throughout the Sandata system and will be assigned during 3rd party EVV system import as required. The Primary Key for Visit_Changes is "VisitKey"+"ChangeID" +"RecordUpdateDateTime"

Column Name	Description	Max Length	Type
VisitKey	Visit identifier in the Sandata system.	50	String
ChangeID	The unique identifier of the change that is being sent. These can be used denote the order in which changes were made to the visit although they are not sequential. See Section 8.4 for possible values for this field.	50	String
ChangeType	The type of change being applied: A (Add), C (Change), M (Merge).	1	String
SequenceID	The Third Party visit sequence ID to which the change applied. This can be numeric or the date and time of the change depending on the 3 rd party implementation of the Alt EVV specification.	50	String

Column Name	Description	Max Length	Type
VisitChangeExternalID	Change identifier in the external system if applicable.	50	String
ChangeMadeBy	The unique identifier of the user, system or process that made the change.	64	String
ChangeDateTime	Change made date and time based on external interfaces. To the second.	20	DateTime
RecordUpdateDateTime	Date and time change applied in Sandata system. To the second.	20	DateTime
ReasonCode	Reason Code selected. Reason codes will be determined during implementation. It is possible that some changes may not require a reason code.	4	String
ChangeReasonMemo	Reason/Description of the change being made entered by the user.	256	String
ResolutionCode	Resolution Codes if in use. Resolution codes will be determined during implementation.	4	String
VisitChangeLogDetails	Snapshot of full visit record at the time of change.	1000	String

9.6 Visit – Claim Stack Requests (VISITS_CLAIMST)

For programs utilizing Claims Validation. The segment is included if there have been any fulfilled claims stack requests. If present, there may be one or more requests for each VisitKey. The TransactionID noted below will be based on the information sent by the adjudication system. This Identifier, along with the Individual, service, and start and end times, can be used to link back to the provider submitted information (via portal or 837). Only those requests where a visit was identified will be returned to the Payer/State Warehouse. Based on Claims Validation v1.0 only and only available if Claims Validation enabled for program. Uniqueness is defined as VisitKey + TransactionID + BatchID.

Column Name	Description	Max Length	Type
VisitKey	Visit identifier in the Sandata system.	50	String
TransactionID	Unique identifier for the request generated by the payer.	50	String
BatchID	Unique identifier for the request generated by the payer.	50	String
ICN	An Internal Control Number (ICN) is a unique, 13-digit identification number assigned to every claim in order to distinguish it from all other claims received by the system.	13	Integer
DetailLineNumber	Detail Line Number. A sequential and unique line number of each detail line within the claim.	99	Integer
ClientMedicaidID	The ID assigned by the State Medicaid agency for the patient.	64	String
Service	Service provided. This is the billable procedure code. For most programs, it is the HCPCS number.	5	String
Modifier1	First modifier if applicable.	3	String
Modifier2	Second modifier if applicable.	3	String
Modifier3	Third modifier if applicable.	3	String
Modifier4	Fourth modifier if applicable.	3	String
GroupCode	This visit was part of a group visit. Group Code is used to reassemble all members of the group.	6	String
Units	Units requested by and being returned to the adjudication system. For example, for 15 minute units, the maximum expected value is 96 (24 hours @ 4 units per hour).	16	Decimal
VisitStartDateTime	Requested date and time in.	20	DateTime
VisitEndDateTime	Requested date and time out.	20	DateTime
ResponseDateTime	Date and time response as generated by Sandata	20	DateTime

10 Appendix

10.1 Legend

Legend	
Field Name	Other possible Naming
Client	Individual Member Patient Recipient
Employee	Caregiver Consumer Directed Worker Home Health Aide Staff Worker
Provider	Agency Third Party Admin (TPA)
Payer	Admission Contract Insurance Company Managed Care Organization (MCO) State
Contract	Program Program Code
HCPCS	Bill Code Procedure Code Service

10.2 Acronyms and Definitions

Term	Definition
AKA	Also Known As
API	Application Programming Interface
GMT	Greenwich Mean Time
HTTP	Hyper Text Transfer Protocol
TBD	To Be Determined
UTC	Universal Time Coordinated

10.3 Time Zone List

This is the common list of timezones in use. If your area is not covered by this list please contact Sandata support to discuss accepting additional timezone values. Please note that the value sent must exactly match the value and case shown.

Text Value	Daylight Saving
US/Alaska	Active
US/Aleutian	Active
US/Arizona	Inactive
US/Central	Active
US/East-Indiana	Active
US/Eastern	Active
US/Hawaii	Inactive
US/Indiana-Starke	Active
US/Michigan	Active
US/Mountain	Active
US/Pacific	Active
US/Samoa	Inactive
America/Indiana/Indianapolis	Active
America/Indiana/Knox	Active
America/Indiana/Marengo	Active
America/Indiana/Petersburg	Active
America/Indiana/Vevay	Active
America/Indiana/Vincennes	Active
Canada/Atlantic	Active
Canada/Central	Active
Canada/East-Saskatchewan	Inactive
Canada/Eastern	Active

Text Value	Daylight Saving
Canada/Mountain	Active
Canada/Newfoundland	Active
Canada/Pacific	Active
Canada/Saskatchewan	Active
Canada/Yukon	Active
America/Puerto_Rico	Inactive

10.4 ChangeID Values

The following is a representative list. Additional values will be added to this list over time and based on program needs. Not all values will be used for every implementation.

ChangeID	Description
10010	Visit – Update Client
10011	Visit - Update Employee
10012	Visit - Assign Call to Visit
10013	Visit - Update Payroll Hours
10014	Visit - Update Payroll Hours via Single-Click
10015	Visit - Update Memo
10016	Visit - Add Visit
10018	Visit - Update Do Not Export Flag
10020	Visit - Assign Schedule to Visit
10021	Visit - Update Schedule
10023	Visit - Add Task to Visit
10024	Visit - Update Task
10025	Visit - Delete Task
10026	Visit - Add Contract/Payer
10027	Visit - Merge Visits
10029	Visit - Update Omit Visit Flag
10030	Visit - Update Known Client
10031	Visit - Update Known Employee
10032	Visit - Update Payroll Hours via Override of Exported Hours
10035	Visit - Manual Override Client Visit Verification
10063	Visit - Update Bill Hours

ChangelD	Description
10064	Visit - Update Bill Hours via Single-Click
10065	Visit - Update Bill Hours via Override of Exported Hours
10066	Visit - Update Adjusted Hours
10067	Visit - Approve Visit
10068	Visit - Update Service
10105	Visit Exception - Acknowledge Unscheduled Visits
10106	Visit Exception - Acknowledge Unmatched Payroll and Scheduled Hours
10107	Visit Exception - Acknowledge Payroll Hours less than Scheduled Hours
10108	Visit Exception - Acknowledge Actual Hours more than Scheduled Hours
10109	Visit Exception - Acknowledge Rejected Visits
10110	Visit Exception - Acknowledge Missing Tasks
10112	Visit Exception - Acknowledge Invalid Contract / Payer
10113	Visit Exception - Acknowledge Employee Replacement
10114	Visit Exception - Acknowledge Missing Contract / Payer
10115	Visit Exception - Acknowledge Unmatched Client ID / Phone
10116	Visit Exception - Acknowledge Missing Procedure Code
10118	Visit Exception - Acknowledge Late In-Call
10119	Visit Exception - Acknowledge Early Out-Call
10120	Visit Exception - Acknowledge Short Visit
10121	Visit Exception - Acknowledge No Show
10123	Visit Exception - Acknowledge Missing Service
10125	Visit Exception - Acknowledge GPS Distance Exception
10126	Visit Exception - Acknowledge Employee Speaker Verification Exception
10127	Visit Exception - Acknowledge Client Speaker Verification Exception
10128	Visit Exception - Acknowledge Visit Verification Exception
10130	Visit Exception - Acknowledge Client Speaker Verification Bypassed
10131	Visit Exception - Acknowledge Unmatched Billing and Scheduled Hours
10132	Visit Exception - Acknowledge Billing Hours less than Scheduled Hours
10133	Visit Exception - Acknowledge Unmatched Billing and Payroll Hours
10134	Visit Exception - Acknowledge Unauthorized Service
10135	Visit Exception - Acknowledge Extraneous Calls

ChangeID	Description
10136	Visit Exception - Acknowledge Client Eligibility
10137	Visit Exception - Acknowledge Payroll Hours greater than Maximum Allowed Hours
10139	Visit Exception - Acknowledge Client Signature Exception
10140	Visit Exception - Acknowledge Service Verification Exception
13560	Manual Call - Add
13570	Manual Call - Add to Specified Visit
17501	Visit - Add Visit
17502	Visit - Update Visit



**Requirement Specification for
Electronic Visit Verification (EVV)
Incoming Clients, Employees, Schedules, Client
Employee XREF, and
Outgoing Completed Visits
Part of the Open EVV Series of Interfaces**

Version 7.4

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Revision History

Version	Description	Date Updated
7.1	Clarified verbiage around required fields and segments.	3/20/2019
7.2	Clarified interaction between ClientSSN and RecipientIDCustom2, which was formerly known as ClientOtherID	4/2/2019
7.3	Added "ActivityEndDate" to export fields.	5/20/2019
7.4	Reworked document to be more in line with other Sandata specifications, such as Alt-EVV. Explicitly defined XREF as one of the incoming entities.	8/2/2019

1 Overview

This specification is intended to document the requirements for using the Sandata EVV Interface (part of the Open EVV Series of interfaces) for sending clients, employees, schedules and client employee xref, and returning completed visit information to a 3rd party agency management, scheduling or fiscal management system. Sandata supports receiving data via RESTful services with JSON formatting.

The Sandata Open EVV interface allows users/vendors to upload clients, employees, schedules, and client service xref from any 3rd party Agency Management system to Sandata EVV in JSON format. Once uploaded, all data is applied to the Sandata EVV database and after visit information is collected and processed, users can download the completed visit data.

We recommend that the transfers be initiated based on a schedule. Best practice is to send and receive this information hourly and at most, no more often than every fifteen minutes. It is expected that each agency will ONLY call this interface through a single centralized process. Once the first transfer is completed and a response is provided from Sandata EVV another transfer can be initiated by the 3rd Party System. The required columns must be present in the transmission or the import will reject the record.

1.1. Intended Audience

The intended audience of this document is:

- Project Management and Technical teams at Sandata.
- Project Management and Technical teams at a designated Provider/Vendor who will be implementing this interface.

1.2. Transmission Frequency

For optimal system performance, it is recommended that data should be sent based on a schedule. It is recommended that this frequency is between every 15 minutes and once an hour. It is expected that information is sent as it is added/changed/deleted in the Source EVV Data Collection System. Note that rejection responses will be delivered on a separate API call that is initiated by the third party—in near real time.

1.3. Transmission Limits

A single transaction may contain from 1 to 5,000 parent records. A single record set would include all associated elements. Each parent record may contain no more than 5,000 children.

If the group size exceeds the maximum limit for the group, the complete group will be rejected.

Records received may be queued and processed as resources permit. Other transactions received for the Provider ID will be queued behind these until they are processed since they must be processed in the order received.

1.4. Data Type Format Details

The user will send information in **JSON** format. JSON allows multiple child entities for a parent.

The format of the information sent must match exactly the format defined below and must be sent via a REST API service using JSON. Ultimately, we support only three data types during transmission: string, number and Boolean. The specification references additional data types to ensure that data is received in the expected formats and appropriate record level editing can be incorporated. Except where numeric, the assumed JSON format should be string. The data type provided in the specification is based on the following field definitions.

Note that the format is case sensitive. All field names must be provided in EXACTLY the casing used in the definitions below.

Data Type	Description	Example
DateTime	<p>The date and time is represented as a string with the following format: YYYY-MM-DDTHH:MM:SSZ</p> <p>All times will be provided in UTC.</p> <p>If time is not material, it will be provided as is expected.</p>	2016-12-20T16:10:28Z
Date (only Date)	<p>The data is represented as a string with the following format: YYYY-MM-DD</p> <p>Date only will be sent in UTC format.</p>	2016-12-20
Timezone	<p>All time for tracking visits will be in UTC.</p> <p>Time zone</p> <p>The Time zone name expected in each transaction is the actual Time zone where the event took place. i.e. US/Eastern</p>	See Appendix for list of EVV supported Time zones
String	<p>A string is a row of zero or more characters which can include letters, numbers, or other types of characters as a unit, not an array of single characters. (e.g. plain text).</p>	<p>"This is a string"</p> <p>(See Wikipedia String)</p>

Data Type	Description	Example
Integer	An integer is a numeric value without a decimal. Integers are whole numbers and can be positive or negative.	52110 (positive) -87721 (negative) (See Wikipedia Integer)
Decimal	A floating point number is referred to as a decimal . Can be positive or negative.	8221.231 (positive) -71.214 (negative) (See Wikipedia Decimal)
Boolean	A logic predicate indicator that can be either true or false.	True False See Wikipedia Boolean

1.5. Rejected Record Process

When records are received, Sandata will return against each group a transaction ID and an ACK (acknowledgment of receipt). This transaction ID can be queried by the caller for status of the records in the transaction. This process will allow the provider/vendor to get status on any of the records that may have been rejected.

1.6. New Record and Updates

New records and updates for previously sent data should be provided. If a set of records is sent, all associated applicable elements and sub-elements should be sent. Partial updates will be rejected. An update that deletes a client or employee record will not actually remove information since Sandata will not physically delete information. The record history will maintain the original data received.

1.7. Transmission Method

Sandata supports a Services Oriented Architecture (SOA). Sandata will provide an API for providers, vendors, and/or agency's internal IT organizations to utilize. Sandata will provide sample JSON format information (Java equivalent to XML), as well as the WADL (JSON equivalent of the WSDL) to those parties developing the interface. This specification will include the REST endpoints needed to request status on record acceptance /rejection.

1.8. Rules

The following rules apply to information received through this interface. For all rules that result in a rejection, it is expected that the issue will be resolved in the source system and the information subsequently retransmitted.

- ✓ There is one set of Interfaces per Sandata Provider Agency ID.

- ✓ There will be 4 independent types of data provided through the Open EVV interface:
 - Clients;
 - Employees (Field Staff);
 - Schedules; and
 - Client Employee XREF

THE USER OF THE API WILL BE RESPONSIBLE FOR:

- ✓ This API is an incremental interface. Records which have not changed should not be resent.

- ✓ Complete transmissions.
 - When sending a client, all applicable elements and sub elements must be sent during each transmission.
 - When sending an employee, all applicable elements and sub elements must be sent during each transmission.
 - When sending a schedule, all applicable elements and sub elements must be sent during each transmission.
 - When sending a client employee xref, all applicable elements and sub elements must be sent during each transmission.

- ✓ Data quality. All data will be accepted from third party data "as is,".

- ✓ Using standard date/time format. All dates and times provided must be sent in UTC (Coordinated Universal Time) format in GMT.

GENERAL PROCESSING RULES:

- ✓ If a record is received and any required data is missing, malformed, or incomplete as defined in the specification, the record will be rejected or set to default values in accordance with the detailed specifications.
- ✓ If an optional field is provided with an invalid value (one not listed in this specification), the field will be set to the default value, null and/or rejected, unless otherwise specified in this specification.
- ✓ If text (string) field length is longer (>/greater than) than the maximum allowed for that field value, unless otherwise noted, the field will be truncated to the maximum length specified for that field.
- ✓ Records will be processed in the order received.
- ✓ Header information as determined during implementation must be included in each transmission for each record (client, employee, schedule, client employee xref), otherwise the entire collection of records will be rejected.
- ✓ All data in the request should be associated with the same account/provider provided in the header information
- ✓ All JSON examples provided demonstrate fields which are guaranteed to be returned. Additional fields may be included based on implementation details or may be added over time.

1.9. Message Acknowledgement (ACK) and Transaction ID

Upon sending data to one of the APIs described in this document, the user will be returned an acknowledgement of receipt of the data. This acknowledgement will contain information about any improperly formatted data, as well as provide a unique identifier with which to look up the status of the request.

Index	Column Name	Description	Type
1	id	Unique identifier for the request.	String
2	status	Status of the request. "SUCCESS" indicates a properly formatted request was received and is being processed. "FAILED" indicates the request failed initial validation.	String
3	messageSummary	A brief description of the result of the request.	String
4	data	On success, will return some basic information about the request. On error, will send back input data with added data points for "ErrorCode" and "ErrorMessage". Content varies based on API and implementation.	JSON Object

JSON Structure:

```
{
  "id": "23b3b035-a4a3-4514-9f8a-958e76bc9822",
  "status": "SUCCESS",
  "messageSummary": "The result for the input UUID is not ready yet. Please try again.",
  "data": {
    "uuid": "23b3b035-a4a3-4514-9f8a-958e76bc9822",
    "account": "12345",
    "message": "The result for the input UUID is not ready yet. Please try again.",
    "reason": "Transaction Received.",
    "transactionId": "23b3b035-a4a3-4514-9f8a-958e76bc9822"
  }
}
```

1.10. Response for Record Status

Using the id (or transactionId) from the message acknowledgement, the status of a request may be requested from the status endpoint for each API. The response will denote if the request was processed successfully. If not, it will return detailed error messages.

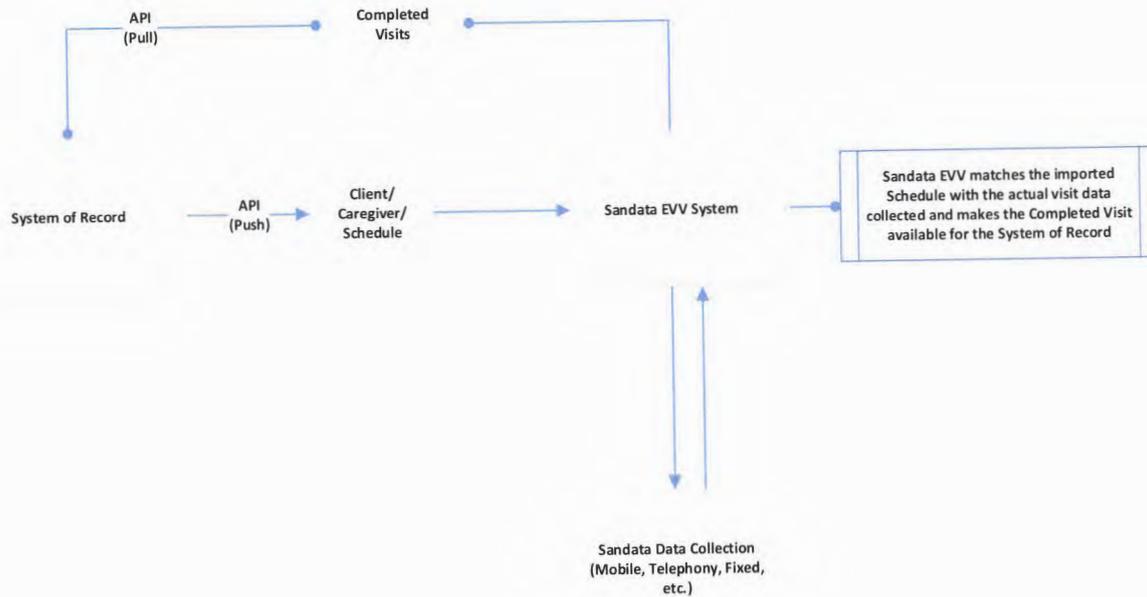
Index	Column Name	Description	Type
1	id	Unique identifier for the request.	String
2	messageSummary	A brief description of the result of the request.	String
3	data	On success, will return some basic information about the request. On error, will send back input data with added data points for "ErrorCode" and "ErrorMessage". Content varies based on API and implementation.	JSON Object

JSON Structure:

```
{
  "id": "23b3b035-a4a3-4514-9f8a-958e76bc9822",
  "status": "SUCCESS",
  "messageSummary": "All records updated successfully.",
  "data": {
    "uuid": "23b3b035-a4a3-4514-9f8a-958e76bc9822",
    "account": "12345",
    "message": "All records updated successfully.",
    "reason": "Transaction Received.",
    "transactionId": "23b3b035-a4a3-4514-9f8a-958e76bc9822"
  }
}
```

2 Model

This interface model targets users/vendors who want to communicate with Sandata EVV as a client application. Sandata EVV provides transfer API services that are available for users to upload clients, employees (caregivers), schedules, and client employee xref, and to download visit data.



3 Field Details

See below for a description of fields and segments supported by the API. As part of the implementation process, required fields may be adjusted and the available fields may be modified based on the program specifics.

None of the segments defined below are required unless explicitly stated. Where noted, certain segments should not be included unless relevant supporting data is also included. The list of segments provided may vary by implementation.

The account identification element will be required as part of the header information provided for all three types of transmissions. This information will be compared to the connection being used within the interface to ensure that the transmission is appropriate. If this match cannot be validated, the transmission will be rejected. Sample requests will be provided prior to implementation demonstrating the usage of this header.

3.1 Account Identification

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes

3.2. Element – Client

The following is the information relative to the client’s receiving service from the agency.

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes
2	ClientID	This must be all digits. The client id is the unique identifier for the patient / client / individual. This can be used to tie the individual to an existing scheduling system OR if the provider does not have an appropriate value any number can be used. This number will be required for entry into the call-in system (telephony, MVV, etc.) system for multi-client cases and when using the FVVD.	10	String	Yes
3	ClientLastName	Client’s last name.	30	String	Yes
4	ClientFirstName	Client’s first name.	30	String	Yes
5	ClientMiddleName	Client’s Middle Initial. May be required if needed for billing. Note that some systems may use only the first letter as the initial.	30	String	

Index	Column Name	Description	Max Length	Type	Required
6	MissingMedicaidID	This value is to indicate that the member is a newborn and does not yet have an assigned Medicaid ID. If this value is provided, Client Medicaid ID will be ignored and will be valid as null. Values True/False. This value will be assumed to be false unless there is special setup for the account to support this feature.	5	String	
7	ClientEmailAddress	Email Address for the Client. This value is required for the client if the client is expected to use the Sandata EVV Member Portal.	50	String	
8	ClientSuffix	Client Suffix (eg. Sr, Jr, III, IV, V (no special characters)).	4	String	
9	ClientSSN	Client's Social Security Number. If the Field is left empty, RecipientIDCustom2 must be populated. Not required if RecipientIDCustom2 sent. Numbers only, no dashes and leading zeroes must be included. May be required if needed for billing. Format - #####.	9	String	Conditional. See description for details.
Client Identifiers					
10	ClientMedicaidId	Unique ID provided by the State Medicaid program to the client.	64	String	

Index	Column Name	Description	Max Length	Type	Required
11	RecipientIDCustom1	Additional Client User-Defined ID. Commonly used to customize the built-in client ID within the system. If the billing is in scope, this field will identify the correct claim with the correct patient.	24	String	
12	RecipientIDCustom2	Additional Client User-Defined ID. Commonly used to store client's ID from another system. This value is used to match the client to an existing record during import.	24	String	Conditional. Required only if ClientSSN is not provided
13	CaseManager	Payer Level Case Managers are individuals who coordinate all aspects of the care of individual patients. If the case manager will be logging onto the EVV system, please provide the email address in this field.	25	String	
14	Coordinator	The staff member assigned to the Client in a specific Agency as the coordinator for an employee. The values for this field will be defined during implementation.	3	String	
15	ClientMedicalRecordNumber	The medical record number assigned to the client.	12	String	

Index	Column Name	Description	Max Length	Type	Required
16	ARNumber	Accounts Receivable number or any other number that can be used to identify the client.	10	String	
Client Demographics					
17	ClientGender	Client's Gender. Values: O=Unknown or Other, M=Male, F=Female.	1	String	
18	ClientBirthDate	Client's Date of Birth. Required for billing. Format MMDDYYYY.	8	String	
19	ClientMaritalStatus	Client's Marital Status. Values: M = Married, S = Single, W = Widowed, O = Other.	1	String	
20	ClientLanguage	Client's language. The list of acceptable values will be determined during implementation.	32	String	
21	DischargeDate	Date that client was last discharged from hospital.		Date	
22	ClientTimeZone	Client's primary time zone. Depending on the program, this value may be defaulted or automatically calculated. Please see the appendix for acceptable values.	64	String	Yes
23	ClientPriority	Allows designation of a client's priority. Generally used to designate clients whose service is critical. Values will be determined during implementation if applicable.	2	String	

Index	Column Name	Description	Max Length	Type	Required
24	Team	Team if applicable. Values will be determined during implementation if applicable.	4	String	
25	Branch	Used to identify a branch location within a given agency. Values will be determined during implementation if applicable.	2	String	
26	Borough	Primarily used for New York City agencies. Values will be determined during implementation if applicable.	1	String	
27	Area	Area code for the client.	2	String	
Client Billing and Payer Information					
29	ClientAdTypeID	User defined ID representing ID for Admission Type / payer.	6	String	
30	ClientPrimaryDiagnosisCode	The client's primary diagnosis code in ICD-10 format.	10	String	
31	BillRate	Rate for billing. Can have values like 5.043 or 1.23 and should not exceed 5 characters. Decimal point is included in the length.	6	String	
32	CaseNumber	Case number sent as part of the schedule record. Special Use.	9	String	
33	CaseSequence	Case Sequence. Special Use.	4	String	

Index	Column Name	Description	Max Length	Type	Required
34	MobileDevice	Value in this field determines if the client requires a mobile device to be supplied by the payer/program. Special use only. Expected values: Y or N.	1	String	Yes
35	Status	Status of a Client. For delete a record, set to D or leave empty for an insert or update.	1	String	
Client Primary Address – at least one address must be provided for the client if mobile devices are to be used. Additional addresses can be provided.					
36	ClientAddressLine1	Street Address Line 1 associated with this address. PO Box may not acceptable for Billing and PO Box will not function correctly for MVV.	30	String	Yes
37	ClientAddressLine2	Street Address Line 2 associated with this address.	30	String	
38	ClientCity	City associated with this address.	30	String	Yes
39	ClientState	State associated with this address. Two Character standard abbreviation.	2	String	Yes
40	ClientZip	Zip Code associated with this address. Required for Billing. 9-digit primary address zip code. If additional 4 digits are not known, provide zeros. Format #####-####.	10	String	Yes
41	ClientAddressType	Values: Home, Business, Other (Note that multiple of the same type can be provided).	12	String	

Index	Column Name	Description	Max Length	Type	Required
	Client Designee- Individual who is assigned to a Client and is granted access to Sandata EVV and have access to their specific Clients ONLY.				
42	ClientDesigneeFirstName	First Name of the Client Designee.	30	String	
43	ClientDesigneeLastName	Last Name of the Client Designee.	30	String	
44	ClientDesigneeEmail	Email address of the Client Designee.	50	String	
45	ClientDesigneeStatus	<p>Status of the Client Designee pertaining to Sandata system access. If the ClientDesigneeStatus is sent, ClientDesigneeStartDate and ClientDesigneeEndDate are not required.</p> <p>(Provide the 2-digit code including the 0) Sandata System can either populate the start and end date based on the date of receipt of the status or the source system can send the activation and termination date.</p> <p>(Please note Activation and termination dates cannot be backdated or futuredated)</p> <p>Available Values: 02 = Active, 04 = Inactive.</p>	2	String	

Index	Column Name	Description	Max Length	Type	Required
46	ClientDesigneeStartDate	The date Client Designee was assigned. Future date is not acceptable. If the ClientDesigneeStartDate is sent, ClientDesigneeStatus is not required.	10	String	
47	ClientDesigneeEndDate	The date Client Designee was terminated. Future date and Back date is not acceptable. If the ClientDesigneeEndDate is sent, ClientDesigneeStatus is not required.	10	String	
Client Contact / Emergency Contact / Responsible Party Information					
48	ContactLastName	Client Contact Last Name. Entered by provider agency.	30	String	
49	ContactFirstName	Client Contact First Name. Entered by provider agency.	30	String	
50	ContactRelationshipToClient	Emergency Contact's relationship with the Client. The list of acceptable values will be determined during implementation.	20	String	
51	ClientContactPhoneType	Client Contact's Phone Type. Values: Business, Home, Mobile, Other.	12	String	
52	ContactPhoneNumber	Client Contact Home Phone Number. Entered by provider agency. Format #####-####.	10	String	Yes
53	ContactAddressLine1	Client Contact's Street Address, Line 1.	30	String	
54	ContactAddressLine2	Client Contact's Street Address, Line 2.	30	String	

Index	Column Name	Description	Max Length	Type	Required
55	ContactCity	Client Contact's City.	30	String	
56	ContactState	Client Contact's State. Two Character standard abbreviation.	2	String	
57	ContactZip	Client Contact's Zip Code. 9-digit primary address zip code. If additional 4 digits is not known, provide zeros. Format #####-####.	10	String	
58	ContactEmail	Client Contact's email address.	64	String	

JSON Structure

```
[
  {
    "Account": "",
    "ClientID": "",
    "ClientLastName": "",
    "ClientFirstName": "",
    "ClientMiddleName": "",
    "MissingMedicaidID": "",
    "ClientEmailAddress": "",
    "ClientSuffix": "",
    "ClientSSN": "",
    "ClientMedicaidId": "",
    "RecipientIDCustom1": "",
    "RecipientIDCustom2": "",
    "CaseManager": "",
    "Coordinator": "",
    "ClientMedicalRecordNumber": "",
    "ARNumber": "",
    "ClientGender": "",
    "ClientBirthDate": "",
    "ClientMaritalStatus": "",
    "ClientLanguage": "",
    "DischargeDate": "",
    "ClientTimeZone": ""
  }
]
```



```
"ClientPriority":"","  
"Team":"","  
"Branch":"","  
"Borough":"","  
"Area":"","  
"Weekend":"","  
"ClientadTypeid":"","  
"ClientPrimaryDiagnosisCode":"","  
"BillRate":"","  
"CaseNumber":"","  
"CaseSequence":"","  
"MobileDevice":"","  
"Status":"","  
"ClientAddressLine1":"","  
"ClientAddressLine2":"","  
"ClientCity":"","  
"ClientState":"","  
"ClientZip":"","  
"ClientAddressType":"","  
"ClientDesigneeFirstName":"","  
"ClientDesigneeLastName":"","  
"ClientDesigneeEmail":"","  
"ClientDesigneeStatus":"","  
"ClientDesigneeStartDate":"","  
"ClientDesigneeEndDate":"","  
"ContactLastName":"","  
"ContactFirstName":"","  
"ContactRelationshipToClient":"","  
"ClientContactPhoneType":"","  
"ContactPhoneNumber":"","  
"ContactAddressLine1":"","  
"ContactAddressLine2":"","  
"ContactCity":"","  
"ContactState":"","  
"ContactZip":"","  
"ContactEmail":"","  
}  
]
```

3.2.1. Client Payer Information

The client payer information segment is a child/sub-segment of the client/recipient segment described above. If provided, it would be a child object within the client/recipient. There may be more than one set of client payer information for a single client/recipient. This segment is not required.

Index	Column Name	Description	Max Length	Type	Required
1	PayerID	Sandata EVV assigned ID for the payer. Payer ID is determined during the implementation process.	64	String	Yes
2	PayerProgram	If applicable, the program to which this visit belongs. Potential use and list of values to be determined during implementation.	9	String	Yes
3	ProcedureCode	This is the billable procedure code which would be mapped to the associated service. For most programs, it is the HCPCS number.	5	String	Yes
4	ClientPayerID	Unique Identifier sent by Payer.	20	String	
5	ClientEligibilityDateBegin	Client Eligibility Begin Date. This field is optional if ClientStatus is sent.		Date	
6	ClientEligibilityDateEnd	Client Eligibility End Date. This field is optional if ClientStatus is sent.		Date	
7	ClientStatus	The client's current status. Provide the 2-digit code including the 0. Available values: 02 = Active, 04 = Inactive.	2	String	

JSON Structure

```
[
  {
    "PayerID": "",
    "PayerProgram": "",
    "ProcedureCode": "",
    "ClientPayerID": "",
    "ClientEligibilityDateBegin": "",
    "ClientEligibilityDateEnd": "",
    "ClientStatus": ""
  }
]
```

3.2.2. EVV- Element – PhoneNbr

The phone number segment is a child/sub-segment of the client/recipient segment described above. If provided, it would be a child object within the client/recipient. There may be more than one phone number for a single client/recipient. This segment is not required.

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes
2	ClientID	This must be all digits. The client id is the unique identifier for the patient / client / individual. This can be used to tie the individual to an existing scheduling system OR if the provider does not have an appropriate value any number can be used. This number will be required for entry into the call-in system (telephony, MVV, etc.) system for multi-client cases and when using the FVVD.	10	String	Yes
3	ClientPhoneType	Phone Type: Fax, Home, Mobile, Work, Other	12	String	
4	ClientPhone	Client phone number. Format #####-####.	10	String	Yes

JSON Structure

```
[
  {
    "Account": "",
    "ClientID": "",
    "ClientPhoneType": "",
    "ClientPhone": ""
  }
]
```

3.2.3. EVV- Element – AddlAddress

The address segment is a child/sub-segment of the client/recipient segment described above. If provided, it would be a child object within the client/recipient. There may be more than one address for a single client/recipient. This segment is not required.

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes
2	ClientID	This must be all digits. The client id is the unique identifier for the patient / client / individual. This can be used to tie the individual to an existing scheduling system OR if the provider does not have an appropriate value any number can be used. This number will be required for entry into the call-in system (telephony, MVV, etc.) system for multi-client cases and when using the FVVD.	10	String	Yes
3	AddressType	The type of secondary address. Values: Business, Home, Other	50	String	Yes
4	ClientAddressLine1	Street Address Line 1 associated with this address. PO Box may not acceptable for Billing and PO Box will not function correctly for MVV.	30	String	Yes
5	ClientAddressLine2	Street Address Line 2 associated with this address.	30	String	
6	ClientCity	City associated with this address.	30	String	Yes
7	ClientState	State associated with this address. Two Character standard abbreviation.	2	String	Yes
8	ClientZip	Zip Code associated with this address. Required for Billing. 9-digit primary address zip code. If additional 4 digits are not known, provide zeros. Format #####-####.	10	String	Yes

JSON Structure

```
[
  {
    "Account": "",
```



```
"ClientID": "",  
"AddressType": "",  
"ClientAddressLine1": "",  
"ClientAddressLine2": "",  
"ClientCity": "",  
"ClientState": "",  
"ClientZip": ""  
}  
]
```

3.3. EVV- Element- Employee

The following defines the basic information to be maintained in the Sandata EVV system relative to Employees who are servicing clients.

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes
2	EmployeePIN	Unique identifier used by the employee when calling into the Santrax EVV system. This value must be all digits and must be unique within the agency. The system will perform optimally if this value is the same length for all employees and should be no less than 4 digits. Exact length to be provided will be determined during implementation.	9	String	Yes
3	EmployeeLastName	Employee's last name.	30	String	Yes
4	EmployeeFirstName	Employee's first name.	30	String	Yes
5	EmployeeMiddleInitial	Employee's middle initial.	1	String	
6	Department	Employee's department. The values for this field will be defined during implementation.	3	String	
7	EmployeeAPI	Employee's Alternate Provider Identifier or Medicaid ID.	25	String	
8	EmployeeType	Such as nurse or home health attendant. This is user defined varies based on the source system. The values for this field will be defined during implementation.	1	String	
9	Discipline	Category of Service. The values for this field will be defined during implementation.	17	String	

Index	Column Name	Description	Max Length	Type	Required
10	EmployeeEmailAddress	Employee's email address. This value is required if the employee is to have access to the Sandata mobile application (SMC) or to the Sandata EVV Employee Portal.	50	String	
11	EmployeeAddress1	Employee's address line 1.	30	String	
12	EmployeeAddress2	Employee's address line 2.	30	String	
13	EmployeeCity	Employee's city.	30	String	
14	EmployeeState	Employee's state.	2	String	
15	EmployeeZipCode	Employee's 9 digit zip code. Format #####-####.	10	String	
16	EmployeePhone	Employee's phone number.	10	String	
17	EmployeeAltPhone	Employee's alternate phone number.	10	String	
18	EmployeeAltPhone2	Employee's second alternate phone number.	10	String	
19	EmployeeID	Unique identifier for the employee in the source system.	10	String	
20	EmployeeIDCustom1	Customized Employee id.	64	String	
21	EmployeeIDCustom2	Customized Employee id.	64	String	
22	EmployeeSocialSecurity	Employee's Social Security Number. Format determined during implementation.	9	String	
23	PayRate	Rate for payroll. Can have values like 5.043 or 1.23 and should not exceed 5 characters. Decimal point is included in the length.	5	Decimal	
24	EmployeeHireDate	Employee's Date of Hire. If more than 1, provided latest hire date. Format: MMDDYYYY.	8	String	
25	EmployeeEndDate	Employee's HR Recorded end date. Format: MMDDYYYY.	8	String	
26	EmployeeBirthDate	Employee's date of birth. Format: MMDDYYYY.	8	String	
27	EmployeeGender	Employee's Gender. Values: O=Unknown or Other, M=Male, F=Female.	1	String	

Index	Column Name	Description	Max Length	Type	Required
28	EmployeePrimaryLocation	The Employee's primary location. The values for this field will be defined during implementation.	15	String	
29	Status	Status of an Employee. For delete a record, set to D or leave empty for an insert or update.	1	String	

JSON Structure

```
[
{
  "Account": "",
  "EmployeePIN": "",
  "EmployeeLastName": "",
  "EmployeeFirstName": "",
  "EmployeeMiddleInitial": "",
  "Department": "",
  "EmployeeAPI": "",
  "EmployeeType": "",
  "Discipline": "",
  "EmployeeEmailAddress": "",
  "EmployeeAddress1": "",
  "EmployeeAddress2": "",
  "EmployeeCity": "",
  "EmployeeState": "",
  "EmployeeZipCode": "",
  "EmployeePhone": "",
  "EmployeeAltPhone": "",
  "EmployeeAltPhone2": "",
  "EmployeeID": "",
  "EmployeeIDCustom1": "",
  "EmployeeIDCustom2": "",
  "EmployeeSocialSecurity": "",
  "PayRate": "",
  "EmployeeHireDate": "",
  "EmployeeEndDate": "",
  "EmployeeBirthDate": "",
  "EmployeeGender": "",

```



```
"EmployeePrimaryLocation":"","  
"Status":"","  
}  
]
```

3.4. EVV- Element- Schedule

The following element includes the schedule information for the client. This includes both the client and employee information. Both client and employee must already exist in the system for a schedule to be successfully uploaded or it must be part of the same transaction set.

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes
2	ClientIDQualifier	Value being sent to unique identify the client. Values: ClientID, ClientSSN; ClientOtherID, ClientCustomID. Should be the same as the value used by the Payer if a client/member feed is provided by a payer.	20	String	Yes
3	ClientID	This must be all digits. The client id is the unique identifier for the patient / client / individual. This can be used to tie the individual to an existing scheduling system OR if the provider does not have an appropriate value any unique number can be used for the client. This number will be required for entry into the call-in system (telephony, MVV, etc.) system for multi-client cases and when using the FVVD.	10	String	Yes
4	EmployeePINQualifier	Value being sent to unique identify the employee. Values: EmployeeSSN, EmployeeRegID, EmployeeCustomID.	20	String	Yes

Index	Column Name	Description	Max Length	Type	Required
5	EmployeePIN	Unique identifier used by the employee when calling into the Santrax EVV system. This value must be all digits and must be unique within the agency. The system will perform optimally if this value is the same length for all employees and should be no less than 4 digits.	9	String	Yes
6	ScheduleID	Unique Identifier for the schedule record from the source system. Used to update the schedule in subsequent transfers.	40	String	Yes
7	ScheduleStartTime	Activity / Schedule start date and time.		DateTime	Yes
8	ScheduleEndTime	Activity / Schedule end date and time.		DateTime	Yes
9	ScheduledDuration	Duration of activity / scheduled visit. This is difference between the scheduled start time and scheduled end time. Provided in minutes.		Decimal	
10	ARNumber	Accounts Receivable number or any other number that can be used to identify the client.	10	String	
11	PayRate	Rate for payroll. Can have values like 5.043 or 1.23 and should not exceed 5 characters. Decimal point is included in the length.	5	Decimal	
12	BillRate	Rate for billing. Can have values like 5.043 or 1.23 and should not exceed 6 characters. Decimal point is included in the length.	6	Decimal	
13	ScheduleFlag	Cluster case indicator. Values are 0 – non-clustered and 1 – clustered.	1	String	
14	DutyFree	Special functionality to deduct time not worked from the total. Must be part of the account implementation.	1	String	

Index	Column Name	Description	Max Length	Type	Required
15	Weekend	Week ending day date and time for the schedule provided. Time should be set to all 0s.		DateTime	
16	Discipline	Category of Service provided by the Employee. The values for this field will be defined during implementation.	17	String	
17	Service	Service description. The values for this field will be defined during implementation.	15	String	Condiitional
18	ProcedureCode	This is the billable procedure code. For most programs, it is the HCPCS code.	5	String	
19	ProcCodeQualifier	The procedure code qualifier used in the 837. Most frequent value: 'ZZ'.	2	String	
20	BillCode	The bill code associated with the schedule. Note that this may be the same as or different from the procedure code.	5	String	
21	Modifier1	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
22	Modifier2	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
23	Modifier3	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
24	Modifier4	Modifier for the HCPCS code for the 837. Up to 4 of these are allowed. Please consult specific program requirements for exact usage.	2	String	
25	Contract	Service Contract information. The values for this field will be defined during implementation.	9	String	

Index	Column Name	Description	Max Length	Type	Required
26	Branch	Branch office if applicable. The values for this field will be defined during implementation.	2	String	
27	VisitType	Used for billing. If visit type is set to 'V' it means charge by the visit. If set to some other value it means charge by hours subject to rounding rules. Implementing this feature requires special flags to be enabled for the account.	1	String	
28	LiveInCase	24 hour live-in case. Values are Y or N. Implementing this feature requires special flags to be enabled for the account.	1	String	
29	OTABHours	Special Use.	4	String	
30	OTABCode	Special Use.	2	String	
31	OTABApprover	Special Use.	3	String	
32	CaseNumber	Case number sent as part of the schedule record. Special Use Field.	9	String	
33	CaseSequence	Special Use - Case Sequence. Special Use Field.	4	String	
34	ClientTimeZone	Client's primary time zone. To be provided if time zones could vary within a given account's territory. Depending on the program, this value may be defaulted to the accounts default setting or automatically calculated. Please see the appendix for acceptable values.	64	String	
35	ClientStatus	The client's current status. Provide the 2-digit code including the 0. Available values: 02 = Active, 04 = Inactive.	2	String	

JSON Structure

```
[  
{  
  "Account": "",  
  "ClientIDQualifier": "",  
  "ClientID": "",  
  "EmployeePINQualifier": "",  
  "EmployeePIN": "",  
  "ScheduleID": "",  
  "ScheduleStartTime": "",  
  "ScheduleEndTime": "",  
  "ScheduledDuration": "",  
  "ARNumber": "",  
  "PayRate": "",  
  "BillRate": "",  
  "ScheduleFlag": "",  
  "DutyFree": "",  
  "Weekend": "",  
  "Discipline": "",  
  "Service": "",  
  "ProcedureCode": "",  
  "ProcCodeQualifier": "",  
  "BillCode": "",  
  "Modifier1": "",  
  "Modifier2": "",  
  "Modifier3": "",  
  "Modifier4": "",  
  "Contract": "",  
  "Branch": "",  
  "VisitType": "",  
  "LiveInCase": "",  
  "OTABHours": "",  
  "OTABCode": "",  
  "OTABApprover": "",  
  "CaseNumber": "",  
  "CaseSequence": "",  
  "ClientTimeZone": "",  
  "Status": ""  
}  
]
```

3.5. EVV- Element- XREF File

The Cross Reference (XREF) allows the agency to associate the clients with the employees who provide them service. The XREF is only required for programs where the relationship between clients and employees is needed for system functionality. One record is needed for each service the employee is providing to the client.

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes
2	ClientIDQualifier	Value being sent to unique identify the client. Values: ClientID, ClientSSN; ClientOtherID, ClientCustomID. Should be the same as the value used by the Payer if a client feed is provided by the payer.	20	String	
3	ClientID	This must be all digits. The client id is the unique identifier for the patient / client / individual. This can be used to tie the individual to an existing scheduling system OR if the provider does not have an appropriate value any number can be used. This number will be required for entry into the call-in system (telephony, MVV, etc.) system for multi-client cases and when using the FVVD.	10	String	Yes
4	EmployeeQualifier	Value being sent to unique identify the employee. Values: EmployeeSSN, EmployeeRegID, EmployeeCustomID.	20	String	
5	EmployeeID	Unique identifier for the employee in the source system.	10	String	
6	EmployeePIN	Unique identifier used by the employee when calling into the Santrax EVV system. This value must be all digits and must be unique within the agency. The system will perform optimally if this value is the same length for all employees and should be no less than 4 digits.	9	String	Yes

Index	Column Name	Description	Max Length	Type	Required
7	ClientStatus	The client's current status. Provide the 2-digit code including the 0. Available values: 02 = Active, 04 = Inactive. This field is optional if ClientEligibilityDateBegin or ClientEligibilityDateEnd is sent.	2	String	
8	Service	Service description.	12	String	Yes
9	XRefStartDate	Date when the relationship began. If this value is not provided it will be assumed to be the date the record is received.		DateTime	Yes
10	XRefEndDate	Date when the relationship ended. If this value is not provided, it will be assumed to be ongoing.		DateTime	

JSON Structure

```
[
  {
    "Account": "",
    "ClientIDQualifier": "",
    "ClientID ": "",
    "EmployeeQualifier ": "",
    "EmployeeID": "",
    "EmployeePIN ": "",
    "ClientStatus": "",
    "Service ": "",
    "XRefStartDate": "",
    "XRefEndDate": ""
  }
]
```

4 Completed Visit Download

The completed visits API is provided to allow 3rd party vendors to download completed visit information. Applying this data to the source scheduling system will be the responsibility of the vendor and/or system owners. To ensure that all activity for a given calendar day has completed, current day visits will not be provided by this interface until after midnight.

4.1 Basic Description

- An API call is made requesting completed visits for a date range.
- The API returns a session ID which can be used to query a status endpoint.
- The status endpoint will indicate when processing is complete and the visits are ready to be “picked up”.
- An endpoint is used to retrieve the raw visit data. This endpoint supports pagination, as the amount of data may be large.
- Service responds with JSON feed of data matching date range.

4.2. Element – tdsTelephonyActivity (Completed Visits)

See below for a description of fields included in the completed visit download. This service returns data in JSON format, and additional elements may be added over time. Many of the fields will only be returned based on special setups determined during implementation. The tasks element is a child element, and there may be multiple records per completed visit.

Index	Column Name	Description	Max Length	Type	Required
1	Account	Sandata account number. This number is generated by Santrax as the Provider Account Number. It should be padded with leading zeros to 4 positions (e.g. 0998). It may be up to 10 positions.	10	String	Yes
2	ScheduleID	Unique Identifier for the schedule record from the source system.	40	String	
3	ClientID	The client id is the unique identifier for the patient / client / individual.	10	String	
4	ClientMedicaidId	Unique ID provided by the State Medicaid program to the client.	64	String	
5	EmployeePIN	Unique identifier used by the employee when calling into the Santrax EVV system.	9	String	
6	ActivityDate	Actual start date is the date in UTC format. Time set to 0.		DateTime	
7	ActivityEndDate	Actual end date is the date in UTC format. Time set to 0.		DateTime	
8	ScheduleStartTime	Activity / Schedule start date and time.		DateTime	
9	ScheduleEndTime	Activity / Schedule end date and time.		DateTime	
10	ScheduledDuration	Scheduled duration in minutes. Format HH:MM	5	String	
11	StartTime	Actual visit start time. Format HH:MM	5	String	
12	EndTime	Actual visit end time. Format HH:MM	5	String	

Index	Column Name	Description	Max Length	Type	Required
13	PayMinutes	Pay hours in minutes based on the value entered in Sandata EVV Visit Maintenance.		Decimal	
14	Units	Calculated units based on rules for the specified payer.	999	String	
15	StartType	The type of information used to define the start time. Values: IVR, FVV, MVV, MANUAL, NONSTX, OTHER	10	String	
16	EndType	The type of information used to define the start time. Values: IVR, FVV, MVV, MANUAL, NONSTX, OTHER	10	String	
17	StartPhoneNumber	If an IVR call, the phone number from which the phone call was received.	10	String	
18	EndPhoneNumber	If an IVR call, the phone number from which the phone call was received.	10	String	
19	Miles	Visit travel miles if Mileage Tracking is used.	9999.9 999	Decimal	
20	ErrandMiles	Visit errand miles if this feature is enabled.	9999.9 999	Decimal	
21	TravelTime	Visit travel time in minutes if this feature is enabled.	9999.9 999	Decimal	
22	MiscTime	Visit miscellaneous time in minutes if this feature is enabled.		Decimal	
23	MoneySpent	Money spent if this feature is enabled		Decimal	
24	PayerName	The full name of the Payer associated with the visit.	64	String	
25	Contract	Service Contract information.	9	String	
26	Discipline	Discipline assigned to the employee.	17	String	
27	Service	Service description.	12	String	
28	CaseNumber	Case number sent as part of the schedule record.	9	String	
29	LiveInFlag	Live in flag. Allowed values are "Y"/"N".	1	String	

Index	Column Name	Description	Max Length	Type	Required
30	VisitType	Used for billing. If visit type is set to 'V' it means charge by visit. If set to some other value it means charge by hours. Implementing this feature requires special flags to be enabled for the account.	1	String	
31	VisitId	Visit unique key. This value is unique to Sandata's EVV system.	64	String	Yes
32	Department	Employee's department.	3	String	
33	EmployeeId	Unique employee identifier in the source system.	10	String	
34	ApprovalUserName	User Name of approving user	30	String	
35	ApprovalDateTime	Approval Date/Time		DateTime	
36	AdjustedIn	Adjusted Time In		DateTime	
37	AdjustedOut	Adjusted Time Out		DateTime	
38	ESVInScore	EVV In Score (Percentage Probability)	3	String	
39	ESVOutScore	EVV Out Score (Percentage Probability)	3	String	
40	CSVInScore	Client EVV In Score (Percentage Probability)	3	String	
41	CSVOutScore	Client EVV Out Score (Percentage Probability)	3	String	
42	EVVCallInPhoneType	C = Cell, L=Landline, blank = other	1	String	
43	EVVCallOutPhoneType	C = Cell, L=Landline, blank = other	1	String	
44	Memo	The free form memo field from Sandata EVV.	1024	String	
45	CarFare	Car Fare if feature is enabled.	4	String	
46	BillRate	Rate for billing. Can have values like 5.043 or 1.23 and should not exceed 6 characters. Decimal point is included in the length.	6	Decimal	

Index	Column Name	Description	Max Length	Type	Required
47	ProcCodeQualifier	The procedure code qualifier used in the 837. Most frequent value: 'ZZ'	2	String	
48	ProcedureCode	This is the billable procedure code. It can be the HPCS number.	5	String	
49	PayerProgram	The program to which this recipient belongs.	9	String	
50	PayRate	Rate for payroll. Can have values like 5.043 or 1.23 and should not exceed 5 characters. Decimal point is included in the length.	5	String	
51	ARNumber	Accounts Receivable number or any other number that can be used to identify the client.	10	String	
52	Modifier1	First modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	3	String	
53	Modifier2	Second modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	3	String	
54	Modifier3	Third modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	3	String	
55	Modifier4	Fourth modifier if applicable. Authorizations may include modifier information to be used for service provision and billing.	3	String	

JSON Structure

```
[
  {
    "Account": "",
    "ScheduleID": "",
    "ClientID": ""
  }
]
```



"ClientMedicaidId": "",
"EmployeePIN": "",
"ActivityDate": "",

4.3. Element – Task

Index	Column Name	Description	Max Length	Type	Required
1	VisitId	Visit unique key.	64	String	Yes
2	ScheduleID	Unique Identifier for the schedule record from the source system. Used to update the schedule in subsequent transfers.	40	String	
3	TaskID	Task id, this task id must map to the Task IDs used for the agency in the Sandata system.	4	String	Yes
4	Reading	Task reading.	4	String	
5	Unit	Task unit.	8	String	

JSON Structure

```
[
  {
    "VisitId": "",
    "ScheduleID": "",
    "TaskID": "",
    "Reading": "",
    "Unit": ""
  }
]
```

5 Appendix

5.1. Assumptions

There is no other external interface other than what is mentioned in this document.

5.2. Other Important Points to Note

In the event of any required changes to the API apart from the functionality covered in this document or the functionality already present in the code, it is recommended that a formal change control process be followed so as to ensure a set process for planning and scheduling, implementation of the same, verification and validation and roll-out for user testing.

5.3. Legend

LEGEND	
Field Name	Other Possible Naming
Client	Individual Member Patient
Employee	Caregiver Consumer Directed Employees Employee
Provider	Agency TPA
Payer	Admission Contract Insurance Company Managed Care Organization (MCO) State
Contract	Program Program Code
HCPCS	Bill Code

LEGEND	
Field Name	Other Possible Naming
	Procedure Code
	Service

5.4. Acronyms and Definitions

Term	Definition
AKA	Also Known As.
API	Application Programming Interface.
AR	Accounts Receivable.
GMT	Greenwich Mean Time is the mean solar time at the Royal Observatory in Greenwich, London. GMT was formerly used as the international time standard, now superseded in that function by Coordinated Universal Time.
HTTP	Hypertext Transfer Protocol.
JSON	JavaScript Object Notation.
OTAB	Over Time / Absence – custom functionality for some NY clients.
PIN	Personal Identity Number. AKA Santrax ID. Used for unique identification when dialing into the telephony system.
REST	Representational State Transfer.
SRS	System Requirement Specifications.
SSN	Social Security Number.
TBD	To Be Determined.
Tbl	Table.
UTC	Coordinated Universal Time, abbreviated as UTC, is the primary time standard by which the world regulates clocks and time.
XML	Extensible Markup Language.
XREF	This provides a cross reference between the Client receiving service and the Employee providing service. This is required for Consumer Directed programs. This may be required for non-scheduled programs.

5.5. Time Zone List

This is the common list of time zone we used. If your area is not covered by this list please contact Sandata support to get additional time zone value that we accept. Please note that the value sent must exactly match the value and case shown.

Text Value	Daylight Saving
US/Alaska	Active
US/Aleutian	Active
US/Arizona	Inactive
US/Central	Active
US/East-Indiana	Active
US/Eastern	Active
US/Hawaii	Inactive
US/Indiana-Starke	Active
US/Michigan	Active
US/Mountain	Active
US/Pacific	Active
US/Samoa	Inactive
America/Indiana/Indianapolis	Active
America/Indiana/Knox	Active
America/Indiana/Marengo	Active
America/Indiana/Petersburg	Active
America/Indiana/Vevay	Active
America/Indiana/Vincennes	Active
Canada/Atlantic	Active
Canada/Central	Active
Canada/East-Saskatchewan	Inactive
Canada/Eastern	Active
Canada/Mountain	Active
Canada/Newfoundland	Active
Canada/Pacific	Active
Canada/Saskatchewan	Active
Canada/Yukon	Active
America/Puerto_Rico	Inactive



**Requirement Specification for
Member
Part of the Open EVV Series of Interfaces**

Version 7.4

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Revision History

Version	Description	Date Updated
7.1	Removed ClientID from XREF segment as it is unnecessary	4/2/2019
7.2	Update required fields in XREF segment. Remove account from XREF segment as it is unnecessary.	4/12/2019
7.3	Removed references to consuming "Full" files – leaving incremental as only option.	5/20/2019
7.4	Updated ClientWorkerXREF JSON Sample	7/29/2019

1 Overview

This specification is intended to document the requirements for using the Sandata Real Time Interface (part of the Open EVV Series of interfaces) for receiving client / member information from 3rd party systems including Payers and MCOs.

A companion guide will be created for each Payer / Program implemented to specify agreed upon frequencies, additional required fields and those fields which will be omitted or left to the sender's discretion.

1.1 Intended Audience

The intended audience of this document is:

- Project Management and Technical teams at Sandata.
- Project Management and Technical teams at designated Payers/MCOs/Vendors who will be implementing this interface.

1.2 Data Type Format Details

Data Type	Description	Example
DateTime	The date and time is represented as a string with the following format: YYYY-MM-DDTHH:MM:SSZ All times will be provided in UTC. If time is not material, it will be provided as is expected.	2016-12-20T16:10:28Z
Date (only Date)	The data is represented as a string with the following format: YYYY-MM-DD Date only will be sent in UTC format.	2016-12-20

Data Type	Description	Example
Timezone	<p>All time for tracking visits will be in UTC.</p> <p>All time zone values will be derived from the Internet Assigned Numbers Authority (IANA) Time Zone Database, which contains data that represents the history of local time for locations around the globe. It is updated periodically to reflect changes made by political bodies to time zone boundaries, UTC offsets, and daylight-saving rules.</p> <p>The Time zone name expected in each transaction is the actual Time zone where the event took place. i.e. US/Eastern</p>	<p>A complete list of time zones can be found at: https://www.iana.org/time-zones</p> <p>See Appendix for list of Timezones</p>
String	A string is a row of zero or more characters which can include letters, numbers, or other types of characters as a unit, not an array of single characters. (e.g. plain text).	"This is a string" (See Wikipedia String)
Integer	An integer is a numeric value without a decimal. Integers are whole numbers and can be positive or negative.	52110 (positive) -87721 (negative) (See Wikipedia Integer)
Decimal	A floating point number is referred to as a decimal . Can be positive or negative.	8221.231 (positive) -71.214 (negative) (See Wikipedia Decimal)
Boolean	A logic predicate indicator that can be either true or false.	True False See Wikipedia Boolean

2 Member Interface

This specification is intended for a sender to provide member eligibility information including basic member demographic data. This import may also be referred to as Client, Member, Recipient, Individual or Patient. Member information will be made available to the appropriate provider(s) based on the information within the file or based on authorization(s) received.

3 Data Exchange

Sandata supports data exchange via two mechanisms: a real-time, RESTful API and flat-file processing (DSV).

While Sandata supports both mechanisms, the default is a RESTful API with JSON to greatly reduce complexity of customized implementations.

3.1 Real-Time Transactions

Members may be sent via a real-time RESTful API for processing. Sandata will take each request as it is received, process the member and return a response

Sandata will provide real-time RESTful API endpoints for the customers in a UAT environment for user acceptance testing as well as production. This document contains the technical details for utilizing this API. The API is designed to be a service-oriented architecture (SOA). All transactions will utilize the JSON format which is the JAVA equivalent to XML. JSON, like XML is self-describing. A WADL (equivalent to the WSDL) will be provided using the API documentation provided by Swagger.

Payers must be able to send and consume member data and responses in a **JSON** format. **JSON** allows multiple 'child' entities for a parent (See JSON Request Example)

NOTE: For testing purposes, generic, de-identified files will be provided, or data for testing will be identified by the payer based on available or constructed data. Testing these files will be part of the overall system testing process. Mutually agreed upon dates will be determined for joint testing and included in the overall project plan.

3.1.1 Representational State Transfer (REST) Interface

Sandata has developed a RESTful interface that allows for a client to send data as real time transactions with appropriate responses rather than in batches of text files for periodic processing

In a Sandata RESTful web service, requests made to a resource's URL will elicit a response with a payload formatted in JSON. The response can confirm that some alteration has been made to the stored resource, and the response will provide any errors that may have occurred. When HTTP is used for processing members, you will only need to execute a POST HTTPS request method.

3.1.2 HTTPS (TLS 1.2)

Sandata's RESTful interfaces support TLS v1.2 (a successor to SSL) which provides a layer of security and reliability by exchanging PHI information as encrypted data packets between Sandata and other payer systems.

3.1.3 Members Real-Time Processing

The members real-time processing interfaces refers to Sandata's RESTful HTTPS endpoints for receiving members. Sandata will provide the Payer with URL endpoints for UAT and Production. Sandata will also provide the Payer with a username and password that will use Basic Authentication to validate the request. The Payer will receive a 401 HTTP error code if the username and/or password does not match.

3.1.4 JSON Examples

Request Payload Example

Below, find a sample payload (body) that could be sent to the Sandata real-time RESTful API. See the table in section 3.2.16 for a detailed description of each field.

```
{
  "ClientID": "55267687",
  "ClientFirstName": "John",
  "ClientMiddleInitial": "D",
  "ClientLastName": "Doe",
  "ClientSSN": "123456789",
  "ClientMedicalRecordNumber": null,
  "ClientCustomID": "123456789",
  "ClientOtherID": null,
  "ClientSuffix": null,
  "Action": "A",
  "ProviderQualifier": "SandataID",
  "ProviderID": "123456",
  "CaseManager": null,
  "ClientCaseManagerEmail": null,
  "ClientCoordinatorEmail": null,
  "ClientLanguage": null,
```

```
"ClientGender": "M",
"ClientBirthDate": "1990 - 01 - 02",
"ClientMaritalStatus": "M",
"ClientEmail": "test@sandata.com",
"ClientPriority": null,
"ClientTimeZone": "US/Eastern",
"ClientDesigneeFirstName": null,
"ClientDesigneeLastName": null,
"ClientDesigneeEmail": null,
"ClientDesigneeStatus": "04",
"ClientDesigneeStartDate": null,
"ClientDesigneeEndDate": null,
"ClientEligibility": [{
  "PayerID": "1890017",
  "PayerProgram": "program",
  "PayerService": "T1001",
  "PayerRegion": "NA",
  "ClientEligibilityDateBegin": "2017-12-12",
  "ClientEligibilityDateEnd": "2018-12-12",
  "ClientStartOfCareDate": "2017-12-12",
  "ClientEndOfCareDate": "2018-12-12",
  "ClientPrimaryDiagnosisCode": "12345 ",
  "ClientSecondaryDiagnosisCode ": null,
  "ClientStatus ": "02",
  "ClientStatusDate": "2018-01-01",
```

```
"Modifier1": "A1",  
"Modifier2": "A2",  
"Modifier3": "A3",  
"Modifier4": "A4"  
},  
"ClientContact": [{  
  "ClientContactType": "Other",  
  "ClientContactFirstName": "Jane",  
  "ClientContactLastName": "Done",  
  "ClientContactPhoneType": null,  
  "ClientContactPhone": null,  
  "ClientContactEmailAddress": "jane@sandata.com",  
  "ClientContactAddressLine1": "998 Little Place Drive",  
  "ClientContactAddressLine2": null,  
  "ClientContactCity": "Manhattan",  
  "ClientContactState": "NY",  
  "ClientContactZip": "10017"  
}],  
"ClientAddress": [{  
  "ClientAddressType": "Home",  
  "ClientAddressLine1": "777 East 7th Street",  
  "ClientAddressLine2": null,  
  "ClientCounty": "HA",  
  "ClientState": "NY",  
  "ClientZip": "11235"
```

```
    }},  
    "ClientPhone": [{  
        "ClientPhoneType": "Home",  
        "ClientPhone": "7185551212"  
    }, {  
        "ClientPhoneType": "Business",  
        "ClientPhone": "7185551214"  
    }],  
    "ClientWorkerXref": [{  
        "VendorCode": "12V",  
        "EmployeePIN": "999999999",  
        "Service": "T1001",  
        "XrefStartDate": "2018-01-01",  
        "XrefEndDate": "2019-12-31"  
    }]  
}]
```

Response Payload Examples

NOTE: The response example shows the payload (body) that will be a response from the Sandata real-time RESTful API. The response is contained as part of the “data” entity which is part of the standard Sandata HttpResponseMessage entity. This response may be augmented over time to contain additional information. Consumers of the API should be able to handle responses that contain additional data elements.

id – This field is a RESTful service transaction globally unique ID (GUID) which is generated by Sandata. Please log this GUID as it will help Sandata Tier3 support and troubleshoot any issues.

status – This status has two possible values:

- **SUCCESS:** Indicates that the request was received and processed successfully by the Sandata backend.
- **FAILED:** Indicates that there was some error detected by the Sandata backend. E.g. 500 Server Error

NOTE: Both of these states are returned with an HTTP 200 response code.

messageSummary – This field This field will contain either null for status=SUCCESS or “Parameter Error” for status=FAILED. This would typically occur for a “POST” without BODY.

messageDetail – This field will contain either null for status=SUCCESS or a detailed service error message for status=FAILED. E.g. “Database Unavailable”

failedCount – the number of items in the request that resulted in some error

succeededCount – the number of items in the request that ended in a successful result

data – This entity will contain details of the JSON response. Examples can be provided upon request.

Successful Response Example

```
{
  "id": "d25cbb0c-2043-4a71-ae7c-8e917b71096c",
  "status": "SUCCESS",
  "messageSummary": null,
  "messageDetail": null,
  "failedCount": 0,
  "succeededCount": 2,
  "data": [{
    "ProviderID": "12345",
    "ClientID": "98765",
    "ClientCustomID": "23456",
    "ClientOtherID": "78901",
    "status": "SUCCESS",
```

```
        "messageSummary": null,  
        "messageDetail": null  
    }  
}
```

Failed Response Example – This example is caused by batch-level failure including file/transmission corruption or incorrect JSON.

```
{  
  "id": "228cb2fa-50da-453e-b9a7-7f35da47c492",  
  "status": "FAILED",  
  "messageSummary": "Request Failed",  
  "messageDetail": "Your request has been received and logged successfully. However, an internal error was triggered. The Sandata technical team has been notified. Please retry your request. If you continue to experience this error, contact Sandata and provide the GUID [228cb2fa-50da-453e-b9a7-7f35da47c492] for the failed transaction."  
}
```

3.2 Delimiter Separated Values (DSV)

A delimited file is a text file used to store data, in which each line represents a single record (i.e. Provider) and each line has fields separated by the agreed upon delimiter. Compared to a fixed-length formatted files that uses spaces or other filler characters to force the length of a given field to be fixed in width/size for every value, a delimited file has the advantage of allowing field values of any length. Additionally, when accompanied by a “header row” (the first row in a file) that provides for the names of each column of data, columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: The very first line within the DSV is the header record. (See [Header Record](#))

3.2.1 Supported Delimiters



Acceptable delimiters supported by this specification include:

- Pipe or Vertical Bar (|); ASCII 124 or UTF-8 007C
- Comma (,); ASCII 44 or UTF-8 002C

3.2.2 End of Line Characters

Each record within the Member DSV will be located on a new line, which is composed of two characters, carriage return (\r) and line feed (\n).

3.2.3 Double Quotes

- Each field will be enclosed with double quotes ("").
- However, NULL data does NOT use double quotes

Example: "<PAYER>"|"HHS"|"North America"|"MedicaidID"|"123456789"

3.2.4 Character Encoding

Each field within the DSV file must conform to the ASCII/UTF-8 character encoding standard.

3.2.5 Header Record

The header record provides for the names of each column of data found in the DSV. Columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: Rules around columns data points will be discussed with Sandata during implementation. Removing columns from the DSV that are critical to the import process will cause an error and the entire file will be rejected.

- The header record is the first record at the top of the delimited file.
- The header record is required.
- The field names in the header record, also known as column names, must conform to the names provided by Sandata. (See Member DSV Field Names)
- Customers, at their discretion, may exclude non-required fields.

Example: "ClientID"|"ClientFirstName"|"ClientMiddleInitial" | ... | "XRefEndDate"

3.2.6 File Naming Convention

The file naming convention is important to help with validation, entity mapping, dates and times to make sure files are not overwritten and are loaded in the order they are received, extensions to drive the parsing and decryption logic, etc.

NOTE: Use underscores (_) to separate each variable section of the file name.

[Prefix]_[EntityName]_[YYYYMMDD]_[HHMMSS.SSS]_[Incremental].[FileExtensions]

[Prefix] is a customer specific string agreed upon with Sandata during implementation. The file prefix must be included with all files provided by the customer (“<SENDER>_EVV”)

[EntityName] is the name of the domain specific name of the parent entity that reflects the data fields within the DSV file (“Member”)

[YYYYMMDD] is the four-digit year, two-digit month and two-digit day that the file was created

[HHMMSS.SSS] is the two-digit hours, two-digit minutes, two-digit seconds, and three-digit milliseconds values (Military Time)

- [HHMMSS.SSS] file value can be optional if we are consuming a daily file

[Incremental]

[Incremental] signifies that the file contains only new and/or updated data from the source system

[Incremental] file value can be optional if we are consuming a daily file

[FileExtensions]

[.csv] signifies a comma separated file

[.dsv] signifies a delimiter separated file (specific delimiters are agreed upon with the customer during implementation)

[.zip/.gzip/.gz/.tar/.7z] signifies the compression used

[.pgp] signifies that the file has been encrypted with PGP [See [File Encryption](#)]

Example Format

<SENDER>_EVV_Member_20180817.dsv.gpg

3.2.7 File Encryption

File encryption is encouraged to add an additional layer of security for sensitive PHI data. Files are processed over Secure FTP (SFTP) which provides its own layer of encryption as well.

- Sandata supports file encryption using OpenPGP ([RFC4880](#)).
- Sandata will provide customers with a public key upon implementation.
- PGP encrypted files will append the “gpg” file extension.

3.2.8 Cryptographic Hash (Optional)

A cryptographic hash function can provide strong assurance about data integrity, whether changes to the data are accidental (e.g., due to transmission errors) or maliciously introduced. Any modification to the data will be detected through a mismatching hash value. Furthermore, given some hash value, it is infeasible to find some input data (other than the one given) that will yield the same hash value.

- The customer can calculate the hash value for each DSV file and provide that value in the control file.
- When calculating the hash, the customer can use any of the following hash functions:
 - [SHA-1](#)
 - [SHA-2 \(SHA-256/512\)](#)

- SHA-3 (Most Secure) (Recommended)
- NOTE: MDS is no longer supported as it has known security vulnerabilities
 - This hash value of a file is optional. Sandata will validate the hash if one is provided in the control file under the “Hash” column. (See Control File)

3.2.9 Control Files

Control files are used as a quality control mechanism to ensure file integrity following transmission.

- The customer will provide Sandata with an outbound control file.
- Sandata will provide the customer with an inbound control file.
- The control file will be named as follows
 - [Prefix]_[Direction]_ControlFile_[YYYYMMDD]_[HHMMSS.SSS].[FileExtensions]
 - [Prefix] is a customer specific string agreed upon with Sandata during implementation
 - [Direction]
 - Outbound – Customer to Sandata
 - Inbound – Sandata to Customer
 - [YYYYMMDD] is the four-digit year, two-digit month and two-digit day that the file was created
 - [HHMMSS.SSS] is the two-digit hours, two-digit minutes, two-digit seconds, and three-digit milliseconds values (Military Time)
 - [HHMMSS.SSS] file value can be optional if we are consuming a daily file
 - [FileExtensions]
 - [.csv] signifies a comma separated file
 - [.dsv] signifies a delimiter separated file (specific delimiters are agreed upon with the customer during implementation)
 - [.zip/.gzip/.gz/.tar/.7z] signifies the compression used
 - The control file will be a DSV file using the same delimiter agreed upon with the customer during implementation
 - The outbound control file will have the following column names for the header row (assuming pipe (|) delimiter value). Quotation marks are optional in control file.
 - “FileName”|”RecordCount”|”StartDateTime”|”EndDateTime”|”Hash”
 - FileName: (See File Naming Convention)
 - RecordCount: Total number of records found in the DSV (not including the header row)
 - StartDateTime: The start date and military time when the records in the DSV were queried from. (See Date Time Format) [Optional]
 - EndDateTime: The end date and military time when the records in the DSV were queried from. (See Date Time Format) [Optional]
 - Hash: Cryptographic hash value generated by the given file. (See Cryptographic Hash) [Optional]

- The inbound control file will have the following column names for the header row (assuming pipe (|) delimiter value)
 - "FileName"|"RecordCount"|"StartDateTime"|"EndDateTime"|"Hash"|"Success Count"|"Failed Count"
 - FileName: (See **File Naming Convention**)
 - RecordCount: Total number of records found in the DSV (not including the header row)
 - StartDateime: The start date and military time when the records in the DSV were queried from. (See **Date Time Format**)
 - EndDateime: The end date and military time when the records in the DSV were queried from. (See **Date Time Format**)
 - Hash: Cryptographic hash value generated by the given file (See **Cryptographic Hash**)
 - Success Count: Total records that were processed successfully
 - Failed Count: Total records that were not processed successfully

- Example outbound control file:
 - <sender>_EVV_Outbound_ControlFile_20180817.dsv.gpg
"FileName"|"RecordCount"
"SENDER_EVV_Provider_20181002.dsv"|"2012"
"SENDER_EVV_Member_20181002.dsv"|"12"
"SENDER_EVV_PriorAuth_20181002.dsv"|"22"
"SENDER_EVV_Outbound_ControlFile_20181002.dsv"|"5"
"2018-07-31T20:00:00Z"|"2018-10-30T16:00:00Z"

The last row of the control file is a date and time range of the extracts, for informational purpose only, and would only be used by SENDER for possible future use in regeneration efforts. Not expected to be validated by Sandata.

- Example inbound control file:
<SENDER>_EVV_Inbound_ControlFile_20180817.dsv.gpg

"FileName"|"RecordCount"|"StartDateTime"|"EndDateTime"|"Hash"|"Success Count"|"Failed Count"

"<SENDER>_EVV_Member_Errors_20180817.dsv.gpg"|"2012"|"2018-09-18T00:00:00Z"|"2018-09-18T23:59:59Z"|"cjpqr032alimp883jasddejkm"|"2012"|"0"

3.2.10 Error File

ERROR HANDLING PROCESS

Sandata will notify Sender via email to alert of any errors found in processing each file that was imported.



Sandata will not send emails or error files if there are no errors detected for the delivery.

The email would be addressed to EVV_Interface_SENDER@SENDER_DOMAIN.com

The email Subject would include "SENDER-Sandata errors: {date of files (probably same for all)}"

The email Body would include (at a minimum) lines for "file name", "number of errors found"

Sandata will provide the customer with an error file for each file that was imported.

Only those records that caused error would be sent in the error file.

The error file will add an "Error Description" column to the end of record.

"Error Description": This is a string value describing the error and/or errors that were encountered when trying to process the record

The naming of the error file is the same as the naming pattern of the source file (See File Naming Convention) with an "Error" label appended to the [Entity]

Example

SENDER_EVV_Member_Error_20180817.dsv.gpg

3.2.11 File Transport

Files will be consumed and delivered via Secure FTP (SFTP). The target SFTP server will be hosted by Sender. The host IP, username, password and *optional* public cryptographic key have been discussed and tested during implementation.

3.2.12 File Location

DSV files will be located on the secure SFTP server, in folder created specifically for Sandata,

"/Prod/From_SENDER".

3.2.13 File Frequency

Sandata will accept files on a daily schedule. The initial run for the Member file will contain all members that could have authorizations. The ongoing daily job will run and deliver files at about 2AM, Monday through Friday.

3.2.14 Member File Logic

- For an authorization to be applied to a provider, the member information must be received at least once. If there is no matching member, the authorization will be held until the member is received.
- Sandata is expecting to receive only those members who are active in the program and if authorizations are in use, the member must have an active authorization. Once a member is transmitted to Sandata, the member must only be resent if there are changes to be applied to the prior information.

3.2.15 Member DSV Field Names

- The fields listed below are the fields available for transmission to Sandata EVV.
- Required columns must have data, otherwise the system will reject the record.
- The file will be rejected if a header column name is unknown to the Sandata system.
- If a field is not required, it does not need to be included.

3.2.16 Parent-Child Relationships

- The client data represented in the DSV file naturally has some parent-child (one-to-many) relationships
- These can be referenced in the flat file through the use of the “SegmentName” field
- Valid segment names are:
 - ClientEligibility
 - ClientContact
 - ClientAddress
 - ClientPhone
 - ClientWorkerXref
- If the DSV row represents basic client data, it is expected the “SegmentName” will be blank and no data for any of the above segments will be provided
- If the DSV row represents any of the above segments, it is expected that the “SegmentName” is populated and the only data in the row is the basic client data and the specified segment
- If segments beyond basic client information are provided, there are specific fields that must be included for each. See the table below for a list of these required fields per segment. Note the segment descriptions below mention some scenarios where the segments themselves would be required.
- Since all data will be transmitted in a single file, columns for each row must be consistent and match the header. For instance, even if a segment only includes a handful of columns, empty values must be included in all other columns for the row. Each row should exactly match the number of columns provided in the header record.

Index	Column Name	Description	Max Length	Type	Required
Basic client information – biographical and demographic information. This information should be consistent for every row for a client that may exist in the file (due to multiple segments).					
1	ClientID	Sandata Assigned ClientID. This value can be automatically assigned by Sandata EVV. Note that this value may be used as the client identifier for telephony and MVV when Client ID entry is applicable. This value must uniquely identify the client in the Sandata system. This attribute is only required when the customer is supplying this value to Sandata.	10	String	
2	ClientFirstName	Client's First Name.	30	String	Yes
3	ClientMiddleInitial	Client's Middle Initial. May be required if needed for billing.	1	String	
4	ClientLastName	Client's Last Name.	30	String	Yes
5	ClientSSN	Client's Social Security Number. If the Field is left empty, ClientOtherID must be populated. Not required if ClientOtherID sent. Numbers only, no dashes and leading zeroes must be included. May be required if needed for billing. Format - #####.	9	String	
6	ClientMedicalRecordNum	Client's medical record number if it is applicable.	12	String	
7	ClientCustomID	This is mapped to the member's Medicaid_ID	24	String	Yes
8	ClientOtherID	Additional Client User-Defined ID	24	String	Yes
9	ClientSuffix	Client Suffix (eg. Sr, Jr, III, IV, V (no special characters)).	4	String	
10	Action	Values: A, C, D. Is this a new record (Add - A), a change to an existing record (Change - C) or a Deletion (D). If (D) is provided the record will be considered inactive as of midnight the date prior to the receipt date. Note that a client cannot be deleted within the Sandata system.	1	String	Yes
11	ProviderQualifier	Identifier being sent as the unique identifier for the provider. Values: SandataID, NPI, API, MedicaidID, TaxID, Taxonomy, Legacy, Other. Required if client is being directly associated with a provider versus being associated through the authorization or a cross reference file.	20	String	

Index	Column Name	Description	Max Length	Type	Required
12	ProviderID	ID for the provider. ID type identified by ProviderQualifier. Required if client is being directly associated with a provider versus being associated through the authorization or a cross reference file.	64	String	Conditional
13	CaseManager	Case Managers are individuals who coordinate all aspects of the care of individual patients.	25	String	
14	ClientCaseManagerEmail	Email address of the Payer case manager. Used for setup for alerts to be received by a case manager. An email group can also be supplied if this alert is intended for more than one recipient.	64	String	
15	ClientCoordinatorEmail	Email address of client's agency coordinator.	50	String	
16	ClientLanguage	Client's language. The list of acceptable values will be determined during implementation.	32	String	
17	ClientGender	Client's Gender. Values: O=Unknown or Other, M=Male, F=Female.	1	String	
18	ClientMaritalStatus	Client's Marital Status. Values: M = Married, S = Single, W = Widowed, O = Other.	1	String	
19	ClientBirthDate	Client's Date of Birth. Required for billing. Format YYYY-MM-DD (zero filled). e.g. 2018-06-01	10	Date	
20	ClientEmail	Client's email address. Required for client portal access.	50	String	
21	ClientPriority	Allows designation of a client's priority. Generally used to designate clients whose service is critical. Values will be determined during implementation if applicable.	2	String	
22	ClientTimeZone	Client's primary time zone. Depending on the program, this value may be defaulted or automatically calculated. Please see the appendix for acceptable values.	64	String	
23	ClientDesigneeFirstName	First Name of the Client Designee.	30	String	
24	ClientDesigneeLastName	Last Name of the Client Designee.	30	String	
25	ClientDesigneeEmail	Email address of the Client Designee.	50	String	

Index	Column Name	Description	Max Length	Type	Required
26	ClientDesigneeStatus	<p>Status of the Client Designee pertaining to Sandata system access. If the ClientDesigneeStatus is sent, ClientDesigneeStartDate and ClientDesigneeEndDate are not required.</p> <p>(Provide the 2-digit code including the 0)</p> <p>Sandata System can either populate the start or end date based on the date of receipt of the status or the source system can send the activation and termination date.</p> <p>(Please note Activation and termination dates cannot be backdated or future dated)</p> <p>Available Values: 02 = Active, 04 = Inactive.</p>	2	String	
27	ClientDesigneeStartDate	<p>The date Client Designee was assigned. Future date is not acceptable. If the ClientDesigneeStartDate is sent, ClientDesigneeStatus is not required.</p> <p>Format YYYY-MM-DD</p>	10	Date	
28	ClientDesigneeEndDate	<p>The date Client Designee was terminated. Future date and Back date is not acceptable. If the ClientDesigneeEndDate is sent, ClientDesigneeStatus is not required.</p> <p>Format YYYY-MM-DD</p>	10	Date	
29	SegmentName	<p>If this is a child segment, the name of the segment. Valid values are found above. NOTE: Field should be omitted when using the REST API.</p>	30	String	
<p>Segment – ClientEligibility : Payer – Program – Service for the associated client. A given client can be associated with more than one payer and within each payer one or more programs and services. PayerProgram and PayerService fields are required only if the Sender is not providing Sandata with the Authorization file.</p>					
30	PayerID	<p>Sandata EVV assigned ID for the payer. Required if the file is being supplied by a payer. Determined during the implementation process. At least 1 payer is required for each client.</p>	64	String	Yes
31	PayerProgram	<p>If applicable, the program to which this client belongs. List of values to be determined during implementation.</p>	9	String	Conditional

Index	Column Name	Description	Max Length	Type	Required
32	PayerService	If applicable, the service to which this client belongs. List of values to be determined during implementation. Generally provided as a HCPCS code. Field may be larger is a different value is selected.	5	String	Conditional
33	PayerRegion	If applicable, the region in which this client is being provided services. List of values to be determined during implementation.	2	String	
34	ClientEligibilityDateBegin	Client Eligibility Begin Date. Format YYYY-MM-DD.	10	Date	Yes
35	ClientEligibilityDateEnd	Client Eligibility End Date. Format YYYY-MM-DD.	10	Date	
36	ClientStartOfCareDate	Start of Care Date. Format YYYY-MM-DD.	10	Date	
37	ClientEndOfCareDate	End of Care Date. Format YYYY-MM-DD.	10	Date	
38	ClientPrimaryDiagnosisCode	The client's primary diagnosis code in ICD-10 format.	10	String	
39	ClientSecondaryDiagnosisCode	The client's secondary diagnosis code in ICD-10 format.	10	String	
40	ClientStatus	The client's current status. Provide the 2-digit code including the 0. Available values: 01 = Pending, 02 = Active, 03 = Hold, 04 = Inactive.	2	String	Yes
41	ClientStatusDate	The date of the last status change. If not provided, current date will be assumed. Entered by Payer. Format YYYY-MM-DD.	10	Date	
42	Modifier 1	First modifier if applicable. May include modifier information to be used for service provision and billing.	2	String	
43	Modifier 2	Second modifier if applicable. May include modifier information to be used for service provision and billing.	2	String	
44	Modifier 3	Third modifier if applicable. May include modifier information to be used for service provision and billing.	2	String	
45	Modifier 4	Fourth modifier if applicable. May include modifier information to be used for service provision and billing.	2	String	

Segment – ClientContact : Client Authorized Representative / Emergency Contact

Index	Column Name	Description	Max Length	Type	Required
46	ClientContactType	Client Contact Type. Values: Family, Other.	12	String	
47	ClientContactFirstName	Client Contact First Name. Entered by provider agency.	30	String	
48	ClientContactLastName	Client Contact Last Name. Entered by provider agency.	30	String	
49	ClientContactPhoneType	Client Contact's Phone Type. Values: Business, Home, Mobile and Other.	12	String	
50	ClientContactPhone	Client Contact Home Phone Number. Entered by provider agency. Format #####.	10	String	
51	ClientContactEmailAddress	Client Contact's email address. Required if this client will be authorized to login to the client portal as the client's authorized representative and approve timesheets on behalf of the client.	64	String	
52	ClientContactAddressLine1	Client Contact's Street Address, Line 1.	30	String	
53	ClientContactAddressLine2	Client Contact's Street Address, Line 2.	30	String	
54	ClientContactCity	Client Contact's City.	30	String	
55	ClientContactState	Client Contact's State. Two Character standard abbreviation.	2	String	
56	ClientContactZip	Client Contact's Zip Code. 9-digit primary address zip code. If additional 4 digits are not known, or not provided, Sandata will provide zeros (trailing). Format #####. If ZipCode is sent as 5 digits (assuming leading zero is present for appropriate zipcodes (e.g. Augusta, ME 04330)), then trailing zeros will be added.	9	String	
Segment – ClientAddress : – All addresses where service could be provided should be supplied. If mobile devices are in use, at least 1 address should be supplied. Note that P.O. Boxes cannot be used for Mobile verification purposes. Sandata offers the option for the Payer to provide one address (considered primary) and the provider to provide optional alternate addresses.					
57	ClientAddressType	Values: Home, Business, Other. Note that multiple of the same type can be provided.	12	String	Yes
58	ClientAddressLine1	Street Address Line 1 associated with this address. PO Box may not acceptable for Billing and PO Box will not function correctly for MVV.	30	String	Yes
59	ClientAddressLine2	Street Address Line 2 associated with this address.	30	String	
60	ClientCounty	County associated with this address.	25	String	

Index	Column Name	Description	Max Length	Type	Required
61	ClientCity	City associated with this address.	30	String	Yes
62	ClientState	State associated with this address. Two Character standard abbreviation.	2	String	Yes
63	ClientZip	Zip Code associated with this address. Required for Billing. 9-digit primary address zip code. If additional 4 digits are not known, or not provided, Sandata will provide zeros (trailing). Format #####. If ZipCode is sent as 5 digits (assuming leading zero is present for appropriate zipcodes (e.g. Augusta, ME 04330)), then trailing zeros will be added.	9	String	Yes
Segment – ClientPhone : – All phone numbers where service could be provided should be supplied.					
64	ClientPhoneType	Values: Home, Mobile, Business and Other. Note that multiple of the same type can be provided. <u>If this value is not provided, Sandata will automatically assign the value of "Other".</u>	12	String	
65	ClientPhone	Client phone number. Format #####.	10	String	Yes
Segment – ClientWorkerXref : Cross Reference (Client/Employee) -This element needs to be utilized for clients provided services under a consumer directed program or for a program where authorizations cannot be provided where the employees and their association to the client(s) are known by the Payer. Additional elements may be added for a particular program and can be found in the program companion guide.					
66	VendorCode	Created at the time of account creation. This number is generated by Sandata EVV as the Provider Account Number. Client may send this attribute but it will not be validated or stored in Sandata's DB. This field will not be included in the DW Export as well.	10	String	
67	EmployeePIN	Unique identifier used by the employee when calling into the Santrax EVV system. The system will perform optimally if this value is the same length for all employees and should be no less than 4 digits.	9	String	Yes

Index	Column Name	Description	Max Length	Type	Required
68	Service	Service description.	12	String	Yes
69	XRefStartDate	Date when the relationship began. Format YYYY-MM-DD. If this value is not provided it will be assumed to be the date the record is received.	10	Date	
70	XRefEndDate	Date when the relationship ended. Format YYYY-MM-DD. If this value is not provided, it will be assumed to be ongoing.	10	Date	

4 Appendixes

4.1 Assumptions

Service Elements and specific implementation values to be determined and documented during the Sandata Business Rules Process.

4.2 Other Important Points to Note

This interface is intended to be used in conjunction with the other Sandata Standard Open EVV interfaces. Exact interfaces and values to be used will be determined during implementation and appropriate companion guides will be developed with Payer / Program specific rules and values.

In the event of any required changes to the functionality covered in this document or the functionality already present in the code, it is recommended that a formal change control process be followed so as to ensure a set process for planning and scheduling, implementation of the same, verification and validation and roll-out for user testing.

4.3 Legend

Legend	
Field Name	Other Possible Naming
Client	Individual Member Patient Recipient
Employee	Caregiver Consumer Directed Worker Home Health Aide Staff Worker
Provider	Agency Third Party Admin (TPA)

Legend	
Field Name	Other Possible Naming
Payer	Admission Contract Insurance Company Managed Care Organization (MCO) State
Contract	Program Program Code
HCPCS	Bill Code Procedure Code Service

4.4 Acronyms and Definitions

Term	Definition
AKA	Also Known As
API	Application Programming Interface
GMT	Greenwich Mean Time
HTTP	Hyper Text Transfer Protocol
TBD	To Be Determined
UTC	Universal Time Coordinated

4.5 Time Zone List

This is the common list of time zone we used. If your area is not covered by this list please contact Sandata support to get additional time zone value that we accept. Please note that the value sent must exactly match the value and case shown.

Text Value	Daylight Saving
US/Alaska	Active

Text Value	Daylight Saving
US/Aleutian	Active
US/Arizona	Inactive
US/Central	Active
US/East-Indiana	Active
US/Eastern	Active
US/Hawaii	Inactive
US/Indiana-Starke	Active
US/Michigan	Active
US/Mountain	Active
US/Pacific	Active
US/Samoa	Inactive
America/Indiana/Indianapolis	Active
America/Indiana/Knox	Active
America/Indiana/Marengo	Active
America/Indiana/Petersburg	Active
America/Indiana/Vevay	Active
America/Indiana/Vincennes	Active
America/Puerto_Rico	Inactive

5 References

5.1 DSV

- [Wikipedia - Delimiter-separated values](#)

5.2 End of Line (EOL)

- [Wikipedia - Newline](#)

5.3 Error Detection

- [Wikipedia - SHA-1 Hash Function](#)
- [Wikipedia - Error Detection and Correction](#)

5.4 UTF-8

- [Wikipedia - UTF-8](#)

5.5 OpenPGP

- [Wikipedia - Pretty Good Privacy](#)
- [OpenPGP Website](#)
- [RFC4880](#)



**Requirement Specification for
Provider
Part of the Open EVV Series of Interfaces**

Version 7.2

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Revision History

Version	Description	Date Updated
7.1	Added suspension and termination dates. Removed end date.	3/26/2019
7.2	Removed Medicaid ID and SSN Fields. Clarified use of suspension and termination dates.	4/10/2019



1 Overview

This specification is intended to document the requirements for using the Sandata Interface (part of the Open EVV Series of interfaces) for receiving Provider information from 3rd party systems including Payers and MCOs. The 3rd party system will generate Pipe Delimited format files and place them on an SFTP. A full file including all providers is expected daily. Sandata will receive ONLY those providers who will be participating in a Sandata program. Sandata will identify existing providers whose information has changed and new providers.

A companion guide will be created for each Payer / Program implemented to specify agreed upon frequencies, additional required fields and those fields which will be omitted and left to the provider's discretion.

1.1 Intended Audience

The intended audiences of this document are:

- Project Management and Technical teams at Sandata.
- Project Management and Technical teams at a designated Payers/MCOs/Vendors who will be implementing this interface.

1.2 Data Type Format Details

Data Type	Description	Example
DateTime	The date and time is represented as a string with the following format: YYYY-MM-DDTHH:MM:SSZ All times will be provided in UTC. If time is not material, it will be provided as is expected.	2016-12-20T16:10:28Z
Date (only Date)	The data is represented as a string with the following format: YYYY-MM-DD Date only will be sent in UTC format.	2016-12-20

Data Type	Description	Example
Timezone	<p>All time for tracking visits will be in UTC.</p> <p>All time zone values will be derived from the Internet Assigned Numbers Authority (IANA) Time Zone Database, which contains data that represents the history of local time for locations around the globe. It is updated periodically to reflect changes made by political bodies to time zone boundaries, UTC offsets, and daylight-saving rules. The Time zone name expected in each transaction is the actual Time zone where the event took place. i.e. US/Eastern</p>	<p>A complete list of time zones can be found at:</p> <p>https://www.iana.org/time-zones</p> <p>See Appendix for list of Timezones</p>
String	<p>A string is a row of zero or more characters which can include letters, numbers, or other types of characters as a unit, not an array of single characters. (e.g. plain text).</p>	<p>“This is a string” (See Wikipedia String)</p>
Integer	<p>An integer is a numeric value without a decimal. Integers are whole numbers and can be positive or negative.</p>	<p>52110 (positive) -87721 (negative) (See Wikipedia Integer)</p>
Decimal	<p>A floating point number is referred to as a decimal. Can be positive or negative.</p>	<p>8221.231 (positive) -71.214 (negative) (See Wikipedia Decimal)</p>
Boolean	<p>A logic predicate indicator that can be either true or false.</p>	<p>True False See Wikipedia Boolean</p>

1.3 Rejected File Handling

Sandata will process the entire file. If the file does not pass validations, it will be rejected in its entirety. It is expected that a designated representative will be identified who will be contacted if any issues are found and an escalation process will be developed. It is expected that a corrected file will be resubmitted on the same day with the same file name. Given that the file is a full extract, a day could be skipped and the following days processed with negligible impact.



1.4 Rejected Record Handling

If any of the required fields are not included in a given record, within the incoming Provider file, the record will be rejected. When a record gets rejected, a record log of the instance will be created by Sandata and saved to a specified (SFTP or otherwise agreed upon) location. Once the rejected record is saved, an internal notification will be sent via E-Mail stating only that a rejected record was saved so that no PHI is revealed within the E-Mail.



2 Provider Interface

This specification is intended for a sender to deliver provider information including basic provider demographic data. The Provider file will be a FULL extract of those providers that are authorized.

3 Data Exchange

Sandata supports data exchange via two mechanisms: a real-time, RESTful API and flat-file processing (DSV).

While Sandata supports both mechanisms, the default is a RESTful API with JSON to greatly reduce complexity of customized implementations.

3.1 Real-Time Transactions

Providers may be sent via a real-time RESTful API for processing. Sandata will take each request as it is received, process the provider and return a response.

Sandata will provide real-time RESTful API endpoints for the customers in a UAT environment for user acceptance testing as well as production. This document contains the technical details for utilizing this API. The API is designed to be a service-oriented architecture (SOA). All transactions will utilize the JSON format which is the JAVA equivalent to XML. JSON, like XML is self-describing. A WADL (equivalent to the WSDL) will be provided using the API documentation provided by Swagger.

Users of the services must be able to send and consume provider data and responses in a **JSON** format. **JSON** allows multiple 'child' entities for a parent (See JSON Request Example).

NOTE: For testing purposes, generic, de-identified files will be provided, or data for testing will be identified by the customer, based on available or constructed data. Testing these files will be part of the overall system testing process. Mutually agreed upon dates will be determined for joint testing and included in the overall project plan.



3.1.1 Representational State Transfer (REST) Interface

Sandata has developed a RESTful interface that allows for a client to send data as real time transactions with appropriate responses rather than in batches of text files for periodic processing.

In a Sandata RESTful web service, requests made to a resource's URL will elicit a response with a payload formatted in JSON. The response can confirm that some alteration has been made to the stored resource, and the response will provide any errors that may have occurred. When HTTP is used for processing providers, you will only need to execute a POST HTTPS request method.

3.1.2 HTTPS (TLS 1.2)

Sandata's RESTful interfaces support TLS v1.2 (a successor to SSL) which provides a layer of security and reliability by exchanging PHI information as encrypted data packets between Sandata and other payer systems.

3.1.3 Providers Real-Time Processing

The providers real-time processing interfaces refers to Sandata's RESTful HTTPS endpoints for receiving providers. Sandata will provide the customer with URL endpoints for UAT and Production. Sandata will also provide the customer with a username and password that will use Basic Authentication to validate the request. The customer will receive a 401 HTTP error code if the username and/or password does not match.

3.1.4 JSON Examples

Request Payload Example

Below, find a sample payload (body) that could be sent to the Sandata real-time RESTful API. See the table in section 3.2.14 for a detailed description of each field. Note the order of objects in a JSON object is not absolute and should not be relied upon.

```
[
  {
    "ProviderID": "PROV12345",
    "ProviderQualifier": "Other",
    "ProviderName": "Sample Provider Name",
    "PayerID": "PAYER1234",
    "ProviderDoingBusinessAs": "Sample Provider Name, Inc.",
```

```
"AddressLine1": "PO BOX 1234",
"AddressLine2": "",
"AddressCity": "New York",
"AddressState": "NY",
"AddressZip": "12345",
"County": "New York",
"AgencyPhone": "9999999999",
"AgencyEmail": "example@provider.com",
"PrimaryContactLastName": "Doe",
"PrimaryContactFirstName": "John",
"ProviderFax": "9999999999",
"ProviderNPI": "123456789",
"ProviderAPI": "",
"ProviderMedicaidID": "",
"SSN": "",
"TaxID": "",
"ProviderTaxonomy": "",
"ProviderRequireAuth": "0",
"ProviderDateBegin": "2018-01-01",
"TerminationDate": "",
"SuspensionDate": "",
}
]
```

Response Payload Example



NOTE: The response example shows the payload (body) that will be a response from the Sandata real-time RESTful API. The response is contained as part of the "data" entity which is part of the standard Sandata HttpResponseMessage entity. This response may be augmented over time to contain additional information. Consumers of the API should be able to handle responses that contain additional data elements.

id – This field is a RESTful service transaction globally unique ID (GUID) which is generated by Sandata. Please log this GUID as it will help Sandata Tier3 support and troubleshoot any issues.

status – This status has two possible values:

- **SUCCESS:** Indicates that the request was received and processed successfully by the Sandata backend.
- **FAILED:** Indicates that there was some error detected by the Sandata backend. E.g. 500 Server Error

NOTE: Both of these states are returned with an HTTP 200 response code.

messageSummary – This field This field will contain either null for status=SUCCESS or "Parameter Error" for status=FAILED. This would typically occur for a "POST" without BODY.

messageDetail – This field will contain either null for status=SUCCESS or a detailed service error message for status=FAILED. E.g. "Database Unavailable"

failedCount – the number of items in the request that resulted in some error

succeededCount – the number of items in the request that ended in a successful result

data – This entity will contain details of the JSON response, including information about each provider that was sent.

Successful Response Example

```
{
  "id": "d25cbb0c-2043-4a71-ae7c-8e917b71096c",
  "status": "SUCCESS",
  "messageSummary": null,
  "messageDetail": null,
  "failedCount": 0,
  "succeededCount": 2,
  "data": [{
```

```
"ProviderID": "12345",  
"status": "SUCCESS",  
"messageSummary": null,  
"messageDetail": null  
  }  
}
```

Failed Response Example – This example is caused by batch-level failure including file/transmission corruption or incorrect JSON.

```
{  
  "id": "228cb2fa-50da-453e-b9a7-7f35da47c492",  
  "status": "FAILED",  
  "messageSummary": "Request Failed",  
  "messageDetail": "Your request has been received and logged successfully. However, an internal error was triggered. The Sandata technical team has been notified. Please retry your request. If you continue to experience this error, contact Sandata and provide the GUID [228cb2fa-50da-453e-b9a7-7f35da47c492] for the failed transaction."  
}
```

3.2 Delimiter Separated Values (DSV)

Formats that use DSV to store two-dimensional arrays of data by separating the values in each row with specific delimiter characters. Most database and spreadsheet programs are able to read or save data in a delimited format. Due to their wide support, DSV files can be used in data exchange among many applications.

A delimited text file is a text file used to store data, in which each line represents a single record (i.e. Provider) and each line has fields separated by the agreed upon delimiter. Compared to a fixed-length formatted files that uses spaces or other filler characters to force the length of a given field to be fixed in width/size for every value, a delimited file has the advantage of allowing field values of any length. Additionally, when accompanied by a “header row” (the first row in a file) that provides for the names of each column of data, columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: The very first line within the DSV is the header record. (See [Header Record](#))

3.2.1 Supported Delimiters

Acceptable delimiters supported by this specification include:

- Pipe or Vertical Bar (|); ASCII 124 or UTF-8 007C
- Comma (,); ASCII 44 or UTF-8 002C

3.2.2 End of Line Characters

- Each record within the Provider DSV will be located on a new line, which is composed of two characters, carriage return (\r) and line feed (\n).

3.2.3 Double Quotes

- Each field must be enclosed with double quotes (“”).

Example: “123456789” | “MedicaidID” | “Visiting Nurses” | “SENDER”

3.2.4 Character Encoding

- Each field within the DSV *must* conform to the ASCII/UTF-8 character encoding standard.

3.2.5 Header Record

The header record provides for the names of each column of data found in the DSV. Columns of data can arrive in any order and columns may be added or removed without having to re-write rules for data transformation.

NOTE: Rules around columns data points will be discussed with Sandata during implementation. Removing columns from the DSV that are critical to the import process will cause an error and the entire file will be rejected.

- The header record is the first record at the top of the DSV file.
- The header record is *required*.
- The field names in the header record, also known as column names, *must* conform to the names provided by Sandata. (See Provider DSV Field Names)
- Customers, at their discretion, may exclude *non-required* fields.

Example: "ProviderID"|"ProviderQualifier"|"ProviderName"|"PayerID" | ... | "LocationPhone"

3.2.6 File Naming Convention

The file naming convention was agreed upon during implementation, and is important help with validation, entity mapping, dates and times to make sure files are not overwritten and loaded in the order they are received, extensions to drive the parsing and decryption logic, etc.

NOTE: Use underscores (_) to separate each variable section of the file name.

- [Prefix]_[EntityName]_[YYYYMMDD]_[HHMMSS.SSS]_[Full/Incremental].[FileExtensions]
 - [Prefix] is a customer specific string agreed upon with Sandata during implementation. The file prefix must be included with all files provided by the customer ("SENDER_EVV")
 - [EntityName] is the name of the domain specific name of the parent entity that reflects the data fields within the DSV file ("Provider")
 - [YYYYMMDD] is the four-digit year, two-digit month and two-digit day that the file was created
 - [HHMMSS.SSS] is the two-digit hours, two-digit minutes, two-digit seconds, and three-digit milliseconds values (Military Time)
 - [HHMMSS.SSS] file value can be optional if we are consuming a daily file
 - [Full/Incremental]
 - [Full] signifies that that file contains all data from the source system
 - [Incremental] signifies that the file contains only new and/or updated data from the source system

- [Full/Incremental] file value can be optional if we are consuming a daily file
- [FileExtensions]
 - [.csv] signifies a comma separated file
 - [.dsv] signifies a delimiter separated file (specific delimiters are agreed upon with the customer during implementation)
 - [.zip/.gzip/.gz/.tar/.7z] signifies the compression used
 - [.pgp] signifies that the file has been encrypted with PGP [See File Encryption]
- Example format

SENDER_EVV_Provider_20180817.dsv.gpg

3.2.7 File Encryption

File encryption is encouraged to add an additional layer of security for sensitive PHI data. Files are processed over Secure FTP (SFTP) which provides its own layer of encryption as well.

- Sandata supports file encryption using OpenPGP ([RFC4880](#)).
- Sandata will provide customers with a public key upon implementation.
- PGP encrypted files will append the “pgp” file extension.

3.2.8 Cryptographic Hash (Optional)

A cryptographic hash function can provide strong assurance about data integrity, whether changes of the data are accidental (e.g., due to transmission errors) or maliciously introduced. Any modification to the data will be detected through a mismatching hash value. Furthermore, given some hash value, it is infeasible to find some input data (other than the one given) that will yield the same hash value.

- The customer can calculate the hash value for each DSV file and provide that value in the control file.
- When calculating the hash, the customer can use any of the following hash functions:
 - [SHA-1](#)
 - [SHA-2 \(SHA-256/512\)](#)
 - [SHA-3](#) (Most Secure) (Recommended)
- NOTE: [MD5](#) is supported but discouraged as it has known [security vulnerabilities](#)
 - This hash value of a file is optional. Sandata will validate the hash if one is provided in the control file under the “Hash” column. (See [Control File](#))

3.2.9 Control File

Control files are used as a quality control mechanism to ensure file integrity following transmission.

- The customer will provide Sandata with an outbound control file.
- Sandata will provide the customer with an inbound control file.
- The control file will be named as follows
 - [Prefix]_[Direction]_ControlFile_[YYYYMMDD]_[HHMMSS.SSS].[FileExtensions]
 - [Prefix] is a customer specific string agreed upon with Sandata during implementation
 - [Direction]
 - Outbound – Customer to Sandata
 - Inbound – Sandata to Customer
 - [YYYYMMDD] is the four-digit year, two-digit month and two-digit day that the file was created
 - [HHMMSS.SSS] is the two-digit hours, two-digit minutes, two-digit seconds, and three-digit milliseconds values (Military Time)
 - [HHMMSS.SSS] file value can be optional if we are consuming a daily file
 - [FileExtensions]
 - [.csv] signifies a comma separated file
 - [.dsv] signifies a delimiter separated file (specific delimiters are agreed upon with the customer during implementation)
 - [.zip/.gzip/.gz/.tar/.7z] signifies the compression used
- The control file will be a DSV file using the same delimiter agreed upon with the customer during implementation
- The outbound control file will have the following column names for the header row (assuming pipe (|) delimiter value) . Quotation marks are optional in control file.
 - "FileName"|"RecordCount"|"StartDateTime"|"EndDateTime"|"Hash"
 - FileName: (See File Naming Convention)
 - RecordCount: Total number of records found in the DSV (not including the header row)
 - StartDateTIme: The start date and military time when the records in the DSV were queried from. (See Date Time Format) [Optional]
 - EndDateTIme: The end date and military time when the records in the DSV were queried from. (See Date Time Format) [Optional]
 - Hash: Cryptographic hash value generated by the given file. (See Cryptographic Hash) [Optional]
- The inbound control file will have the following column names for the header row (assuming pipe (|) delimiter value)
 - "FileName"|"RecordCount"|"StartDateTime"|"EndDateTime"|"Hash"|"Success Count"|"Failed Count"
 - FileName: (See File Naming Convention)
 - RecordCount: Total number of records found in the DSV (not including the header row)
 - StartDateTIme: The start date and military time when the records in the DSV were queried from. (See Date Time Format)

- EndDateTime: The end date and military time when the records in the DSV were queried from. (See [Date Time Format](#))
 - Hash: Cryptographic hash value generated by the given file. (See [Cryptographic Hash](#))
 - Success Count: Total records that were processed successfully
 - Failed Count: Total records that were not processed successfully
- Example PROVIDER outbound control file:
 - PROVIDER_EVV_Outbound_ControlFile_20181002.dsv.gpg

"FileName"|"RecordCount"

"PROVIDER_EVV_Provider_20181002.dsv"|"2012"

"PROVIDER_EVV_Member_20181002.dsv"|"12"

"PROVIDER_EVV_PriorAuth_20181002.dsv"|"22"

"PROVIDER_EVV_Outbound_ControlFile_20181002.dsv"|"5"

"1/1/2010 3:19:01 PM" - "10/2/2018 3:47:43 PM"

The last row of the control file is a date and time range of the extracts, for informational purpose only, and would only be used for possible future use in regeneration efforts. Not expected to be validated by Sandata.

- Example inbound control file:
 - SENDER_EVV_Inbound_ControlFile_20180817.dsv.gpg

"FileName"|"RecordCount"|"StartDateTime"|"EndDateTime"|"Hash"|"Success Count"|"Failed Count"
 "SENDER_EVV_Provider_Errors_20180817.dsv.gpg"|"2012"|"2018-09-18T00:00:00Z"|"2018-09-18T23:59:59Z"|"cjpqr032alimp883jasddejkm"|"2012"|"0"

3.2.10 Error File

ERROR HANDLING PROCESS

- Sandata will notify Sender via email to alert of any errors found in processing each file that was imported.
- Sandata will not send emails or error files if there are no errors detected for the delivery.
- The email would be addressed to EVV_Interface_SENDER@xyz.com
- The email Subject would include "SENDER-Sandata errors: {date of files (probably same for all)}"
- The email Body would include (at a minimum) lines for "file name", "number of errors found"
- Sandata will provide the customer with an error file for each file that was imported.
- Only those records that caused error would be sent in the error file.
- The error file will add an "Error Description" column to the end of record.
 - "Error Description": This is a string value describing the error and/or errors that were encountered when trying to process the record
- The naming of the error file is the same as the naming pattern of the source file (See [File Naming Convention](#)) with an "Error" label appended to the [Entity]



- Example
 - SENDER_EVV_Provider_Error_20180817.dsv.gpg

3.2.11 File Transport

Files will be consumed and delivered via Secure FTP (SFTP). The target SFTP server will be hosted by SENDER. The host IP, username, password and optional public cryptographic key have been discussed and tested during implementation.

3.2.12 File Location

DSV files will be located on the secure SFTP, in folder created specifically for Sandata, “/Prod/From_SENDER”.

3.2.13 File Frequency

Sandata will accept files on a daily schedule. The ongoing daily job will run and deliver files at about 2AM, Monday through Friday.

3.2.14 Provider DSV Field Names

- The fields listed below are the fields available for transmission to Sandata EVV.
- Required columns must have data, otherwise the system will reject the record.
- The file will be rejected if a header column name is unknown to the Sandata system.
- If a field is not required, it does not need to be included.

Index	Column Name	Description	Max Length	Type	Notes	Required
1	ProviderID	ID for the provider. ID type identified by ProviderQualifier. Required if client is being directly associated with a provider versus being associated through the authorization or a cross reference file.	64	String	Used to uniquely identify the agency. Exact value to be identified for the program(s) being supported by this file. Determined during the implementation process.	Yes

Index	Column Name	Description	Max Length	Type	Notes	Required
2	ProviderQualifier	Identifier being sent as the unique identifier for the provider. Values: SandataID, NPI, API, MedicaidID, TaxID, Taxonomy, Legacy, Other. Required if client is being directly associated with a provider versus being associated through the authorization or a cross reference file.	20	String	Determined during the implementation process. Used to define the type of Agency Identifier being provided. These identifiers are specified individually below as optional.	Yes
3	ProviderName	The provider name from the application.	30	String	This is the provider name that will be shown throughout the Sandata system. Changes to this value will update an existing provider.	Yes
4	PayerID	Sandata EVV assigned ID for the payer. Required if the file is being supplied by a payer. PayerID is determined during the implementation process.	64	String	Determined during the implementation process.	Yes

Index	Column Name	Description	Max Length	Type	Notes	Required
5	ProviderDoingBusinessAs	Doing Business As name of the Provider/Agency.	50	String	If the agency has a different name, this value can be provided. Changes to this value will update an existing provider.	
6	AddressLine1	Mailing address street 1. This is the street address for a provider.	50	String	Address values should represent the primary address used for provider communications. Changes to this value will update an existing provider.	Yes
7	AddressLine2	Mailing addresses street 2. This is the mailing address for a provider.	50	String	Changes to this value will update an existing provider.	
8	AddressCity	Mailing address city. This is the city where a provider would receive business mail.	30	String	Changes to this value will update an existing provider.	Yes
9	AddressState	Mailing address state. This is the state where a provider would receive business mail.	2	String	Changes to this value will update an existing provider.	Yes

Index	Column Name	Description	Max Length	Type	Notes	Required
10	AddressZip	<p>Mailing address zip code. This is the full nine digits of the zip code for a business mailing zip code. If the +4 cannot be provided, please send '0000'. If additional 4 digits are not known, or not provided, Sandata will provide zeros (trailing).</p> <p>If ZipCode is sent as 5 digits (assuming leading zero is present for appropriate zipcodes (e.g. Augusta, ME 04330)), then trailing zeros will be added.</p>	9	String	Changes to this value will update an existing provider.	Yes
11	County	County in which the provider is located.	30	String	Changes to this value will update an existing provider.	
12	AgencyPhone	Phone for the primary address. Full 10 digits, no dashes.	10	String	<p>Primary contact phone number for the provider</p> <p>Changes to this value will update an existing provider.</p>	Yes

Index	Column Name	Description	Max Length	Type	Notes	Required
13	AgencyEmail	E-Mail address.	64	String	<p>Agency email is used to create the initial seed user for the account for those using standard application security.</p> <p>Changes to this value will not update existing providers. Agency can create additional user as-needed.</p>	Yes
14	PrimaryContactLastName	Last name for the primary contact.	30	String	<p>Last name of the individual to contact at the agency. Sandata will use this information for outreach and as the initial primary account holder for customer care.</p> <p>Changes to this value will update an existing provider.</p>	Yes

Index	Column Name	Description	Max Length	Type	Notes	Required
15	PrimaryContactFirstName	First name for the primary contact. If the first name is not available, this will be filled with the last name.	30	String	First name of the individual to contact at the agency. Sandata will use this information for outreach and as the initial primary account holder for customer care. Changes to this value will update an existing provider.	Yes
16	ProviderFax	Provider 10 digit fax number if applicable. Format #####-####.	10	String	Changes to this value will update an existing provider.	
17	ProviderNPI	Provider NPI Number.	10	String	Changes to this value will update an existing provider unless otherwise decided during implementation.	
18	ProviderAPI	Provider API Number.	30	String	Changes to this value will update an existing provider unless otherwise decided during implementation.	

Index	Column Name	Description	Max Length	Type	Notes	Required
19	TaxID	This is the tax identification number assigned to a provider by the Internal Revenue Service. This is the current Tax ID. Digits only. Must include leading zeroes.	9	String	Changes to this value will update an existing provider unless otherwise decided during implementation.	
20	ProviderTaxonomy	Provider Taxonomy Number. Provide Digits Only.	9	String	Changes to this value will update an existing provider unless otherwise decided during implementation.	
21	ProviderRequireAuth	Is an authorization required for billing? Default = 0 (False). Values 0, 1.	1	String		
22	ProviderDateBegin	Date provider began contract. Format YYYY-MM-DD.	10	Date		

Index	Column Name	Description	Max Length	Type	Notes	Required
23	SuspensionDate	Date when account should be suspended. No new activity will be allowed. Format YYYY-MM-DD.	10	Date	Must be on or before the TerminationDate, if one is provided. If the suspension date received is in the past or current, suspend all phone lines and disconnect mobile functionality. If the suspension date is removed post the actual date, the suspension date will be removed from the account and an email will be sent to Sandata's internal configuration team to reactivate the account.	

Index	Column Name	Description	Max Length	Type	Notes	Required
24	TerminationDate	Date when account should be terminated. Users will lose all access to the account. Format YYYY-MM-DD.	10	Date	If the termination date is in the past, suspend all user access for Sandata EVV. If the termination date is removed post the suspension date but prior to the termination date, the termination date will be removed from the account and it will no longer be subject to termination. If the termination date is removed after the account is terminated, the termination date will be removed from the account.	

4 Appendixes

4.1 Assumptions

N/A

4.2 Other Important Points to Note



In the event of any required changes to the functionality covered in this document or the functionality already present in the code, it is recommended that a formal change control process be followed so as to ensure a set process for planning and scheduling, implementation of the same, verification and validation and roll-out for user testing.

4.3 Legend

Legend	
Field Name	Other Possible Naming
Client	Individual Member Patient Recipient
Employee	Caregiver Consumer Directed Worker Home Health Aide Staff Worker
Provider	Agency Third Party Admin (TPA)
Payer	Admission Contract Insurance Company Managed Care Organization (MCO) State
Contract	Program Program Code
HCPCS	Bill Code Procedure Code Service

4.4 Acronyms and Definitions

Term	Definition
TBD	To Be Determined
API	Application Programming Interface
HTTP	Hypertext Transfer Protocol
SRS	System Requirement Specifications
UTC	Universal Time Coordinated
AKA	Also Known As
GMT	Greenwich Mean Time

4.5 Time Zone List

Text Value	Daylight Saving
US/Alaska	Active
US/Aleutian	Active
US/Arizona	Inactive
US/Central	Active
US/East-Indiana	Active
US/Eastern	Active
US/Hawaii	Inactive
US/Indiana-Starke	Active
US/Michigan	Active
US/Mountain	Active
US/Pacific	Active
US/Samoa	Inactive
America/Indiana/Indianapolis	Active
America/Indiana/Knox	Active
America/Indiana/Marengo	Active
America/Indiana/Petersburg	Active
America/Indiana/Vevay	Active
America/Indiana/Vincennes	Active
Canada/Atlantic	Active
Canada/Central	Active
Canada/East-Saskatchewan	Inactive

Text Value	Daylight Saving
Canada/Eastern	Active
Canada/Mountain	Active
Canada/Newfoundland	Active
Canada/Pacific	Active
Canada/Saskatchewan	Active
Canada/Yukon	Active

5 References

5.1 DSV

- [Wikipedia - Delimiter-separated values](#)

5.2 End of Line (EOL)

- [Wikipedia - Newline](#)

5.3 Error Detection

- [Wikipedia - SHA-1 Hash Function](#)
- [Wikipedia - Error Detection and Correction](#)

5.4 UTF-8

- [Wikipedia - UTF-8](#)

5.5 OpenPGP

- [Wikipedia - Pretty Good Privacy](#)
- [OpenPGP Website](#)
- [RFC4880](#)



Sandata Technologies, LLC.

Disaster Recovery Plan

Version Q1.2019

26 Harbor Park Drive
Port Washington, NY 11050

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Quick Reference Guide

The following are quick reference tasks that need to be handled at the onset of an incident, disaster, outage, etc. Information listed on this page is used within the first 15 minutes of responding to any type of disruption. Detailed information about recovery teams and procedures are in the following plan and appendix.

- Notify Disaster Recovery Team, Security, or the overall Crisis Management Team
- Recovery Teams are to meet at the following locations:
 - Primary Assembly Site: Sandata Technologies, [REDACTED], Port Washington, NY, 11050
 - Secondary Assembly Site: Sandata Technologies, [REDACTED], Hicksville, NY
- Identify Recovery Team Members (from each segment, plan, etc.) and contact using the contact information in this document
- Identify critical technology components that need to be recovered at an alternate site
- Document any information received from the Crisis Management Team. Provide this information to the technology management recovery teams.
- Contact any hot site vendors (if applicable) and inform them on the possibility of declaring a disaster
- If Disaster Declaration is declared, identify the priority of recovery plans
- Alternate or Hot site Locations in place for technology:
 - Primary Recovery Location: Sandata Technologies, [REDACTED], Port Washington, NY, 11050
 - Secondary Recovery Location: Sandata Technologies, [REDACTED], Hicksville, NY
 - Offsite Locations in place for technology:
 - Primary Offsite Location: [REDACTED], Newark, NJ 07102
 - Secondary Offsite Location: [REDACTED], Tampa FL 33916
- Notify Urgent Sandata group as to the extent of the disaster and the potential impact to the customer base and estimated time to recover.

Confidentiality Statement

This document is classified as the confidential property of Sandata Technologies. Due to the sensitive nature of the information contained herein, this manual is available only to those persons who have been designated as plan participants, assigned membership to one of the Sandata Technologies recovery teams, or who otherwise play a direct role in the recovery process. This manual remains the property of Sandata Technologies and may be repossessed at any time. Unauthorized use or duplication of this manual is strictly prohibited and may result in disciplinary action and/or civil prosecution.

Compliance

To protect shareholder confidence, customers, employees, and the organization; companies are responsible for implementing preventative and protective measures to safeguard against disasters, business interruptions, and risks. Many industries are governed by different requirements set forth by regulatory bodies. This template strives to meet the standard requirements for business continuity and disaster recovery planning, implemented by the following industry standards:

- Sarbanes Oxley (SOX)
- ISO (International Standards Organization) 17799 (Section 11 – Business Continuity Standard)
- FFIEC (Federal Financial Institutions Examination Council) requirements for Business Continuity Planning
- NIST (National Institute of Standards and Technology) for Technology Recovery Planning

Plan Maintenance

The table below indicates revisions, changes, or updates that have been made to this document. This table must remain updated at all times.

Plan Maintenance Table

Date	Modified By	Purpose
7/24/17	Vincent Luciani	Added Table of contents
7/24/17	Vincent Luciani	Added this Plan Maintenance Table
7/25/17	Vincent Luciani	Added abbreviation definitions
1/24/18	Vincent Luciani	Updated Cloud Based Services section
12/20/18	Michael Alcide	Updated Application Recovery Strategy Matrix
3/19/19	Michael Alcide	Updated Application Recovery Strategy Matrix

Plan Distribution

The following people have been given a copy of this plan. Management and Recovery teams must keep a copy of this plan at their office and home location. A master copy has been stored offsite.

Plan Distribution Table

Name	Title	Recovery Team(s)
	CEO	All
	CIO	All
	COO	All
	SVP	All
	CTO	Development
	Chief Legal Officer	All
	SVP	All
	VP	Customer Service
	Director	Software
	Director	All
	Manager	Operations
	Manager	IO Control
	VP Database	ALL
	Manager of QA	ALL
	Director of Security	ALL

Executive Summary

This main document contains the non-technical recovery activities that need to be conducted in support of any disaster recovery operation. The following sections contain:

- Emergency contact information
- Recovery personnel information
- Activation & notification procedures of overall technology recovery efforts
- Recovery teams
- Recovery priorities

The detailed technology recovery procedures are not located in this plan. All technical recovery documents are included in the appendix or referenced as vital records. This recovery plan allows Sandata Technologies to abide by industry best practices for protecting the confidentiality, integrity, and availability of confidential and critical data.

Definition of a Disaster

For the purpose of this plan, the definition of a disaster is an event that drastically reduces the ability to provide critical data processing services. Technology outages that exceed 24 to 48 hours is believed to be considered a disaster, but contractual services levels and critical customer systems influence the definition.

The typical disaster involves fire, flood, earthquake, hurricanes, or other damage to the facility and/or data center. This does not mean that technology outages (hardware failures, power, network failures, etc.) cannot invoke disaster recovery. Regardless of the event, a disaster declaration begins the formal process described in this document.

Disaster Declaration Criteria

The following criteria have been identified as activities that can justify the declaration of a disaster:

- There is an actual or potential threat to human safety in the existing data center of facility
- There is an actual or potential threat to the building or equipment
- There is a need to relocate the data center to another facility

Responsibilities

Based on the RACI (Responsible, Accountable, Contribute, and Inform) Matrix, the following groups and/or person(s) have been identified for ensuring recovery strategies are identified, plans are created, maintained, and tested annually.

Responsibilities Table

TASK	RESPONSIBLE	ACCOUNTABLE	CONTRIBUTE	INFORM
Selecting and Ordering Recovery Strategies				CEO, COO,
Creating disaster recovery plan				CEO, COO, CTO, CIO
Executing disaster recovery testing				CEO, COO, CTO, CIO
Maintenance of disaster recovery plan				CEO, COO, CTO, CIO
Disaster declaration process				CEO, CTO, COO, CIO

Overall Disaster communication				CEO, COO, CTO, CIO

Applicability

This disaster recovery plan applies to the roles, procedures, and resources necessary to restore or recover any critical technology component installed at primary and secondary data centers. This recovery plan applies to Sandata Technologies and all other persons associated with recovery activities for any company owned technology component.

Scope

The strategies developed for this plan, were based on the following scenarios:

- The primary facility is inaccessible; as a result, technology processing can no longer continue
- A major technology component failure has occurred and is preventing technology capabilities
- A power failure has occurred and technology processing cannot continue
- Corruption of data has occurred and data needs to be recompiled, restored, and synchronized

Assumptions

The following assumptions were defined and used in the planning process (based on the scope):

- All critical technology systems will be recovered via their supporting recovery plan and in the order of priority deemed appropriate based on the scope of outage, systems affected, number of customers affected, dependencies to other systems, and revenue.
- Business Recovery / Department Recovery is supported by their own recovery plans
- Emergency evacuation of employees, customers, and guests is the responsibility of the Facilities & Security Emergency Plan or other company implement emergency plans

Recovery Strategy

Recovery Strategies vary depending based on the individual systems and levels of redundancy for each system as well as service level agreements with customers that have purchased those products.

Electronic Visit Verification (EVV)

EVV is the system consists of call servers, database server, web servers and application servers.

Electronic Visit Verification

Server Role	Description
Call Servers	The redundant EVV Call Servers are collocated at telephone switches in two separate locations in [REDACTED] and [REDACTED]. Each telephony customer is assigned two different toll-free numbers, one for each site. The EVV system will always accept calls at either location. In case of a system outage at either location, the customer can complete their EVV calls by dialing their alternate toll free number.
Database Server	The EVV system is supported on an Oracle database hosted in our offices in [REDACTED]. The Oracle server is built on a redundant, fault tolerant hardware platform. In addition, the system utilizes Oracle's DataGuard technology to replicate data on a constant basis to an identical Database server located at our disaster recovery site. In case of a system failure with the primary Database server, the disaster recovery server can be brought on line within a number of minutes.
Application Servers	There are several application servers that support the Santrax Production environment. Each of these servers is replicated at our disaster recovery site in. In the event of a failure of any individual system, the processes can be transferred to another application server or the replicated server at the disaster recovery site can be brought on line to replace the failed server.

eTIMEphone

The eTIMEphone system consists of two individual groups (pods) of hardware that each services half of the customer base. The system consists of call servers, database servers, web server, web services application server and a mail server.

eTIMEphone

Server Role	Description
Call Server	Each Pod has 4 redundant Call Servers collocated at our phone switch site in [REDACTED], that receive calls for the customers assigned to the Pod. In the event of a hardware failure of any call server, a spare call server is located at the [REDACTED] site that can be configured and brought on line in a short time frame.
Database Server	Each Pod has a dedicated SQL Server Database server that supports the eTIMEphone application for the customers on that Pod. These servers are backed up on a daily basis. In the event of a hardware failure, the backup can be restored to alternate hardware and the system can be brought up to date by applying system logs in a relatively short period of time
Web Server	The customers on both Pods access the eTIMEphone system via a web server collocated at our phone switch site in [REDACTED]. A replica of this system has been created. In event of a hardware failure, the replica of this system can be installed on new hardware in a short period of time.
Web Services Application Server	There are a small group of eTIMEphone customers who utilize the Web Services capabilities of eTIMEphone. The customers on both Pods access the eTIMEphone Web Services Application system via a web server collocated at our phone switch site in [REDACTED]. A replica of this system has been created. In event of a hardware failure, the replica of this system can be installed on new hardware in a short period of time.
Mail Server	The eTIMEphone system utilizes a mail server to distribute information to some of the customers. A replica of this system has been created. In event of a hardware failure, the replica of this system can be installed on new hardware in a short period of time.

TeleTimecard

The TeleTimecard system consists of call servers, database servers, and web servers.

TeleTimecard

Server Role	Description
Call Servers	The TeleTimecard call answering is supported on the EVV Call Server architecture, which consists of redundant Call Servers collocated at our [REDACTED] and [REDACTED] locations.
Database Server	The TeleTimecard application is supported by a SQL Server database server collocated at the phone switch site in [REDACTED]. In the event of a hardware failure, the system can be restored based on either system logs of daily backups that are done on the system.
Web Server	The TeleTimecard customers access the TeleTimecard system via a web server collocated at our phone switch site in [REDACTED]. A replica of this system has been created. In event of a hardware failure, the replica of this system can be installed on new hardware in a short period of time.

nHome 4.x

nHome is a Citrix Based Hosted solution

nHome 4.x

Server Role	Description
Web Servers	The nHome 4.x hosted customers access the system via two load balanced web servers. If either web server fails, all traffic is transferred to the other web server.
Citrix Servers	The nHome 4.x customers utilize the nHome application via a server farm consisting of redundant Citrix servers. In the event of a failure of any of the Citrix servers, the remaining servers can assume the load of the system without any impact on the customer other than establishing a new connection.
SQL Server with cold standby	The nHome 4.x databases is stored on a SQL Server. The system is backed up on a nightly basis. In the event of a system failure, the database can be restored from the backup tape on standby hardware and the data can be brought current by applying the system logs.

SAM (Santrax Agency Management)

Sam is a web-based hosted solution using web servers, application servers and database servers.

SAM

Server Role	Description
Web Servers	The system consists of four load balanced web servers. If either web server fails, all traffic is transferred to the other web server with the establishment of a new connection.
Application Servers	The system is engineered with redundant application servers. In the event of a system failure of any of the application servers, the processing can be shifted to the other servers in the group.
SQL Server Clustered Database Servers	The system is designed with a robust, redundant, active/active, clustered database along with multiple processors to provide maximum availability. In the event of a system failure of any processor, the other processors in the cluster will automatically assume the load. The database is stored on multiple mirrored disks to ensure that a disk failure will not result in any down time for the customer. In addition, the system logs are shipped real-time to a replicated environment located at our disaster recovery site. In the event of a catastrophic outage in our primary data center, the disaster recovery SQL Server database can be brought on line in a few minutes.

HC Plus Scheduling

The HC Plus system consists of Citrix servers, database server, and automation servers

HC Plus Scheduling

Server Role	Description
Web Servers	The system consists of two load balanced web servers. If either web server fails, all traffic is transferred to the other web server with the establishment of a new connection
Citrix Servers	The HC Plus Scheduling customers access the HC Plus Scheduling Application via a load balanced, redundant Citrix server farm hosted in our primary data center facility consisting of more than 75 servers. In the event of a hardware failure to any of the individual Citrix servers, there is enough capacity in the system to support the customer base on the remaining servers. The server farm is duplicated at our disaster recovery site. In the event of a catastrophic outage in our primary facility, the Citrix farm located at the disaster recovery site can be brought on line in a relatively short period of time.
Database Servers	The HC Plus Scheduling system is supported on an Oracle database hosted in our primary datacenter. The Oracle server is built on a redundant, fault-tolerant hardware platform. In addition, the system utilizes Oracle's DataGuard technology to replicate data on a constant basis to an identical database server located at our disaster recovery site. In case of a system failure with the primary database server, the disaster recovery server can be brought on line in a matter of minutes.
Automation Servers	There are several application servers that support the HC Plus Scheduling Production environment. Each of these servers is replicated at our disaster recovery site. In the event of a failure of any individual system, the processes can be transferred to another application server or the replicated server at the disaster recovery site can be brought on line to replace the failed server.

HC Plus Fiscal Pro Health

This system is supported by a SCO Unix application/database server architecture.

HC Plus Fiscal Pro Health

Server Role	Description
SCO Unix	The Pro Health application resides on a SCO Unix system that contains both the application and the underlying database. The system is backed up nightly and restored on a duplicate server located in the primary datacenter. In the event of a system failure, the standby system can be brought on line in a matter of minutes.

HC Plus Fiscal SHARP

This system is supported by a HP/UX application/database server architecture

HC Plus Fiscal Sharp

Server Role	Description
HP/UX	The SHARP application and database are installed on an HP/UX server. This system is backed up nightly to tape. A replica of this system is located at our disaster recovery site. In the event of a system failure, the nightly tape can be restored to the replica at the disaster recovery datacenter and users can continue to function on the replica.

HC Plus Archive

This system consists of web servers and an application Server

HC Plus Archive

Server Role	Description
Web Servers	This system utilizes the Santrax Web servers to provide access for the HC Plus Archive customers. Archive customers access the data in the Archive system via redundant web servers located in our primary datacenter. Access to these servers is controlled by a load balancer that distributes traffic across the web servers. In case of an outage of a specific web server, the server is automatically removed from the load balancer and the other servers can service the customers who are accessing the Archive system. Duplicate copies of these web servers exist at our Disaster Recovery site. In the event of an outage in our primary datacenter, the web servers at the disaster recovery datacenter can be brought on line in a few minutes.
Application Server	The application the services the Archive system runs on a Windows server that is located in our primary datacenter. A backup of this system is taken every night and this server has been replicated at our disaster recovery datacenter. In the event of a hardware failure, the system can be restored to new hardware from the previous night's backup and the system can be brought up to date by refreshing the application based on the source files located on the SHARP and Pro Health systems. In the event of a catastrophic failure in our location, the replica of the system located in our disaster recovery datacenter can be brought on line in a short period of time.

Archer

Archer

Server Role	Description
Citrix	The Archer and Nurse Assessment customers access these applications via a server farm consisting of redundant Citrix servers. In the event of a failure of any of the Citrix servers, the remaining servers can assume the load of the system without any impact on the customer other than establishing a new connection.
Application Server	The Archer application resides on a Windows server. The application server is backed up on a nightly basis. In the event of a system failure, there is a replica of the Archer Application server at our disaster recovery datacenter. The system can be restored to the replica from the nightly backup and the users can be redirected to this server

Nurse Assessment

Nurse Assessment

Server Role	Description
Citrix	The Archer and Nurse Assessment customers access these applications via a server farm consisting of redundant Citrix servers. In the event of a failure of any of the Citrix servers, the remaining servers can assume the load of the system without any impact on the customer other than establishing a new connection.
Application Server	The Nurse Assessment application resides on a Windows server. The application server is backed up on a nightly basis. In the event of a system failure, there is a replica of the Nurse Assessment Application server at disaster recovery site. The system can be restored to the replica from the nightly backup and the users can be redirected to this server.

Mail / Exchange

Mail / Exchange

Server Role	Description
Exchange Internal Email Servers	The system consists of four redundant, synchronized servers. In the event of a system failure, users are automatically directed to the hot standby on-site server. In the event of a catastrophic system failure at our primary datacenter, email will automatically fail-over to the disaster recovery site. This product is an Active / Active cluster

Cloud-Based Services

Sandata may utilize Cloud-based service such as Azure to facilitate or augment some of our services. The Disaster Recovery details and efforts of those services are reliant on the plans outlined by their respective providers.

Cloud-Service	Description
Azure	Azure is a comprehensive set of cloud services that Sandata developers and IT staff use to build, deploy, and manage applications through a global network of datacenters, Integrated tools and DevOps. Whenever possible, Sandata will develop application with multi-region failover capabilities. Details on Azure's Disaster Recovery capabilities can be found here: https://docs.microsoft.com/en-us/azure/site-recovery/site-recovery-overview

Source Code

A nightly backup of our source code repository is performed. A nightly snap-shot is also replicated to our off-site facility. In the event of a system failure, the system will be brought up on the cluster at DR.

Tracker Suite

A nightly backup of our Tracker Suite System is performed. In the event of a system failure, this tape can be restored on any Windows based system at the DR site.

Cisco PBX, Voicemail, Chat, Contact Center

In case of failure or disaster of the Primary Cisco phone system. It will automatically transfer all services to the DR site. These systems are a clustered Active / Active configuration

Document Repository

This system is backed up to tape nightly. In the event of a system failure, the offsite real-time replica will go into effect.

Application & Server Recovery

The following Application Recovery Strategy Matrix identifies those applications that as critical to the company. Each application and server have corresponding recovery plans to carry out recovery activities. The Recovery Time Objective (RTO) and Recovery Point Objective (RPO) for each are listed below. The specific server names are kept in a separate record outside of this document.

Application Recovery Strategy Matrix

RTO (hours)	RPO (hours)	Application Name	Recovery Strategy
4	4	EVV V8	Activate DB and Replication - Failover to DR
4	4	EVV V7	Activate DB and Replication - Failover to DR
4	4	Aggregator	Activate DB and Replication - Failover to DR
4	4	SMC	Activate DB and Replication - Failover to DR
4	4	MAP	Activate DB and Replication - Failover to DR
4	4	SAM	Activate DB and Replication - Failover to DR
4	4	HC Plus Fiscal Pro Health	Hot Standby
4	8	HC Plus Fiscal SHARP	Cold Standby
4	8	HC Plus Archive	Failover to DR
0	4	Email	Hot Standby
4	8	Source Code	Restore from Backup
0	4	Cisco PBX	Failover to DR
0	8	Doc storage	Failover to DR

Network Recovery Strategy

Networking

The Ethernet switches that provide connectivity across all the systems in the Sandata Technologies' computing environment are equipped with redundant processors and power supplies. In addition, redundant routers are employed to provide connectivity at and between data centers.

Interconnectivity

Multiple data circuits are used to connect the data centers to primary datacenter. The circuits are provisioned on different networks with different carriers to provide for maximum availability. Dedicated point-to-point circuits with a backup internet circuit from multiple carriers are used so a failure of a data circuit in the telecommunications infrastructure will not result in a loss of connectivity.

Telecommunications Recovery Strategy

All telecommunications are built on a redundant technology with active/active clustered technology to the disaster recovery site. In the event of failure, all services will automatically be started on the disaster recovery site and calls will be answered from that location.

Disaster Declaration Procedures

The following recovery team leaders or management personnel are responsible for the activation and implementation of this plan, as well as declaring a disaster for all technology recovery plans, vendor based services, offsite storage, and alternate work locations.

Recovery Team Leaders and Responsibilities

Recovery Team Leaders and Responsibilities

Name	Responsibility	Primary Phone	Secondary Phone
	Declaring a Disaster		
	Activation of DR		
	Implementation of		
	Implementation of		

Disaster Declaration Tasks

The following tasks need to be completed to declare a disaster for Sandata Technologies

- Receive reports of outages to determine if a disaster situation exists and which system(s) are impacted.
- Determine the level of the disaster. Can the system be recovered in place or does the situation require failover to DR?
- Begin Recovery plan for impacted system(s)
- Notify the "Urgent_Sandata" Group as to scope of disaster, impact on the customers and actions being implemented including expected time frames to restoration of service

During Normal Work Hours

If the building is not accessible, the team personnel should gather at the primary assembly site and follow the procedures defined in the alternate Location section of this plan.

After Normal Work Hours

If an emergency occurs after work hours, notify team members and department employees. Provide instructions on what steps they should follow.

If the building is not accessible, the Recovery Team Leader, Frank Duci, will inform team members where to meet. Depending on the situation, team members can use the assembly site, command center, or recovery locations.

Activation Procedures

The following team members are responsible for carrying out notification activities to inform team leaders, employees, other department managers, vendors, and recovery location managers; that the company has experienced a disaster and is activating their recovery plans.

Plan Activation Team

Plan Activations

Name	Responsibility	Primary Phone	Secondary Phone
	Recovery Team		
	Activation Team		
	Activation Team		
	Activation Team		

Plan Activation Tasks

The following tasks need to be completed to notify and instruct all team members to gather at a defined location.

- Contact all recovery team members and inform them of the situation. Use call lists and other contact numbers provided in this plan.
- Identify which alternate location the team should meet at, if not already at the assembly site.
- Discuss current situation with all team members that are available. Make a decision to implement additional disaster recovery plans.
- Notify entire staff (remaining staff and non-recovery staff) that an incident has occurred and to stand by for further instructions.
- Review plan with [REDACTED] and Product Manager of affected product

Management Team

The following team has been trained to respond to any recovery event for any disruption which is impacting all technology capabilities for Sandata Technologies. This team is responsible for the overall management of the disaster / event. The Management Team leader will be responsible for activating the recovery site, recovery teams, and providing status reports to the overall Emergency Management Team. The following team members have been identified and will need to be contact to support this team:

Management Team Contacts

Name	Responsibility	Primary Phone	Secondary Phone
	CEO		
	CIO		
	CTO		
	SVP		
	VP – Time & Attendance		
	Director		
	VP Customer Service		

Management Team Tasks

The following tasks need to be completed by the management team members.

- Ensure activation procedures have been completed.
- Perform team briefing and include: results of damage assessment, expected duration of outage, work-in-progress status, and recovery site activation.
- Coordinate with team leaders who should report to the recovery site and who should remain on standby.
- Provide updates to the Emergency Management Team.
- Determine what sections of the Disaster Recovery Plan should be invoked.
- Activate any recovery sites, command centers, or alternate work-locations necessary for recovery of technology components and teams supporting recovery efforts.

Contact Lists

Please read through these instructions prior to making phone calls to employees.

The following procedures are to be used as a guide when notifying employees of an outage and identifying the action to be taken.

- 1) If person called is available, relay the following information as it was relayed to you:
 - a) Event / Incident status, command center location and phone number
 - b) To report to a specific location and time to be there or instruct them to wait at home for further instructions
 - c) Remind the employee to make NO public statements about the incident. Give them the name of the media representative who will be handling media calls
 - d) Remind the employee to not call co-workers (unless instructed to do so) and to advise their family not to call other employees or make remarks to anyone
- 2) If person is not available:
 - a) Attempt to acquire a phone number where they can be reached
 - b) Ask the employee to return your call AS SOON AS POSSIBLE
 - c) Attempt to contact employee at one of the alternate numbers listed in the plan
- 3) If the primary telephone is busy:
 - a) Attempt to contact the employee at one of the alternate numbers listed in the plan
 - b) If alternate numbers are not successfully, call again in 10-15 minutes
- 4) If no one answers the primary phone:
 - a) Attempt to contact the employee at one of the alternate numbers listed in the plan
 - i) DO NOT LEAVE A MESSAGE WITH DETAILED INFORMATION.
 - ii) Leave a message asking the employee to return your call as soon as possible Continue attempts as long as possible
- 5) Once all the employees on the call list have been contacted, update the management team on who has / hasn't been contacted.

Employee Contact List

See Sandata Technologies Intranet for most current Employee Contact List. If Intranet is not available, see attached Employee Contact List.

Vendor Contact List

Vendor Name	Services Provided	24 Hour Number
	Generator	
	AC and Heat	
	Internet	
	Internet	
	Electrical	

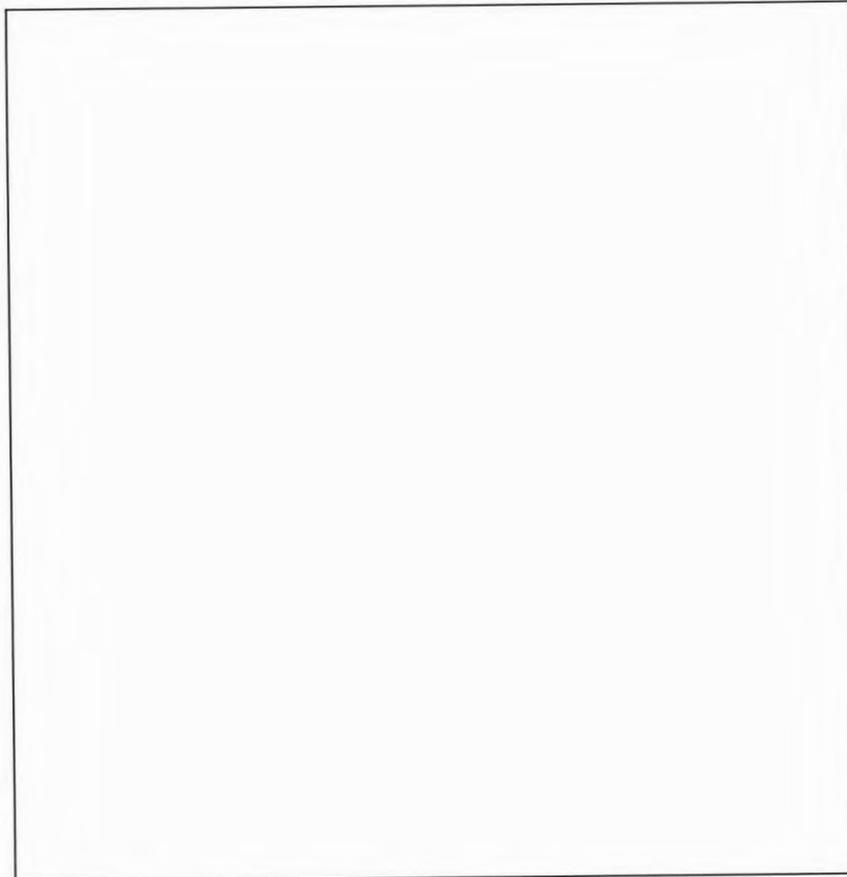
Alternate Locations

Assembly Site

This site has been predetermined for employees to meet during a facility incident or disaster. All employees should report to this site for further instructions.

Site Name	Full Address / Location	Notes

Directions:



Assembly Site Tasks

Immediate actions that need to be taken once assembly site is activated:

- Take a head count to ensure employees are safe and available
- Notify the Management Team if anyone is missing
- Wait for further instructions from Emergency Management Team
- Record all information and instructions given by the Management Team
- Using the notification procedures and the call list, contact the remaining employees

Command Center & Recovery Location

This site has been predetermined for employees to use as the command center during a facility incident or disaster.

Site Name	Full Address / Location	Notes

Offsite Storage

This site has been predetermined for storage of critical data, information, etc. In the event of a disruption or disaster, materials should be recalled from this location.

Site Name	Full Address / Location	Notes

Directions to Offsite Storage Location – See Above

Appendix A – Notification Log

Use the following notation for Results of Contact: R=Reached, U=Unavailable, N=No Answer,
M=Message Left

Notification Log

Date & Time	Person Contact	Results of Contact

Appendix B – Event / Disaster Information Log

When alerted by the Emergency Management Team or designee that the recovery plans need to be activated, the team leader or alternate should document the following information that will be communicated to recovery team members and/or department personnel:

Event / Disaster Information Log

#	Item	Response
1.	Brief Description of Problem	
2.	Location to report to (recovery, assembly, etc.)	
3.	Phone number to contact the Recovery Location	
4.	Any immediate support requires by the Emergency Mgmt Team	
5.	Whether or not the facility can be entered	
6.	If the facility can't be entered, the location that the team should use for a work area or meeting place	

Appendix C – Record Log

The following record log should be completed by the team members to record all key events during the disaster. It is important that all key events during the disaster are recorded. Each recovery team will need to keep track of their recovery efforts in their own log.

Record Log

Description of Event	
Date	
Time of Declaration	

Key Activities Undertaken	Date and Time	Outcome	Follow-up action required

Appendix D – Recovery Status Report

All recovery teams are required to submit status reports to the Disaster Recovery Management Team or Emergency Management Team. This is a common format that can be distributed to all team members.

Recovery Status Report

NAME / TEAM NAME:	
DATE & TIME:	CONTACT INFORMATION:
COMMENTS:	
RECOVERY STATUS:	

Appendix F – Disaster Recovery Report

A Disaster Recovery Report will be prepared by the Management Team Lead (or designee) on completion of the initial disaster recovery phase. The report should contain information on the emergency, who was notified and when, action taken by members of the Disaster Recovery Team(s) together with the outcomes arising from those actions. The report will also contain an assessment of the impact to normal business operations. The report should be given to the Business Continuity Team Leader, with a copy to Senior Management, as appropriate.

Disaster Recovery Report

Name	Title	Department

The contents of the report will include:

- A description of the emergency
- Those people notified of the emergency (including dates)
- Action taken by members of the Disaster Recovery Team(s)
- Outcomes arising from actions taken
- An assessment of the impact to normal business operations
- Assessment of the effectiveness of the Disaster Recovery Plan
- Lessons Learned

Appendix G – Employee Tracking Form

To maintain a centralized tracking of all recovery personnel use this form.

Procedure:

- Make copies of this form and complete after plan activation.
- Complete this form identifying location of personnel.
- Continue to update the information throughout each day during the recovery period.
- As status reports are sent, send a copy of this form to the Management Team Leader.

Location Assignment Code:

1: Assembly Site

2: Command Center

3: Recovery Site

4: Staying home until further notice

DATE: ISSUED BY:

Date	Name of Personnel	Location Assignment	Phone Number	Work Schedule



Appendix H - Assessing Potential Business Impact

Assessments need to be made at various stages during the recovery process as to the potential scale of the emergency from a business perspective. During the Disaster Recovery process, these will include a preliminary damage assessment. The initial assessments will normally be carried out by the Disaster Recovery Team who may call on other specialists to help them with this process as appropriate.

The assessments will be based on the particular circumstances applying and the following five-point scale may be considered appropriate.

POTENTIAL LONGER TERM IMPACT FROM DISRUPTIVE EVENT

#	Description
1	Is likely to seriously affect normal business operations for over four weeks
2	Is likely to seriously affect normal business operations between two and four weeks
3	Is likely to seriously affect normal business operations for over a week
4	Is likely to seriously affect normal business operations for less than one week
5	Is likely to seriously affect normal business operations for less than two days

An assessment to determine the potential scale of the emergency from a business perspective is to be made at regular intervals during the recovery process, and recorded as follows.

Description of the Disaster:			
Business Process Affected	Status Level	Assessment By	Comments



Business Continuity Plan

Version 2018.Q4.1
Applies to all Sandata Customers

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Document Control

Version	Date	Description	Author
0.1.4b	07/31/2014	Draft for Approval	S. Kennedy
2014.Q4.01	12/16/2015	Approved	Barbara-Ann Winner, CTO, EVP, CISM
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2017.Q4.03	12/13/2017	Updated for IV&V comments v2 Added Appendix A	Vincent Luciani, CIO
2018.Q3	07/03/2018	Reviewed	Vincent Luciani, CIO
2018.Q3.1	09/07/2018	Updated Contacts	Vincent Luciani, CIO, Michael Alcide, Security Director
2018.Q4.1	09/07/2018	Updated Contacts	Vincent Luciani, CIO, Michael Alcide, Security Director

Section 1: Plan Purpose

This Business Continuity Plan (BCP) establishes procedures to continue business operations for Sandata and all affected Customers immediately following a disruption. The following objectives have been established for this plan:

- Maximize the effectiveness of contingency operations through an established plan that consists of the following phases:
 - **Notification/Activation phase** to detect and assess the situation and to activate the plan.
 - **Recovery phase** to restore temporary operations.
 - **Resumption phase** to restore operations to normal operations.
- Identify the activities, resources, and procedures needed to carry out operations requirements during prolonged interruptions to normal operations.
- Assign responsibilities to designated Sandata personnel and provide guidance for recovering operations during prolonged periods of interruption to normal operations.
- Ensure coordination between departmental staff who will participate in the contingency planning strategies.
- Ensure notification with Management, Staff, and Clients regarding the Business Continuity Plan.

Plan Coverage

The Business Continuity Plan applies to the functions, operations, and resources necessary to restore and resume operations at Sandata Technologies, Port Washington, NY. Critical functions include:

- Customer Care

- Finance and Accounting
- Information Technology
- Human Resources
- Building Maintenance

Planning Principles

The applicability of the plan is predicated on two key scenarios:

- Sandata is operational, however only a small segment of the personnel is able to report to the Port Washington, NY location.
- Sandata Port Washington, NY office is inaccessible or non-operational, however the backup facility is operational and department staffs have the ability to work remotely.

Assumptions

Based on these principles, the following assumptions were used when developing the Business Continuity Plan:

- The Sandata Port Washington, New York facility is fully operational.
- Primary operational staff are not able to get to the Port Washington, NY office location.
- Key personnel have been identified and have reviewed this emergency response and recovery plan; they are available to activate the Business Continuity Plan.
- All hardware and software at the Sandata Port Washington, NY facility are operational.
- The equipment, connections, and capabilities required to support primary operations are available.
- Service agreements are maintained with hardware, software, and communications providers to support the emergency system recovery.
- Remote employees have power and are able to connect remotely to Sandata

Plan Owner

This Business Continuity Plan has been developed as required by Sandata Executive Management Team (EMT) in order to provide uninterrupted service to our clients.

Plan Distribution

This Plan is distributed as follows:

Name	Role
[REDACTED]	Chief Executive Officer (CEO)
[REDACTED]	Chief Financial Officer (CFO)
[REDACTED]	Chief Operating Officer (COO), General Counsel
[REDACTED]	Chief Information Officer (CIO)
[REDACTED]	Human Resources (HR) Director
[REDACTED]	Senior Vice President, IT Operations
[REDACTED]	Director of Security
[REDACTED]	<i>see below</i>

Business Continuity Team Members

Title
Chief Information Officer
Chief Technology Officer
SVP – Network Operations
EVP – NYBU
Director of Security
SVP – Payer Sales
SVP – Product Management
SVP - Provider Sales
VP – Account Management
SVP – EPMO
VP – Database Engineering
VP – Customer Care
Manager – Production Support
SVP – Solution Management
Building Management

Plan Storage

Electronic copies of this Plan are stored:

- P:\Policies (internal to authorized Sandata employees)

Quarterly Plan Review

This Plan will be updated quarterly by the Chief Information Officer, and annually by the **Business Continuity Team** identified in the table on page 5. Revisions to this plan will be distributed via email, then discussed and reviewed with the Business Continuity Team.

Plan Training and Testing

Sandata provides incident response and contingency training to information system users consistent with assigned roles and responsibilities within ninety (90) days of assuming an incident response role or responsibility and within every three hundred sixty-five (365) days thereafter. In order to provide annual training and proper testing, the department has established a plan for validation/testing of the Continuity Plan. Each member will step through the plan, and discuss responses to different scenarios. This review will be conducted annually to ensure each member is aware of any changes to their role. The results of the test will be documented and reviewed by Senior Management. As part of the review, each member should:

- Call Tree – confirm that phone numbers are accurate and team leaders are able to provide and collect the correct information from each team member.
- Laptop Testing – confirmation that they are able to Virtual Private Network (VPN) into the Sandata network.
- Phone Testing – confirm they are able to connect to the Sandata phone system.

Links to Other Policies and Plans

Other Policies and Plans that link to the Business Continuity Plan:

Plan/Policy	Description	Located in
Backup and Recovery Policy	Describes backup and recovery activities that impact key systems, network and infrastructure components of the existing Information Services and Information Technology environments, where non-functioning or incomplete backups could negatively impact business operations and/or financial reporting.	P:\policies
Disaster Recovery Policy	<p>Contains the non-technical recovery activities that need to be conducted in support of any disaster recovery operation, including:</p> <ul style="list-style-type: none"> Emergency contact information Recovery personnel information Activation & notification procedures of overall technology recovery efforts Recovery teams Recovery priorities <p>This recovery plan allows Sandata Technologies to abide by industry best practices for protecting the confidentiality, integrity, and availability of confidential and critical data.</p>	P:\policies
Customer Care – Continuity Plan	Defines how the Customer Care organization conducts operations and continues to service our customer base throughout a disaster or business impacting event.	P:\policies

LOCAL AREA HOSPITALS FOR MEMBERS IN NEED OF SERVICES OR SHELTER

Depending on the nature of the emergency, the HR director will plan for provisions for facilities and hospitals in the event members are displaced in an emergency. The following lists the local area hospitals near Port Washington Office, the only manned office suite for Sandata:

	Facility Name	Phone Number	Address	Distance from Port Washington Office
1.	St. Francis Hospital	(516) 562-6199	100 Port Washington Blvd, Roslyn, NY 11576	3 miles
2.	NYU Winthrop Hospital	(516) 663-0333	259 1st St, Mineola, NY 11501	7 miles
3.	Syosset Hospital	(516) 496-6400	221 Jericho Turnpike, Syosset, NY 11791	11 miles
4.	Flushing Hospital Medical Center	(718) 670-5000	4500 Parsons Blvd, Flushing, NY 11355	15 miles

Section 2: PLAN ACTIVATION

This Plan will be activated in response to an incident causing significant disruption to normal service delivery/business, particularly the delivery of key/critical activities. Examples of circumstances triggering activation of this Plan include:

- Loss of key staff or skills e.g. above normal levels of absenteeism due to illness
- Loss of critical systems e.g. Electronic Visit Verification failure
- Denial of access, or damage to, facilities e.g. loss of a building through fire or extreme weather conditions
- Loss of a key resource e.g. a major supplier vital to the delivery of a key service
- Electronic/telephonic failure at the main place of business or any satellite offices

RESPONSIBILITY FOR ACTIVATION

A member of the Business Continuity Team¹ for Sandata will normally activate and stand down this Plan:

Name	Role	Office
[REDACTED]	COO, General Counsel	[REDACTED]
[REDACTED]	CIO	[REDACTED]
[REDACTED]	HR Director	[REDACTED]
[REDACTED]	CFO	[REDACTED]

NOTIFICATION AND ACTIVATION PHASE

This phase addresses the initial actions taken to maintain business operations in the event of a possible disruption. Based on the assessment of the event, the plan may be activated by the CEO, or the COO in his/her absence. Sandata's top priority is to preserve the health and safety of its staff before proceeding to the Notification and Activation procedures.

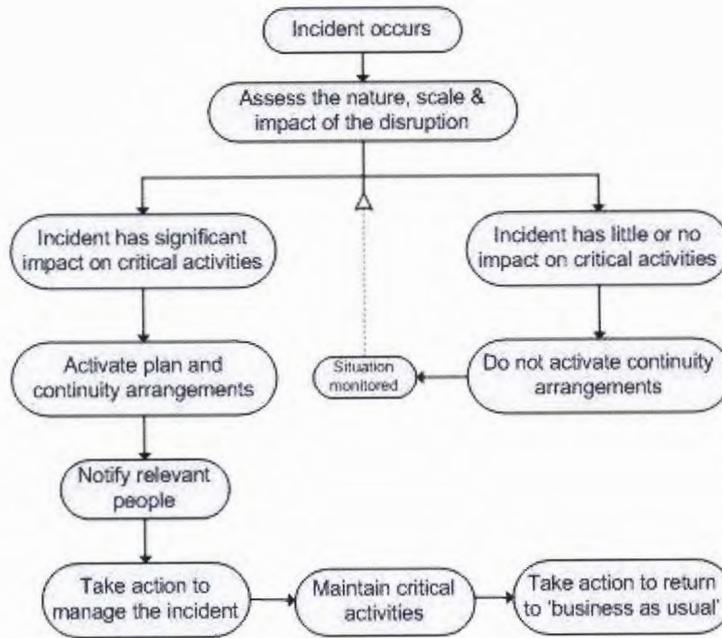
¹ The group of staff who will come together to lead the response to a disruptive incident.

NOTIFICATION AND ACTIVATION PROCEDURE

The notification sequence is listed below:

Responsible	Task
The First Responder	Notifies the Chief Operating Officer (COO) and the Human Resource (HR) Director named above and relays all known information about the disruption. Order of notification will be 1) Cellular 2) Email
Chief Operating Officer (COO)	Notifies the Business Continuity Team and informs them of the event. The COO will lead the Business Continuity Team in the collection of information to determine the nature, scale, and impact of the disruption. Order of notification will be 1) Cellular 2) Email
The Business Continuity Team	Determines if the incident has significant impact on critical activities and will at this time activate the Business Continuity Plan and Communications. Impact to critical activities include: <ul style="list-style-type: none"> Inability for Customer to reach Sandata's Electronic Visit Verification system, Inability for Customer to process invoicing/billing, Inability for Customer to perform scheduling. Order of notification will be 1) Cellular 2) Email
The COO	Directs Business Continuity Team Leaders to complete their calls to their areas of responsibility. The teams will in turn begin activities to manage the incident. Order of notification will be 1) Cellular 2) Email
The Business Continuity Team	Notifies Senior Management, Sandata Staff, and Customers to be notified that the Plan has been activated. Order of notification will be 1) Cellular 2) Email
The COO	Instructs IT Operations and Building Maintenance to begin damage assessment. Order of notification will be 1) Cellular 2) Email

PROCESS ACTIVATION FLOWCHART



Section 3: Incident Management

PURPOSE OF THE INCIDENT MANAGEMENT PHASE

- Protect the safety of staff, visitors and the wider community
- Protect vital assets e.g. equipment, data, reputation etc.
- Ensure necessary communication takes place
- Support the Business Continuity phase
- Support the Recovery and Resumption phase

Actions to protect the Safety and Welfare of Staff, Visitors and the Public

	ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
1.	Human Resources Director	Evacuate the building if necessary	Threat to human life due to fire, flood, air quality, active shooter	Use normal evacuation procedures for the building
2.	Human Resources Director	Ensure all staff report to the Assembly Point.	Once building is cleared of employees/workers	<p>If personnel are located at the Port Washington office at the time of the incident, the Assembly point for the organization is: Across Harbor Park Drive on the large grassy area on the curve of the road.</p> <p>If Harbor Park Drive is inaccessible, all staff not assigned to a Business Continuity/Disaster recovery (DR) role should return home and prepare to continue operations via remote online access to applications.</p>
3.	All employees	Call emergency services (as appropriate)	Any employee recognizing an emergency as indicated	Local Emergency: 911

	ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
			in 1. above is authorized to call 911	
4.	Business Continuity Team (Department Heads, Building Management)	Check that all staff, contractors and any visitors have been evacuated from the building and are present. Consider safety of all staff, contractors and visitors as a priority	If building evacuation is declared and once building is cleared of employees/workers/visitors	<p>Department heads will provide a head count of all personnel and the physical location of all staff and contractors working that day in the building. Front Desk personnel will bring sign-in sheets to the assembly area and confirm the whereabouts of each</p> <p>HR Director will confirm each department has completed the headcount process.</p>
5.	Department Heads	Record names and details of any staff, contractors or visitors who may have been injured or distressed in the incident.	If building evacuation is declared and once building is cleared of employees/workers/visitors	Executive administrative staff will be responsible for completing this action
6.	IT Operations	Assess impact of the incident to agree response / next steps	If damage to computer systems is evident	IT Operations is responsible for completing this action
7.	Executive Administration	Log details of all items lost by staff, visitors etc. as a result of the incident	If building evacuation is declared and once building is cleared of employees/workers/visitors	Executive administrative staff is responsible for documenting this information
8.	Human Resources Director	Consider whether the involvement of other teams, services or organizations are	Ongoing	Depending on the incident the following may be

ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
	required to support the management of the incident		approached to assist with incident management: Personnel <ul style="list-style-type: none"> • Building Maintenance • Legal • Customer Care (Call Center)

COMMUNICATION ACTIONS

In the event of an incident and this plan being activated, the following people should be contacted. Nature of contact will depend on the incident type and time it has occurred. The Chief Operating Officer is responsible for completing the communication actions.

ALWAYS CONTACTED				
	Name	Role	Contact Details	Likely message
1.	[REDACTED]	CEO	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • Impact on the service • Request to escalate or support
2.	[REDACTED]	CFO	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • Impact on the service
3.	[REDACTED]	CIO	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • System(s) potentially affected

CONTACTED		DEPENDING ON INCIDENT			
	Name	Role	Situation	Contact Details	Likely message
1.	[REDACTED]	Human Resources – Ensure Employee Safety	Employee Safety and Company communications-related events	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • Begin accounting of personnel, visitors and contractors • Inform employees where they need to report to/work from
2.	[REDACTED]	SVP Customer Care – Ensure Customer notifications	Incidents involving Customer Care Customers	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • Impact on the service • Activate Customer Care Contingency Plan
3.	[REDACTED]	Director Care / Call Center – Ensure Customer Notifications	Incidents involving Customer Care Customers	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • Impact on the service • Activate Customer Care Contingency Plan
4.	[REDACTED]	Account Management – Ensure Customer Notifications	Incidents involving accounts that fall under Account Management and Implementations	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • Customer notifications to begin
5.	[REDACTED]	Building maintenance – Ensure Employee Safety	Incidents involving building and life safety	[REDACTED]	<ul style="list-style-type: none"> • Incident is taking place • Action being taken • Required Business Continuity/Disaster Recovery activities commencing

ACTIONS TO SUPPORT BUSINESS CONTINUITY

	ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
1.	Information Technology Team	Recover vital assets/equipment to enable delivery of critical activities	Emergency has been declared, failover to DR site has been initiated.	<p>The essential equipment/resources/information that need to be recovered where possible are:</p> <ul style="list-style-type: none"> - Prior night Backup tapes / blank tapes - Customer Care Go Bags (portable workstations) - OPS nightly run log - Any updated configuration guides that are not yet off-site - All outbound payroll mailings in queue - Check Stock (ensure secure transport) - Any hardware components that can supplement the DR systems
2.	Business Continuity Team	Assess the key priorities for the remainder of the working day and take relevant action	Emergency has been declared, failover to Disaster Recovery site has been initiated	Business Continuity Team to assess and develop a plan of action.
3.	HR Director	Inform staff what is required of them	Emergency has been declared, determined that employees should work remotely	HR Director to prepare communication
4.	Chief Operating Officer	Publicize the interim arrangements for delivery of critical activities	Emergency has been declared, determined that employees should work remotely	Ensure all stakeholders are kept informed of contingency arrangements as appropriate

ACTIONS TO SUPPORT RECOVERY AND RESUMPTION

	ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
1.	Information Technology Team, Building Maintenance	Take any salvage/asset recovery actions that are appropriate	Emergency has been declared, failover to DR site is complete	Remove any equipment, furniture, records etc. that are at risk of damage.
2.	Chief Financial Officer	Continue to log all expenditure incurred as a result of the incident	Emergency has been declared, failover to DR site is complete	CFO to record costs incurred as a result of responding to the incident
3.	Chief Financial Officer	Seek specific advice/inform Insurance Company	Potential or actual damage to plant is likely or confirmed	CFO to communicate with Insurance Company

COMMUNICATING WITH STAFF

The HR Director will work with the Business Continuity Team at the time of the incident and form the communication to the Company Staff. The HR Director will have a pre-defined call tree or automated calling to rapidly communicate with all staff.

Section 4: Business Continuity

PURPOSE OF THE BUSINESS CONTINUITY PHASE

The purpose of the business continuity phase of response is to ensure that critical activities are resumed as quickly as possible and/or continue to be delivered during the disruption.

The Business Impact Analysis (BIA) for the organization sets out details of critical activities and the resources required to deliver them both in 'business as usual' and in crisis situations. The Business Continuity Team² will refer to the BIA to help inform the business continuity response that is required.

This document can be found at p:\policies\

CRITICAL ACTIVITIES

The outcome of the Business Analysis process has been to identify the following activities as critical:

	Brief Description of Critical Activities
1.	Maintaining Data Center and Product Operations
2.	Maintaining Payroll Processing Operations
3.	Maintaining Call Center Operations
4.	Maintaining internal/external Communications (VPN, WebEx, Phone System)

NON-CRITICAL ACTIVITIES

A number of activities are non-critical and consideration will be given to:

- Not recovering these activities until critical activities have been resumed
- Suspending these activities and diverting their resources to support the critical ones

The non-critical activities for this organization are:

	Brief Description of Non-Critical Activities
1.	Financial Accounts Payable, General Ledger activities. Accounts Receivable functions to be brought on-line first.
2.	Software Development (New feature development)

² See Section 2 of this Plan for information on the Business Continuity Team

3.	Implementation Processes
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BUSINESS CONTINUITY ACTIONS

The Business Continuity Team (BCT) is responsible for ensuring the following actions are completed:

	ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
1.	Business Continuity Team	Identify any other staff required to be involved in the Business Continuity/Disaster Recovery response	Once Emergency is declared	The Business Continuity Team to determine additional personnel to support the plan at the time of the incident.
2.	Business Continuity Team	Evaluate the impact of the incident	Once Emergency is declared	Business Continuity Team to use a standard impact assessment form to understand the impact of the incident on 'business as usual' working activities. Form located in p:\policies\forms
3.	Business Continuity Team	Plan how critical activities will be maintained.	Once Emergency is declared	Business Continuity Team will establish and maintain the following activities: <ul style="list-style-type: none"> ▪ Identify immediate priorities ▪ Create communication strategies ▪ Oversee the deployment of resources ▪ Control Finances ▪ Continuous monitoring of the situation ▪ Establish regular reporting
4.	Business Continuity Team	Log all decisions and actions, including what you decide not to do and include rationale	Once Emergency is declared	Business Continuity Team to use a standard decision and action log. Log located in p:\policies\logs
5.	CFO	Log all financial expenditure incurred	Once Emergency is declared	Business Continuity Team to use financial expenditure log. Log located in p:\policies\logs

	ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
6.	Business Continuity Team	Allocate specific roles as necessary	Once Emergency is declared	Business Continuity Team to assign roles as needed
7.	Building Maintenance	Secure resources to enable critical activities to continue/be recovered	Once Emergency is declared	Building Maintenance staff will establish premises security to ensure critical assets can be recovered and transported to a secure location.
8.	Business Continuity Team	Deliver appropriate communication actions as required	Once Emergency is declared	Business Continuity Team assure that communication and key messages are developed as appropriate to the needs of the customers, staff, and executive management.

Section 5: Recovery and Resumption

PURPOSE OF THE RECOVERY AND RESUMPTION PHASE

The purpose of the recovery and resumption phase is to resume normal working practices for the organization. Where the impact of the incident is prolonged, normal operations may need to be delivered under new circumstances e.g. from a different building.

RETURN TO NORMAL OPERATIONS

This section discusses activities necessary for restoring operations at the Port Washington, NY site. When accessibility at the Port Washington, NY site has been restored, the team will discontinue working from their remote (home) locations and return to the building in the Port Washington, NY.

RECOVERY AND RESUMPTION ACTIONS

	ROLE	ACTION	SITUATION	FURTHER INFO/DETAILS
1.	Business Continuity Team and the Disaster Recovery team	Agree and plan the actions required to enable recovery and resumption of normal working practices	Once primary building and data center are deemed safe and restored to normal operating conditions	The Business Continuity Team and the Disaster Recovery team will define actions set against timescales for the resumption of normal operations in the facility.
2.	CFO	Continue to log all expenditure incurred as a result of the incident	Once primary building and data center are deemed safe and restored to normal operating conditions	Use a financial expenditure log to do this. Log located in p:\policies\logs
3.	Business Continuity Team	Respond to any long-term support needs of staff	Once primary building and data center are deemed safe and restored to normal operating conditions	Business Continuity Team will consider the use of external agencies to assist recovery operations, Staff, IT Operations, or call Center support.
4.	Chief Information Officer and Business Continuity Team	Carry out a 'debrief' of the incident	Once primary building and data center are deemed safe and restored to normal operating conditions	Business Continuity Team will ensure key actions resulting from the incident are implemented within designated timescales
5.	Chief Information Officer	At soonest opportunity, CIO to schedule Business Continuity Plan (BCP) review session with Business Continuity Team (BCT)	Once primary building and data center are deemed safe and restored to normal operating conditions	Ensure a revised version of the Plan is read by all members of the Business Continuity Team

		to discuss lessons learned and any other policies or plans that may be affected as a result. Within 2 weeks of the review session, CIO will modify the Business Continuity Plan and related documents accordingly and will distribute to all Business Continuity Team Members.		
6.	Chief Operating Officer	Publicize that there is now 'business as usual'	Once primary building and data center are deemed safe and restored to normal operating conditions	Business Continuity Team to create communications to internal and external entities upon resumption of normal operations

PLAN DEACTIVATION

Upon the communication of "Normal Operations", the COO will inform the CEO, the Executive Management Team, and the Enterprise Leadership Team of the resumption of services and the Plan Deactivation. Account Management will notify customers and HR will notify all staff and consultants. This will release the Business Continuity Team members to resuming their regular responsibilities. The Business Continuity Team will submit the final financial expenditure report following the Plan Deactivation.

Appendix A: Data Center Primary and Disaster Recovery and Call Center Location Information

Data Center Locations:

- Primary Location: Sandata Technologies, [REDACTED], Port Washington, NY, 11050
- Recovery Location: Sandata Technologies, [REDACTED], Hicksville, NY

Sandata utilizes hardened data center facilities at each of their primary and secondary locations. Each facility has redundant power and cooling, and Internet connectivity and are supported by UPS power and generator.

All data stored at our primary location is replicated in near-real time to the Recovery Location utilizing various replication methodologies and checks to ensure a mirrored copy always exists. Upon declaring a disaster, clearly defined processes and procedures are followed by Sandata's engineers to handoff processing to the Recovery Location.

Complete details of Sandata's recovery procedures are available in our Disaster Recovery Plan located in p:\policies.

Telephony Call Center Locations:

- Co-Primary Location: [REDACTED], Newark, NJ 07102
- Co-Primary Location: [REDACTED], Tampa FL 33916

The redundant EVV Call Servers are co-located at telephone switches in two separate locations in Newark, New Jersey and Tampa Florida. Each telephony customer is assigned two different toll-free numbers, one for each site. The EVV system will always accept calls at either location. In case of a system outage at either location, the customer can complete their EVV calls by dialing their alternate toll-free number.



Sandata Electronic Visit Verification

Daily Reports

Active Clients Report

Description:

This report lists all active clients as of the date selected.

Sample Report

Report Parameters
 Account: [REDACTED]
 For: 6/21/2019 - 6/21/2019 11:59:59 PM

ACTIVE CLIENTS

Account: [REDACTED]											
CLIENT ID	CLIENT MEDICAID ID	CLIENT NAME	CLIENT SSN	PHONE #	ADDRESS	CITY	ST	ZIP	LATITUDE	LONGITUDE	CLIENT ALTERNATE ID
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	Port Washington	NY	11050	40.81072480	-73.88358730	
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	Port Washington	NY	11050	40.830401	-73.86060829999999	
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	Port Washington	NY	11050	40.81072480	-73.88358730	
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	Bayside	NY	11360	40.77764820	-73.78014470	
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	Garden City	NY	11531			
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	Knoxville	TN	37901	35.97326250	-83.93315810	
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	Broomfield	CO	80021	39.89853780	-105.12180140	
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	5026939488	KY	40245	38.28409880	-85.43158820	
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	BATTLEFIELD	MO		37.118081	-93.38187800000000	

Sandata
6/21/2019 2:02:11 PM
Page 1 of 5

Active Clients Report



Sandata Electronic Visit Verification

Call Listing Report

Description:

This report displays all call activity (using all call methods) for the selected day and time range specified. The calls are listed sequentially, beginning with calls that are missing data.

Sample Report

Report Parameters
 Account:
 For: 6/21/2019 - 6/21/2019 11:59:59 PM

Call Listing

Account: Payer: Program:	SPV	SERVICE	CLIENT ID	CLIENT MEDICAID ID	CLIENT NAME	PHONE #	EMPLOYEE NAME	EMPLOYEE EMAIL	EMPLOYEE SANTRAX ID	CALL TYPE	CALL TIME	GROUP VISIT CODE	INDICATORS
										MANUAL	09:00 AM		#
										MANUAL	10:00 AM		#
										MANUAL	09:00 AM		#
										MANUAL	11:00 AM		#
										MANUAL	04:00 AM		#
										MANUAL	04:15 AM		#
										MANUAL	12:00 AM		#
										MANUAL	12:15 PM		#
										MANUAL	10:00 AM		#
										MANUAL	12:00 PM		#
Grand Total of Actual Calls: 10													

Sandata
6/21/2019 3:03:32 PM
Page 1 of 2

Call Listing Report



Sandata Electronic Visit Verification

Call Summary Report

Description:

This report pairs the Start and End calls together as visits and shows the visit hours.

Sample Report

Call Summary											
Report Parameters											
Account For: 6/21/2019 - 6/21/2019 11:59:59 PM											
ACCOUNT: PAYER: PROGRAM:			CLIENT NAME	EMPLOYEE NAME	EMPLOYEE EMAIL	EMPLOYEE SANTRAX ID	START	CALLS END	HOURS	BILL HOURS	UNITS
							12:00 AM	12:16 PM	12:16	12:16	
							04:00 AM	04:15 AM	00:15	00:15	
							10:00 AM	12:00 PM	02:00	02:00	
							08:00 AM	10:00 AM	02:00	02:00	
							09:00 AM	11:00 AM	02:00	02:00	
Total of Bill Hours: 18:31											
Total of Completed Visits: 5											
Total of Visits: 5											
Grand Total of Billed Hours: 18:31											
Grand Total of Completed Visits: 5											
Grand Total of Visits: 5											

Call Summary Report Sample



Sandata Electronic Visit Verification

Client List With Last Scheduled Date Report

Description:

This report shows all clients with a date of when their last schedule occurred.

Sample Report

Clients List With Last Scheduled Date								Report Parameters
NAME	PROGRAM	MEDICAID ID	TEAM	CREATED DATE	SOC	LAST SCHEDULED	STATUS	RECURRING SCHEDULE TEMPLATES
				01/08/19	01/08/19	06/21/19	02-Active	
				06/05/19	06/05/19	06/25/19	02-Active	
				06/12/19	06/19/19	06/20/19	02-Active	
				06/02/19	06/02/19	07/05/19	02-Active	YES
				01/09/19	01/09/19	05/31/19	02-Active	YES
				01/26/19			01-Imported	
				01/09/19	01/09/19	04/04/19	02-Active	
				06/12/19	06/12/19	06/13/19	02-Active	
				05/01/19	05/01/19	06/20/19	02-Active	
				06/21/19	06/21/19	07/05/19	02-Active	YES
				06/12/19	06/12/19		02-Active	

Account: [Redacted]
Program: All
Supervisor: All

Sandata 6/21/2019 3:56:03 PM Page 1 of 3

Client List With Last Scheduled Date Sample



Sandata Electronic Visit Verification

No Show Report

Description:

This report shows all schedules for the selected date that did not receive Santrax calls. These schedules are possible no shows.

Sample Report

No Show Report											Report Parameters	
											Account:	
											For:	6/24/2019 - 6/24/2019 11:59:59 PM
CONTRACT	PROG	SPV	SERVICE	CLIENT	CLIENT-NAME	CLIENT-PHONE	CLIENT PRIORITY	EMPLOYEE-NAME	SANTRAX ID	START TIME	UNIDENTIFIED CALL TIME	
Payer I										08:00		
Payer P										12:00		
Payer I										18:00		
Payer P										18:00		
Payer I										12:00		
Grand Total of No Shows: 5												

No Show Sample



Sandata Electronic Visit Verification

Visit Verification Report

Description:

This report provides information for visits that occurred on the selected date. Report includes all call, adjustment and client verification information for each visit.

Sample Report

																	<u>Report Parameters</u>										
																	Account: [REDACTED]										
																	For: 1/11/2019										
																	Visit Verification										
Account: [REDACTED]																											
Payer: [REDACTED]																											
Program: [REDACTED]																											
Service: [REDACTED]																											
CLIENT MEDICAID ID	CLIENT NAME	PHONE #	EMPLOYEE NAME	EMPLOYEE SANTRAX ID	VISIT DATE	SCHEDULED			ACTUAL			ADJUSTED			BILL	CLIENT VERIFIED											
						START	END	HOURS	START	END	HOURS	START	END	HOURS	HOURS	SERVICE	TIME	SIGNATURE									
										01:00 AM						No	No	No									
										01:00 AM						No	No	No									
										01:00 AM						No	No	No									
										01:00 AM						No	No	No									
										01:00 AM						No	No	No									
						09:00 AM	01:00 PM	04:00								No	No	No									
										01:00 AM						No	No	No									
						01:00 AM	01:59 AM									No	No	No									
										12:06 AM	01:00 AM			00:54		No	No	No									
										12:00 AM	12:06 AM			00:06		No	No	No									
																No	No	No									
										12:06 AM	01:00 AM			00:54		No	No	No									
																No	No	No									
										02:52 PM						No	No	No									
										02:55 PM						No	No	No									
										01:00 PM						No	No	No									

Reason Codes
10



Sandata Electronic Visit Verification

Date Range Reports

Authorization Summary Report

Description:

This report displays a summary of client's authorization sorted by payor. Authorizations specify the number of units, visits, or hours for a service and time period.

Sample Report

Authorization Summary													
Report Parameters													
Account: [REDACTED]													
For: 05/10/2019 12:00 AM - 06/24/2019 11:59 PM													
Payer: All													
Program: All													
Supervisor: All													
CLIENT	PROGRAM	MEDICAID ID	CASE MGR	SOC	SERVICE	EC	REF NO	TOTAL	UNUSED	FROM	TO	LIMITATION	FORMAT
Payer: [REDACTED]													
				06/05/2019	1021Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
				06/05/2019	1021Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
				06/05/2019	1206Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
				06/19/2019	1021Z	DEF		0.00	0.00	06/20/2019	12/31/2019	None	Hour
				06/19/2019	1021Z	DEF		0.00	0.00	06/20/2019	12/31/2019	None	Hour
				06/04/2019	1021Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
					1021Z	DEF		0.00	0.00	06/19/2019	12/31/2019	None	Hour
				06/19/2019	1021Z	DEF		0.00	0.00	06/20/2019	12/31/2019	None	Hour
				06/19/2019	1021Z	DEF		0.00	0.00	06/21/2019	12/31/2019	None	Hour
				06/20/2019	1021Z	DEF		0.00	0.00	06/20/2019	12/31/2019	None	Hour
				06/05/2019	1214Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
				06/19/2019	1021Z	DEF		0.00	0.00	06/19/2019	12/31/2019	None	Hour
				06/05/2019	1021Z	DEF		10.00	9.00	06/05/2019	12/31/2019	None	Hour
				06/19/2019	1021Z	DEF		0.00	0.00	06/20/2019	12/31/2019	None	Hour
				06/05/2019	1021Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
				06/05/2019	1206Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
				06/20/2019	1021Z	DEF		0.00	0.00	06/19/2019	12/31/2019	None	Hour
				06/20/2019	S9123	DEF		100.00	95.00	06/21/2019	06/21/2020	None	Hour
				06/19/2019	1021Z	DEF		0.00	0.00	06/19/2019	12/31/2019	None	Hour
				06/05/2019	1021Z	DEF		0.00	0.00	06/05/2019	06/15/2019	None	Hour
				06/20/2019	1021Z	DEF		0.00	0.00	06/20/2019	12/31/2019	None	Hour
				06/01/2019	1214Z	DEF		0.00	0.00	06/01/2019	01/31/2020	None	Unit
				06/21/2019	1021Z	DEF		1,900.00	1,879.00	06/11/2019	10/02/2020	None	Visit
				06/19/2019	1021Z	DEF		0.00	0.00	06/20/2019	12/31/2019	None	Hour
				06/05/2019	1021Z	DEF		0.00	0.00	06/05/2019	12/08/2019	None	Hour
					1021Z	DEF		0.00	0.00	06/19/2019	12/31/2019	None	Hour
				04/01/2019	1210Z	DEF		250.00	240.25	06/05/2019	06/31/2019	None	Hour
				06/02/2019	1021Z	DEF		0.00	0.00	06/02/2019	12/06/2019	None	Hour
					1021Z	DEF		0.00	0.00	06/05/2019	12/31/2019	None	Hour
				06/08/2019	1021Z	DEF		0.00	0.00	06/05/2019	10/06/2019	None	Hour
				06/05/2019	1021Z	DEF		420.00	420.00	06/05/2019	01/31/2020	None	Hour
Sub Totals: Clients: 28 Auths: 31													

Authorization Summary Sample



Sandata Electronic Visit Verification

Changed Authorizations Report

Description:

This report displays all authorizations that have had a change made during the date range.

Sample Report

Changed Authorizations						<u>Report Parameters</u>
						Account: [REDACTED] For: 06/10/2019 12:00 AM - 06/24/2019 11:59 PM Payer: All Program: All
CLIENT	PROGRAM	MEDICAID ID	SOC	AUTH REF NO.	SERVICE	DATE CHANGE OCCURRED
Payer: Medicaid Fee for Service						
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	06/19/2019	[REDACTED]	06/21/2019
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	06/20/2019	[REDACTED]	06/21/2019
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	06/19/2019	[REDACTED]	06/20/2019
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	06/20/2019	[REDACTED]	06/20/2019
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	06/20/2019	[REDACTED]	06/20/2019
Total Clients: 5			Total Auth Changes: 5			
Sandata						6/24/2019 11:17:23 AM Page 1 of 2

Changed Authorizations Sample



Sandata Electronic Visit Verification

Client Visit Summary

Description:

This report displays all visits for the selected date range sorted by client, with each client on its own page. Results are sorted per visit, per service. The report includes basic information such as: visit date, Santrax ID, employee name, number of visits, visit start and end times, and visit hours as well as summary level information.

Sample Report

Report Parameters
Account: [REDACTED]
For: 1/1/2019 - 3/6/2019 11:59:59 PM

Client Visit Summary

Account: [REDACTED]
Payer: [REDACTED]
SPV: [REDACTED]
Client ID: [REDACTED]
Client Medicaid ID: [REDACTED]
Client Name: [REDACTED]

PROGRAM	SERVICE	EMPLOYEE SANTRAX ID	EMPLOYEE EMAIL	EMPLOYEE NAME	VISIT DATE	# OF VISITS	HOURS
	G0300	[REDACTED]	[REDACTED]	[REDACTED]	01/02/19		02:04
	G0300	[REDACTED]	[REDACTED]	[REDACTED]	01/02/19		01:07
					Client/Date Sub-Total:	2	03:11
	T1001	[REDACTED]	[REDACTED]	[REDACTED]	01/21/19		02:00
	T1001	[REDACTED]	[REDACTED]	[REDACTED]	01/21/19		01:00
					Client/Date Sub-Total:	2	03:00
					Client Totals:	4	06:11

Sandata3/6/2019 5:36:28 PMPage 3 of 716

Client Summary Report



Sandata Electronic Visit Verification

Detail Visit Status

Description:

This report displays a detailed view of all visits based on the selected date range and parameters. The report groups client and employee information associated with the visit details such as: exceptions, services, dates and the actual/adjusted call in and call out times.

Sample Report

Detail Visit Status														Report Parameters	
														Account	
														For: 2/1/2017 - 6/30/2017 11:59:59 PM	
														Visit Status: All	
VISIT ID	CLIENT MEDICAID ID	CLIENT NAME	PHONE #	EMPLOYEE NAME	SERVICE	GROUP VISIT CODE	VISIT DATE	SCHEDULED		CALL		ADJUSTED		UNRESOLVED EXCEPTIONS	
								START	END	START	END	START	END		
							05/15/2017			01:00 AM	02:15 PM			Client Signature Exception, Missing Service, Visit Verification Exception	
							05/16/2017			01:00 AM				Missing Service, Visit Verification Exception, Visits Without Out-Calls	
							05/17/2017			02:15 PM	04:32 PM			Missing Service, Visit Verification Exception	
							06/14/2017			06:04 AM		01:00 AM	02:00 AM	Missing Service, Visit Verification Exception, Visits Without Out-Calls	
							06/14/2017			07:00 AM				Missing Service, Visit Verification Exception, Visits Without Out-Calls	
							06/14/2017			06:38 AM				Missing Service, Visit Verification Exception, Visits Without Out-Calls	
							06/14/2017			06:30 AM				Missing Service, Visit Verification Exception, Visits Without Out-Calls	
							06/14/2017			07:10 AM				Missing Service, Visit Verification Exception, Visits Without Out-Calls	
							06/14/2017			11:53 PM				Missing Service, Visit Verification Exception, Visits Without Out-Calls	
							06/15/2017			11:25 PM	11:45 PM			Missing Service	
							06/16/2017			03:57 AM				Missing Service, Unknown Clients, Visit Verification Exception, Visits Without Out-Calls	
							06/26/2017			03:36 AM	03:48 AM			Missing Service, Unknown Clients, Visit Verification Exception	
							06/26/2017			03:51 AM	04:14 AM			Missing Service, Unknown Clients, Visit Verification Exception	



Sandata Electronic Visit Verification

Expiring Authorizations Report

Description:

This is a report that allows review of all Authorizations that are ending within the specified date range.

Sample Report

Expiring Authorizations								<u>Report Parameters</u>
								Account: 80110 For: 06/10/2019 12:00 AM - 06/24/2019 11:59 PM Payer: All Program: All
CLIENT	PROGRAM	MEDICAID ID	SOC	PRIOR AUTH	END DATE	SERVICE ID	EVENT ID	REF NUM
	P1		1/8/2019		6/24/2019		DEF	
Total: 1								
6/24/2019 11:36:31 AM Page 1 of 1								

Expiring Authorizations Sample

Schedules By Client Report

Description:

These are the Schedules grouped by Client, but not grouped by week.

Sample Report

Schedules By Client							Report parameters
							Account: For: 06/10/2019 - 06/24/2019 From: 12:00 AM To 11:59 PM Client: All Payer: All Program: All Service: All Supervisor: All
DATE	EMPLOYEE	SERVICE	IN	OUT	TOTAL	STATUS	NOTES
Tue, Jun 11, 19			1:00 PM	2:00 PM	1.00	Confirmed	
Wed, Jun 12, 19			1:00 PM	2:00 PM	1.00	Confirmed	
Thu, Jun 13, 19			1:00 PM	2:00 PM	1.00	Pending	
Fri, Jun 14, 19			2:00 PM	3:00 PM	1.00	Pending	
Fri, Jun 21, 19			5:00 AM	8:00 AM	1.00	In Process	Scenario 5
Events: 5					Hours: 5.00		
 6/24/2019 3:56:37 PM Page 1 of 31							

Schedules By Client Sample



Sandata Electronic Visit Verification

Schedules By Staff Report

Description:

This is the Schedules grouped by Staff, within the selected date range.

Sample Report

Schedules By Employee										
<u>Report Parameters</u>										
Account: [REDACTED]										
For: 06/10/2019 12:00 AM - 06/24/2019 11:59 PM										
Employee: All										
DATE	SERVICE	CLIENT	STX CLIENTID	ADDRESS	PHONE	IN	OUT	HOURS	PAYER	MILES STATUS
Fri, Jun 14, 19						02:00 PM	03:00 PM	1.00		0.00 Pending
Fri, Jun 14, 19						02:00 PM	03:00 PM	1.00		0.00 Pending
Fri, Jun 14, 19						03:00 PM	04:00 PM	1.00		0.00 Pending
Events: 3								Hours: 3.00		



6/24/2019 4:19:56 PM

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Schedules By Staff Sample

Summary Visit Status

Description:

This report displays a summary view of the status of all visits based on the selected date range and parameters. The results are grouped by the duration of time each visit has remained in the same status. It displays visits in a 31 day or monthly range.

Sample Reports

Summary Visit Status						Report Parameters Account: [REDACTED] For: 2/1/2018 - 2/28/2018 11:59:59 PM
STATUS	AGE					TOTAL #
	<1 DAYS	1 - 5 DAYS	6 - 10 DAYS	11 - 15 DAYS	16 - 31 DAYS	
In Process	9	0	0	0	0	9
Incomplete	3	26	165	41	0	237
Verified	0	0	0	0	0	0
Processed	0	0	0	0	0	0
Omit	1	1	0	0	0	2
TOTAL #	13	29	165	41	0	248

ACCOUNT: [REDACTED]
PAYER: [REDACTED]
PROGRAM: [REDACTED]

 2/13/2019 2:33:30 PM Page 1 of 2

Summary Visit Status Report



Sandata Electronic Visit Verification

Visit Log

Description:

This report displays all visits associated with each client within the selected date range, grouped by client.

Sample Report

Visit Log															Report Parameters					
ACCOUNT: [REDACTED] PAYER: [REDACTED] CLIENT NAME: [REDACTED] CLIENT MEDICAID ID: [REDACTED]															Account:					
															For: 6/7/2019 - 6/21/2019 11:59:59 PM					
PROGRAM	SERVICE	SPV	PRIORITY	EMPLOYEE NAME	VISIT DATE	START	END	HOURS	CALL	START	END	HOURS	ADJUSTED	START	END	HOURS	BILL	HOURS	RATE	REASON CODES
					Fri 06/07	03:00 PM	05:00 PM	02:00	☑	01:00 PM	☑	03:00 PM	02:00				02:00			09, 26, 33, 34
					Sat 06/08	03:00 PM	05:00 PM	02:00	☑	03:15 PM	☑	05:15 PM	02:00				02:00			26, 33, 34, 45
					Wed 06/12	04:00 PM	05:00 PM	01:00	☑	02:06 PM	☑	05:00 PM	02:54				02:54			04, 26
					Fri 06/14	03:00 PM	04:00 PM	01:00	☑	03:00 PM	☑	04:06 PM	01:06				01:06			03



6/21/2019 3:36:39 PM

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Visit Log Report



Sandata Electronic Visit Verification

Visit Verification Activity Summary Report

Description:

This report displays a list of modifications for each visit. Only modified visits are included in this report. The report is sorted by the user who modified the visit on the *Visit Maintenance* screen.

Sample Report

Visit Verification Activity Summary															Report Parameters				
Account: [REDACTED]															Account: [REDACTED]				
Payer: [REDACTED]															For: 2/1/2017 - 12/31/2018 11:59:59 PM				
Program: [REDACTED]																			
CLIENT MEDICAID ID	CLIENT NAME	EMPLOYEE NAME	EMPLOYEE SANTRAX ID	SERVICE	GROUP VISIT CODE	VISIT DATE	SCHEDULED			ACTUAL			ADJUSTED			BILL		REASON	
							START	END	HOURS	START	END	HOURS	START	END	HOURS	HOURS	UNITS	CODE	OMIT
Visit - Update Employee - STXADMIN - 8/12/2018 02:28 AM						Fri 08/10	09:58 AM	08:43 AM	22:45				22:45			47	N		
Visit - Update Employee - STXADMIN - 8/10/2018 06:32 AM						Thu 08/09	10:43 AM	11:54 AM	01:11				01:11			47	N		
Visit - Assign Call to Visit - STXADMIN - 8/12/2018 01:04 AM						Fri 08/10	07:01 AM	10:00 AM	02:59				02:59			47	N		
Visit - Update Employee - STXADMIN - 10/10/2018 03:56 AM						Tue 10/09	09:21 AM								47	N			
Visit - Assign Call to Visit - STXADMIN - 8/10/2018 01:51 AM						Thu 08/09	11:48 AM								47	N			
Visit Exception - Acknowledge Visit Verification Exception - STXADMIN - 8/10/2018 02:00 AM						Thu 08/09	10:18 AM	11:52 AM	01:34				01:34			47	N		
Visit Exception - Acknowledge Client Signature Exception - STXADMIN - 8/10/2018 02:00 AM						Thu 08/09	10:18 AM	11:52 AM	01:34				01:34			47	N		
Visit Exception - Acknowledge Visit Verification Exception - STXADMIN - 8/12/2018 01:05 AM						Fri 08/10	07:01 AM	10:00 AM	02:59				02:59			46	N		
Visit Exception - Acknowledge Client Signature Exception - STXADMIN - 8/12/2018 01:05 AM						Fri 08/10	07:01 AM	10:00 AM	02:59				02:59			46	N		
Total Visit Updates: 9																			
Grand Total Visits: 284																			
Grand Total Visit Updates: 2614																			

Visit Verification Activity Summary Report

Visit Verification Exception

Description:

This report lists all visits grouped by exception type. Example: GPS Distance Exception.

Sample Report

Report Parameters
 Account: [REDACTED]
 For: 8/1/2018 - 2/28/2019 11:59:59 PM

Visit Verification Exception

ACCOUNT: [REDACTED]
 PAYER: [REDACTED]
 PROGRAM: [REDACTED]
 SERVICE: [REDACTED]
 EXCEPTION TYPE: [REDACTED]

SPV	CLIENT MEDICAID ID	CLIENT NAME	PHONE #	EMPLOYEE NAME	GROUP VISIT CODE	VISIT DATE	ACTUAL			ADJUSTED			BILLED HOURS	REASON CODES	TASKS EX	
							START	END	HOURS	START	END	HOURS				
			(***)-7067			Fri 12/14	09:24 AM									
			(***)-7067			Mon 01/14	12:24 PM									
			(***)-4601			Wed 01/23		11:41 AM								
			(***)-7067			Tue 12/18	03:36 PM									
			(***)-7753			Wed 08/22	06:14 PM									
			(***)-7067			Fri 12/28	10:54 AM									
			(***)-7067			Fri 12/14	09:31 AM	09:34 AM	00:03				00:03			
Total of Actual Hours:							00:03									
Total of Adjusted Hours:							N/A									
Total of Billed Hours:							00:03									
Total of Visits:							7									


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Visit Verification Exception Report

Aged Invoices - Detailed Extended by Payer

Account: 269208
For: 09/06/2019 12:00 AM - 09/20/2019 11:59
PM
Payer: All
Program: All

INVOICE NUMBER	CURRENT	1-30 DAYS	31-90 DAYS	91-180 DAYS	181-360 DAYS	OVER 360 DAYS	BALANCE
P1	\$0.00	\$34.37	\$0.00	\$0.00	\$0.00	\$0.00	\$34.37
P2	\$0.00	\$34.96	\$0.00	\$0.00	\$0.00	\$0.00	\$34.96
Grand Total:	\$0.00	\$69.33	\$0.00	\$0.00	\$0.00	\$0.00	\$69.33

Report Parameters

Account: 269208
 For: 08/25/2019 12:00 AM - 08/26/2019 11:59 PM
 Client: All
 Payer: All
 Program: All
 Service: All

Billing - Claim Detail

NAME	CLIENT OTHER ID	PAYER	SCHEDULE DATE	EMPLOYEE NAME	EMPLOYEE ID	SERVICE	REV CODE	MODIFIER	QUANTITY BILLED	TIME IN	TIME OUT	AUTHORIZATION NUMBER	INVOICE NUMBER	INVOICE DATE	DATE SUBMITTED	INVOICE STATUS	AMOUNT
o, John	31007	P1	8/25/2019	Nguyen, Hien V.	000244	S5125	0570		1.00	02:00 AM	03:00 AM	666666666666	4505	8/26/2019	8/26/2019	Bill Sent	
o, John	31007	P1	8/25/2019	Nguyen, Hien V.	000244	S5125	0570		1.00	10:00 PM	11:00 PM	666666666666	4504	8/26/2019	8/26/2019	Bill Sent	
, TNT	987549	Payer P	8/25/2019	Nguyen, Hien V.	000244	S5125	U		1.00	10:00 PM	11:00 PM	S5125-2019	4507	8/26/2019		Billable	\$-
Tam	834354	P1	8/26/2019	Nguyen, Hien V.	000241	S5125	0570		1.00	12:00 AM	01:00 AM	HourAAAA	4509	8/27/2019	8/27/2019	Cancelled	
Tam	834354	P1	8/26/2019	Nguyen, Hien V.	000241	S5125	0570		1.00	12:00 AM	01:00 AM	HourAAAA	4510	8/27/2019	8/27/2019	Cancelled	
Tam	834354	P1	8/26/2019	Nguyen, Hien V.	000241	S5125	0570		1.00	12:00 AM	01:00 AM	HourAAAA	4512	8/27/2019	8/27/2019	Cancelled	
Tam	834354	P1	8/26/2019	Nguyen, Hien V.	000241	S5125	0570		1.00	12:00 AM	01:00 AM	HourAAAA	4513	8/27/2019	8/27/2019	Bill Sent	
Tam	834354	P1	8/26/2019	Nguyen, Hien V.	000244	S5125	0570		24.00	02:00 AM	02:00 AM	HourAAAA	4511	8/27/2019	8/27/2019	Cancelled	\$-
Tam	834354	P1	8/26/2019	Nguyen, Hien V.	000244	S5125	0570		24.00	02:00 AM	02:00 AM	HourAAAA	4512	8/27/2019	8/27/2019	Cancelled	\$-
Tam	834354	P1	8/26/2019	Nguyen, Hien V.	000244	S5125	0570		24.00	02:00 AM	02:00 AM	HourAAAA	4513	8/27/2019	8/27/2019	Bill Sent	\$-
uth,	276246	P2	8/25/2019	Foley, Adam2	127505	S5125	0570		8.00	08:00 AM	10:00 AM		4503	8/26/2019	8/26/2019	Billable	\$-
uth,	276246	P2	8/25/2019	Foley, Adam2	127505	S5125	0570		8.00	08:00 AM	10:00 AM		4514	9/6/2019		Billable	\$-

Sales Register

Report parameters

Account: 269208
For: 08/01/2019 12:00 AM - 08/23/2019 11:59 PM
Client: All
Payer: All
Program: All
Service: All

DATE	CLIENT	PROGRAM	MEDICAID ID	INVOICE	ORIG.AMOUNT
BCBST ECF					
08/21/19	America, Captain	ECE	5481321560	4502	\$21.00
08/12/19	Lee, Tam 7.	ECE	P10000171	4500	\$12.00
08/12/19	Lee, Tam 7.	ECE	P10000171	4501	\$12.00
Sub Totals:					\$45.00
Grand Totals:					\$45.00



September 10, 2019

Via Email

Re: RFP 6113 Z1

TO WHOM IT MAY CONCERN:

Reference is made to the State of Nebraska, Department of Administrative Services, Materiel Division, State Purchasing Bureau, and its Request for Proposal Number 6113 Z1 (the "RFP") for the purpose of selecting a qualified bidder to provide an Electronic Visit Verification Solution. Under separate cover, Sandata Technologies, LLC ("Sandata"), is submitting a proposal in response to the RFP ("Sandata's RFP Response").

The RFP states that "in furtherance of the State's public records Statute (Neb. Rev. Stat. § 84-712 et seq.), all proposals or responses received regarding this RFP will be posted to the State Purchasing Bureau public website" and that the Bidders must request and identify the proprietary information to be excluded from the posting. The RFP goes on to state that the "bidder must submit a detailed written document showing that the release of the proprietary information would give a business advantage to named business competitor(s) and explain how the named business competitor(s) will gain an actual business advantage by disclosure of information. The mere assertion that information is proprietary or that a speculative business advantage might be gained is not sufficient. (See Attorney General Opinion No. 92068, April 27, 1992). The State will then determine, in its discretion, if the interests served by nondisclosure outweighs any public purpose served by disclosure. (See Neb. Rev. Stat. § 84-712.05(3)) The Bidder will be notified of the agency's decision. Absent a State determination that information is proprietary, the State will consider all information a public record subject to release regardless of any assertion that the information is proprietary."

Sandata's RFP Response contains the following trade secrets, or other proprietary and/or commercial items:

1. The enclosed 2018 audited financial statements (the "Financials");
2. Architectural Diagram in RFP Attachment A, Req #158 ID TEC. 9 (the "Architectural Diagram");
3. Product Roadmap in RFP Attachment A, Req #169 ID TEC. 20 (the "Product Roadmap");
4. Sandata's confidential commercial information:
 - a. Sandata's Ownership Information, RFP §A;
 - b. Sandata's Banking Reference, RFP §B; and
 - c. Sandata's Contract Performance Information, RFP §G (Section 2(a)-(c) are collectively referred to as "Sandata's Confidential Information")

The Financials, Architectural Diagram, Product Roadmap and Sandata's Confidential Information are collectively referred to as the "Documents."

In accordance with Nebraska Revised Statute §84-712.05(3), by this letter Sandata is requesting that the Documents be withheld from the public for the reasons set forth herein.

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Under §87-502(4) of Nebraska's Trade Secrets Act, a trade secret is defined as "information, including, but not limited to, a drawing, formula, pattern, compilation, program, device, method, technique, code, or process that: (a) Derives independent economic value, actual or potential, from not being known to, and not being ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (b) Is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. Examples of trade secrets under §87-502(4) are (1) a recipe can be considered a trade secret, *see Magistro v. J. Lou, Inc.*, 270 Neb. 438, 703 N.W.2d 887 (2005) or (2) a customer list can be included in the definition of a trade secret, *see Home Pride Foods v. Johnson*, 262 Neb. 701, 634 N.W.2d 774 (2001).

Sandata strives to maintain the confidentiality of certain information about its business and accordingly limits access and only provides such information pursuant to executed agreements that require the recipient to maintain the confidentiality of the information, and prohibit the disclosure or duplication of such information, including information contained within the Documents. Sandata is a private company and the information contained in the Documents are accessible only by Sandata employees who have a need to know. We use a variety of measures to guard the secrecy of the information including administrative, physical, legal and technical controls. The Financials, Architectural Diagram and Product Roadmap are each extremely valuable to Sandata and were created with the expenditure of substantial time, money and effort. For example, the Architectural Diagram represents the Sandata EVV application architecture which includes the end to end process of how visit and other data is transmitted between applicable services and system environments. This process is unique and proprietary to Sandata. Sandata invests a significant amount of time in architecting its environments and back-end processes. This unique architecture is foundational to our position as leaders in the home healthcare market. Similarly, the Product Roadmap summarizes our strategic product initiatives and highlights how Sandata synthesizes information from its client base to create a product roadmap that is innovative and client-centric. Of necessity, this is unique to Sandata and how it has iterated products over the many decades of its existence. Disclosure of our future product plans would be detrimental to our advantage over our competitors.

Sandata derives economic value from the Financials, Architectural Diagram and Product Roadmap – each of those documents are Sandata's unique trade secrets that are not generally known and are extremely valuable to Sandata's business. All of our proposals responsive to public procurements contain a similar request that such information remain private and confidential and not be subject to public disclosure. While there is no case law squarely on point, by way of example, the Delaware the court found that publicly disclosing a unique form contract would have put the plaintiff "at a competitive disadvantage among its peers...who operate [similar] systems or who are looking to enter that market." See *Heron Bay P.O.A v. Cooter Sunrise, LLC et al.*, 2013 WL 3871432 (Del. Ch. Jun. 27, 2013) and granted trade secret protection to the unique form contract. Thus, the Financials, the Architectural Diagram and the Product Roadmap would seem to fall squarely within the definition of a "trade secret."

In addition to trade secrets, the other type of information covered by Nebraska Revised Statute §84-712.05(3) is "other proprietary or commercial information." Sandata's Confidential Information falls within this category. This information is proprietary and confidential and not known to the general public. Contained within it is information about our ownership structure, financial information about our banking reference, and detailed



information about the outcomes of our various state contracts, including contracts that were not renewed or that had performance penalties.

Two Attorney General Opinion letters set out that “nondisclosure must be based upon a showing that a specified competitor[s] may gain a demonstrated advantage by disclosure rather than upon an assertion that some unknown business competitor may gain some unspecified advantage.” (see Attorney General Opinion No. 92068, April 27, 1992 and Opinion No. 97033, June 4, 1997). On each state electronic visit verification request for proposal Sandata encounters a similar group of competitors, such as Therap, Conduent/Tellus, First Data, HHAX, FEI, and Healthstar (collectively, “Sandata Competitors”). Disclosure of the Documents, or any portion thereof, would give a competitive advantage to Sandata’s Competitors in that we vigorously compete with one another in order to win a state RFP and disclosure of nonpublic commercial information would give a decided advantage in the RFP bid process. Disclosure of the Documents would not only cause Sandata to lose its trade secret protection over the Financials, Architectural Diagram and Product Roadmap but would, moreover, cause substantial competitive harm to Sandata as the Sandata Competitors would be in possession of significant material nonpublic information about Sandata and use of this confidential proprietary/commercial information would place us at a competitive disadvantage for future State RFPs and, generally, in the home healthcare industry, which is the industry that Sandata’s business model is based on. Stated differently, under Nebraska Revised Statute §84-712.05(3), if the Documents were released, such disclosure would clearly “give [an] advantage to business competitors” at Sandata’s expense.

Unlike other similar state statutes, Nebraska’s nondisclosure statute adds an additional prong that would apply both to trade secrets and other proprietary or commercial information. Not only does Sandata have to demonstrate that disclosure of the information “would give advantage to business competitors” but that is also would “serve no public purpose.” In Aksamit Resource Mgmt. v. Nebraska Pub. Power Dist., 299 Neb. 114 (February 23, 2018), the Supreme Court states that a “public purpose has for its objective the promotion of the public health, safety, morals, security, prosperity, contentment, and the general welfare of all the inhabitants.” That case turned on the fact that the NPPD was not a private company but a “public corporation organized for the purpose of generating...electrical energy...” (see Aksamit, pages 125 and 126). As a “public corporation” the Supreme Court found that “if a district wishes to acquire an existing system for electric light and power...a copy of the proposed contract must be open to public inspection for a period of time before being executed.”

In the case of private companies, Aksamit is inapposite and does not apply. The advantage that the State of Nebraska gains and one of the purposes of requiring competitive bids, is to have private companies compete against one another in order to win the state’s business. In order to ensure competitive processes going forward, it is in the state’s best interests to keep trade secrets and other proprietary or commercial information confidential in order to encourage companies to provide a best and final offer. Further, the state has a vested interest in receiving all of the relevant information in order to properly evaluate such bids. Disclosing proprietary or commercial information could result in a chill in subsequent RFP disclosures that would not be beneficial for the state. Most, if not all companies, have restrictive processes in place in order to keep critical business information confidential. Therefore, in this case, it would harm the public purpose to disclose competitive confidential information.



For the reasons set forth herein, we respectfully request that the Documents not be publicly disclosed and be given confidential and proprietary treatment. Thank you for your time in this matter. If you have any questions, please do not hesitate to contact me at (516) 484-4400, extension 1299 or KFaltischek@sandata.com.

Sincerely,

A handwritten signature in black ink, appearing to read 'KFaltischek', written over a horizontal line.

Kenneth D. Faltischek
COO

Sandata Change Management Process

Requests for changes or enhancements are submitted to Sandata through the Implementation/Account Manager who documents each request in Project Tracker. The Product Management Committee meets regularly to review all requests. The contracting entity will participate throughout the entire process from request initiation to acceptance testing.

Note: Sandata reserves the right to approve or deny all customization requests and apply any and all updates or upgrades at our discretion based on capacity and priorities to support our client base.

The primary stages of change management include:

- 1) **Request Initiation:** The contracting entity submits a change request to Sandata's Project Management Team (during implementation) or Account Management Team (following go-live).
- 2) **Business Case:** Following receipt of a Change Request a business case document is created. The purpose of the business case document is to establish the business case for the Change Request. If the contracting entity approves the Business Case, a Preliminary Assessment is conducted.
- 3) **Preliminary Assessment:** Sandata will complete and deliver to the contracting entity a preliminary assessment that will indicate whether or not the system as configured includes the functionality requested and, if not, a determination of whether or not Sandata will make any change to the system. If it is determined in the Preliminary Assessment that the System as configured does not include the functionality that meets the objectives of the change request, Sandata will notify the contracting entity whether or not the proposed changes could result in potential costs to the contracting entity. Upon approval, business requirements are then developed.
- 4) **Business Requirements:** Sandata will complete the following in this stage:
 - *Business Analysis:* Sandata will assign a business analyst resource. A meeting is established between Sandata and the contracting entity to discuss the Change Request in more detail. A Business Requirements Document is the output of this meeting.
 - *Final Assessment:* Sandata's Product Management Team reviews all information and determines if the implementation of the recommended solution is feasible, and if so, prepares an estimated cost. The contracting entity reviews the final assessment and determines whether or not to move forward or withdraw its change request. Upon approval, a formal proposal is prepared.

5) **Proposal:** Upon receipt of written request from the contracting entity, Sandata will submit a Formal Change Proposal. The contracting entity at that point can either withdraw, request modifications or approve. If modifications are required, the process starts anew. If the contracting entity notifies Sandata of its acceptance of the Proposal, the contracting entity and Sandata will enter into a written amendment to the Agreement detailing the changes to the System to be implemented and, if applicable, revising the amount to be paid by the contracting entity under the Agreement. The amendment will include as attachments, the implementation plan, schedule, and the Proposal. Upon receipt of the signed amendment, development work will begin according to the agreed upon schedule.



EVV PROGRAM MONTHLY STATUS REPORT – MM YYYY

Director, Payer Implementation -





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OVERALL PROJECT STATUS

Overview Project Status: **Green/ Yellow/ Red**

Workstream Updates:

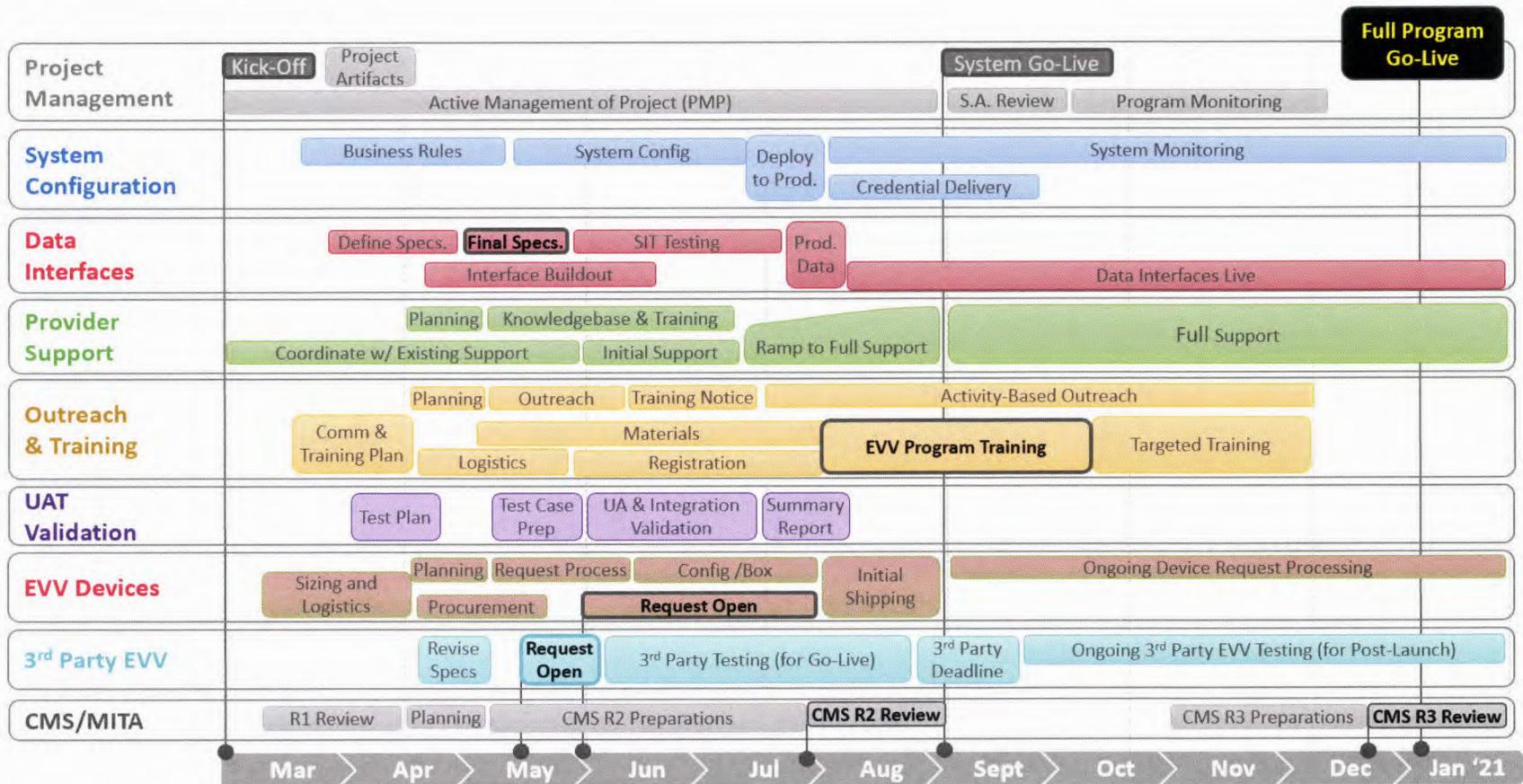
- **Functional Design Review**
 -
- **Technical Design Review**
 -
- **User Acceptance/ System Integration Testing**
 -
- **Outreach**
 -
- **Provider Support**
 -
- **Training**
 -
- **CMS/ MITA Support**
 -
- **Miscellaneous**
 -

All teams continue to work toward completion of the upcoming major milestones.

UPDATED PROJECT SCHEDULE/ WORK PLAN

Please see attached submission for updated Project Schedule/ GANTT chart. This GANTT reflects the current status of project tasks, including changes to the project schedule and percentage of tasks complete.

High-Level Work Plan





SUMMARY TASK SCHEDULE

Task status is available via the attached GANTT chart submission.

Completed Tasks

Task Name	Date

Upcoming Tasks

Task Name	Date

SUMMARY ISSUE STATUS

EVV Issues



Critical Open Issues

- **Issue #1:**
 - Description:
 - Status/ Resolution:
- **Issue #2:**
 - Description:
 - Status/ Resolution:



Upcoming Milestones

- Program Workbook Sign-Off – Due Date
- Technical Design Sign-Off – Due Date
- Sandata EVV Build – Projected Date of Completion
- UAT/ SIT
- Training
- System Live

Details of all significant project risks and issues are continuously maintained in the Risk and Issues Log.

SUMMARY RISK STATUS

Risk #1:

- Description:
- Mitigation/ Resolution:

Risk #2:

- Description:
- Mitigation/ Resolution:

TESTING RESULTS

Details of all tests results will be reported via the issuance of Test Results Packets at the end of each test cycle. Testing details and deliverables can be reviewed in the Master Test Plan.

STAFFING UPDATES

SYSTEM INTEGRATION ACTIVITIES

DRAFT: Client Program Implementation Schedule

ID	Task Name	WBS	Duration	Start	Finish	Predecessors	Resource Name
1	Client Program Implementation Schedule	1	133 days	Mon 4/1/19	Wed 10/2/19		
2	Contract Award/Execution	1.1	0 days	Mon 4/1/19	Mon 4/1/19		
3	Project Initiation and Planning	1.2	6 days	Mon 4/1/19	Mon 4/8/19		
4	Kick-Off Meeting	1.2.1	0 days	Mon 4/1/19	Mon 4/1/19		
24	Post Kick-Off Meeting	1.2.2	6 days	Mon 4/1/19	Mon 4/8/19	4	
29	Program Requirements Analysis and Design	1.3	30 days	Mon 4/8/19	Fri 5/17/19		
30	Business Rules (Program Design)	1.3.1	24 days	Tue 4/9/19	Fri 5/10/19		
41	Data Interface Design	1.3.2	30 days	Mon 4/8/19	Fri 5/17/19	4FS+5 days	
52	System Configuration and Deployment	1.4	96 days	Fri 4/12/19	Fri 8/23/19		
53	System Configuration	1.4.1	55 days	Mon 5/13/19	Fri 7/26/19	30	
62	Configuration Validation	1.4.2	5 days	Mon 7/29/19	Fri 8/2/19	53	
71	Initial Deployment	1.4.3	50 days	Mon 6/17/19	Fri 8/23/19	62	
75	Data Intake / Exchange	1.4.4	56 days	Fri 4/12/19	Fri 6/28/19		
99	User Acceptance (UAT) and Integration Testing	1.4.5	32 days	Mon 6/24/19	Tue 8/6/19		
146	Production Deployment	1.4.6	1 day	Wed 8/7/19	Wed 8/7/19	99	
152	Project Implementation	1.5	125 days	Tue 4/9/19	Mon 9/30/19		
153	Outreach Workstream	1.5.1	70 days	Tue 4/9/19	Mon 7/15/19	3	
179	Training Workstream	1.5.2	125 days	Tue 4/9/19	Mon 9/30/19	3	
220	Provider Support Workstream	1.5.3	105 days	Tue 4/9/19	Tue 9/3/19	3	
233	EVV Devices Workstream	1.5.4	121 days	Tue 4/9/19	Tue 9/24/19	3	
243	3rd Party EVV Workstream	1.5.5	124 days	Tue 4/9/19	Fri 9/27/19	3	
250	CMS / MITA Workstream	1.5.6	94 days	Tue 4/9/19	Fri 8/16/19	3	
251	Tools & Methods Understanding	1.5.6.1	20 days	Tue 4/9/19	Mon 5/6/19		
252	CMS R1 Results Review	1.5.6.2	10 days	Tue 5/7/19	Mon 5/20/19	251	
253	CMS R2 Preparations	1.5.6.3	49 days	Tue 5/21/19	Fri 7/26/19	252	
254	CMS R2 Review	1.5.6.4	15 days	Mon 7/29/19	Fri 8/16/19	253	
255	Go-Live Phase	1.6	53 days	Mon 7/22/19	Wed 10/2/19		
256	EVV Production Data Intake Begins	1.6.1	0 days	Mon 7/22/19	Mon 7/22/19		
257	Provider Data Feed	1.6.1.1	0 days	Mon 7/22/19	Mon 7/22/19	76	Client
258	Member Data Feed	1.6.1.2	0 days	Mon 7/22/19	Mon 7/22/19	76	Client
259	Authoirzation Data Feed	1.6.1.3	0 days	Mon 7/22/19	Mon 7/22/19	76	Client
260	Program Go Live	1.6.2	1 day	Wed 10/2/19	Wed 10/2/19		
264	Post Implementation and Stabilization	2	180 days	Thu 10/3/19	Wed 6/10/20		
265	Account Management	2.1	53 days	Thu 10/3/19	Mon 12/16/19	260	
267	Outreach Workstream	2.2	30 days	Thu 10/3/19	Wed 11/13/19	260	
271	Training Workstream	2.3	43 days	Thu 10/3/19	Mon 12/2/19	260	
276	CMS Workstream	2.4	180 days	Thu 10/3/19	Wed 6/10/20	260	
277	CMS R3 Production Metric Gathering	2.4.1	180 days	Thu 10/3/19	Wed 6/10/20		
278	Provider Support Workstream	2.5	43 days	Thu 10/3/19	Mon 12/2/19	260	
282	Project Closure	2.6	13 days	Thu 11/28/19	Mon 12/16/19	260FS+40 days	

Electronic Visit Verification Program

Master Test Plan

Created for:

JANUARY 18, 2018

v10

FINAL VERSION



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Revision History

Revision	Date	Author	Comments
v01	01/20/2016		
v02	09/23/2016		
v03	10/25/2017		
v04	11/3/2017		
v05	11/21/2017		
v06	12/8/2017		
v07	01/2/2018		
v08	01/10/2018		
v09	01/17/2018		
v10	01/18/2018		



1. Introduction

This document is the Master Test Plan required by the Client Name Electronic Visit Verification (EVV) Project. The document provides Client Name with written documentation of the processes, procedures, and expectations for testing.

1.1. Purpose

The purpose of the Master Test Plan is to document and guide the approach to testing throughout the life cycle of the project. It provides descriptions of the testing approach and processes; testing framework, including how testing will be managed and executed; the testing levels: system, integration, User Acceptance Test (UAT); and testing tools. It provides the foundation for the other detailed test plans developed in the project.

1.2. Scope

This document specifically applies to the following test levels for the EVV system:

- Construction and Unit
- Integration Testing
- System Testing
- Interface Testing
- Regression Testing
- Security Testing
- Performance Testing
- Usability/Accessibility Testing
- Language Testing
- Browser Testing
- Mobile Device Testing

This document includes a summary of the following testing levels and detail will be addressed in subsequent deliverables:

- Detailed User Acceptance
- Alternate EVV Interface Testing Process for Providers
- Operational Readiness (Operational Readiness has not been approved by Client Name)



This document will not include the following test levels and will be addressed in subsequent deliverables:

- Business Continuity
- Disaster Recovery

1.3. Roles and Responsibilities

Sandata and Client Name roles and responsibilities are outlined in the following table:

Table 1: Roles and Responsibilities

Role	Responsibility
Product Owner (Sandata)	<ul style="list-style-type: none">• Document business rules and system requirements• Enter business rules and system requirements in test management systems• Validate test case success meets business rules and system requirements
Configuration Manager (Sandata)	<ul style="list-style-type: none">• Defines and manages the software release plan for Development, Test, UAT, and Production environments• Communicates test level release build content
Database Administrator (Sandata)	<ul style="list-style-type: none">• Responsible for database readiness and availability
Developer (Sandata)	<ul style="list-style-type: none">• Performs coding and configuration changes• Researches findings identified during the testing process and remediates defects• Has primary responsibility for Unit Testing• Creates testing artifacts; including Unit Test plans, Unit Test suites, Unit Test scripts, and Unit Test results
Test Manager (Sandata)	<ul style="list-style-type: none">• Review the documentation to understand the customer's requirements. Start to plan how to test.• Work with Test team to arrange for assignment and estimation• Review contents and format of the Test Plan and sign as the Reviewer• Review the defects and verify the defect is truly an error and not a tester error. Also verifies that the defect is addressed and retested properly.• Assign defect to developer for reproducing/finding root cause and fixing defect



Role	Responsibility
	<ul style="list-style-type: none">• Verify the Test Cases are complete, output is included, and the tester(s) completed the Test Cases correctly• Review Test Summary Report and Traceability Matrix• Gather all the Test Documentation, verify everything is completed and orderly, and submit to PM
Test Lead (Sandata)	<ul style="list-style-type: none">• Complete the Test Plan template, entering all the study specific information, team, timeline, scenarios, and instructions. Create the Traceability Matrix indicating which requirements need to be tested and the associated scenario(s)• Verify the Test Cases are complete, follow the Test Plan, and test the functionality of configuration• Populate the sections of the Test Summary that are known, for instance on the Trace Matrix enter the requirement numbers and the test ids• Conduct Client Name UAT tester training• Support testers during all four phases of UAT testing
Tester (Sandata)	<ul style="list-style-type: none">• Write the Test Cases as specified in the Test Plan in compliance with the requirements• Update the Traceability Matrix with the Test Case numbers where each requirement is tested• Follow test cases and test the configuration• When a test outcome varies from the Expected Results enter a defect in the defect tracking system• After the defect is resolved and the status updated to "In Test". Retest, if the outcome varies from the Expected Results, update the status of the defect to "Open"• Review the executed Test Cases, mark the output, and verify the output is included with the tests
Client Name (for UAT)	<ul style="list-style-type: none">• Select appropriate staff to participate in UAT• Provide relevant access to Client Name test systems needed to execute test scripts (or simulated access/data)• Provide necessary meeting room and workstations for a dedicated physical UAT environment for the duration of the UAT period• Set up security roles access for UAT• Attend walkthroughs, training, and UAT-related meetings• Provide feedback on test plan and test cases



Role	Responsibility
	<ul style="list-style-type: none"> Execute testing according to the agreed test suite Provide timely feedback to Sandata Review and sign off on UAT Test Results Package and UAT Acceptance Sign-off form

1.4. References

The following table represents the testing RFP requirements.

Table 2: RFP Requirements

RFP Reference	RFP Text	Document Section
4.0	The Contractor will perform and/or support testing cycles throughout the project. Those testing cycles may include, but is not limited to, the following: -Construction and Unit Test -System Testing (to demonstrate that the applications function correctly on Offeror's hardware in a production type environment) -Integration Testing -Interface Testing -User Acceptance Testing (UAT) -Operational Readiness Review (ORR)	2.5
4.1	The Offeror must include a Master Test Plan in the Proposal.	See Proposal
4.1.1	The Master Test Plan must document and guide the approach to testing throughout the life cycle of the EVV Project.	2.5
4.1.2	The Master Test Plan must specify the testing cycles that will be utilized.	2.5
4.1.2.1	If the Offeror is not including any of the testing cycles listed above, the proposal will explain in detail why the testing cycle is not required and how any risk that results will be mitigated.	See proposal
4.1.3	The Master Test Plan must include the definition of test philosophy, including objectives, required or types of testing, and basic strategy.	2.2
4.1.3.1	The Master Test Plan must include the Offeror's strategy for maintaining testing environments to facilitate all testing cycles and testing needs.	2.3
4.1.3.2	The Master Test Plan must explain the strategy for reporting impacts resulting from changes implemented through the change management process.	2.4
4.1.3.3	The Master Test Plan must explain the strategy to be used for creating and populating the test database and maintaining the files during the iterative testing.	2.2
4.1.3.4	The Master Test Plan must explain the strategies for collaboration and sharing of test cases with Client Name, its staff and its designees to support applicable testing cycles.	UAT Plan
4.1.4	The Master Test Plan must describe testing activities.	2.5
4.1.4.1	The Master Test Plan must explain how the testing will satisfy specific objectives and demonstrate that the requirements are met.	2.5



RFP Reference	RFP Text	Document Section
4.1.4.2	The Master Test Plan must specify which design modules will undergo control or data flow analysis.	2.5
4.1.4.3	The Master Test Plan must explain how each phase of testing is determined to be complete. Include any formal reports and/or debriefings that will be conducted.	2.5.1 & 5
4.1.4.4	The Master Test Plan must explain the testing facilities, environment and specific testing tools that will be used.	2.3 & 3
4.1.4.5	The Master Test Plan must explain the processes and procedures that will be used for releasing testing results, data reduction and analysis, and review of test results.	5
4.1.4.6	The Master Test Plan must explain how pass-fail criteria and testing time frames will be established.	2.2.2
4.1.4.7	The Master Test Plan must explain how testing results will be tracked.	4
4.1.4.8	The Master Test Plan must explain the process that will be used to establish acceptance criteria that determines whether a phase of testing has been completed. Criteria will include items such as number and types (severity/priority) of defects.	2.5.1
4.2	The Contractor will develop a Final Master Test Plan for the EVV project. The Final Master Test Plan will update/refine the Proposed Master Test Plan.	Revision History
4.2.1	The Final Master Test Plan will include at least the testing cycles included in the Proposed Master Test Plan.	2.5
4.2.2	The Final Master Test Plan will be submitted to Client Name within 45 days of the start of the contract for review and approval.	Revision History
4.2.2	The Final Master Test Plan will address, at a minimum, all items included in the Proposed Master Test Plan.	See Proposal
4.2.3	The Final Master Test Plan will specify pass fail criteria.	2.2.2
4.2.4	The Final Master Test Plan will establish testing time frames.	Project Schedule
4.2.5	For each testing cycle, specify each of the following: <ul style="list-style-type: none"> -Facilities/tools to be used; -Staff resources the Offeror will provide; -Staff resources, if any, Client Name will provide; -Method for review of test case and procedures; -Configuration management; -Procedures for releasing test results; -Test data refreshing; -Planned testing environment; and -Acceptance criteria. 	1.3, 2.5, 2.3, 2.4, 3 & 5
4.2.6	Any changes to the Final Master Test Plan will be implemented only after written approval by Client Name	Revision History
4.3	The Contractor will coordinate all testing activities as directed by Client Name.	UAT Plan
4.4	For each testing cycle included in the Final Master Test Plan, the Contractor will prepare a comprehensive set of test scenarios, with applicable test cases and expected test results.	2.5
4.5	The Contractor will provide Client Name and/or its designees access to test cases and test data to facilitate execution of applicable testing cycles	UAT Plan



RFP Reference	RFP Text	Document Section
4.6	The Final Master Test Plan must include User Acceptance Testing to provide an opportunity for Client Name users and Contractor staff to determine the adequacy of the system design and functionality.	2.5.13
4.6.1	User Acceptance Testing will only be conducted on a fully tested and operations-ready EVV, including all software features.	UAT Plan
4.6.2	User Acceptance Testing will be conducted in a controlled environment separate from all other environments using cycle times determined mutually between the Contractor and Client Name.	UAT Plan
4.7	For each phase of testing, the Contractor will prepare and deliver the following documentation to Client Name: -Test Materials Packet; -Updated Requirements Traceability Matrix with test results; -Test Results Packet; and -Offeror Certification of Successful Test Completion.	UAT Plan
4.7.1	The Test Materials Packet must include at least the following documents: -Test Cases; -Expected Results; -Test Procedures; and -Test scripts.	UAT Plan
4.7.1.1	Test scripts will include, at a minimum, roles and responsibilities of the Contractor and Client Name personnel. Application scripts, operating system scripts, constraints, initialization, termination, actions to perform in case of error, data analysis procedures, and interfaces exercised.	UAT Plan
4.7.1.2	The Contractor must refine the test procedures and scripts throughout the life of the system to reflect the as-built design and current requirements.	2.2.2
4.7.2	The Test Results Packet will include at least the following documents: -Transmittal Report; -Test Log; -Incident Report; and -Summary Results Report.	UAT Plan
4.7.2.1	The Summary Results Report will include identification of the items, features, and operations tested; a summary of all features and operations tested and the test steps taken.	UAT Plan
4.7.2.2	The Summary Results Report will include a summary of the results of testing for each operation and feature tested including any limitations of the testing strategy.	UAT Plan
4.7.2.3	The Summary Results Report will identify variances from expected results, including recommendations for corrective action or alternative solutions for each variance noted.	UAT Plan
4.7.2.4	The Test Results Packet will include a comprehensive assessment of readiness for subsequent test phases or for statewide operation.	UAT Plan
4.8	The Contractor will address and resolve all defects identified in testing cycles.	2.2.4
4.9	The Contractor will resolve all system abends identified in testing cycles.	2.3



RFP Reference	RFP Text	Document Section
4.10	The Contractor will perform system testing for all change requests to include regression testing, before changes are promoted to the production environment.	2.5.4
4.11	The Contractor will conduct walk-throughs of system changes that are ready to be moved into the production environment including but not limited to an online demonstration and a discussion of programs that are impacted by the system change, as specified by Client Name.	2.4
4.12	The Contractor will provide Client Name weekly reports of testing status that cover the status of testing scheduled for that week, including metrics on number of tests completed, number deferred or cancelled, results of the tests executed, defects identified, by level and corrections undertaken.	5
4.13	The Contractor will conduct an Operational Readiness Review (ORR) prior to statewide implementation of the EVV project. The ORR involves validating all the operations and hardware, software, and the telecommunications aspects of the EVV solution. This review will involve comparing all operational components of the replacement system against the ORR checklists.	ORR Plan
4.13.1	The ORR task is designed to ensure that the Contractor and the EVV solution are ready to perform the basic functions, meeting all reporting requirements, using a properly functioning data communications network, meeting system performance requirements and having demonstrated back up capacity.	ORR Plan
4.13.2	The Offeror must propose an ORR plan.	ORR Plan
4.13.3	The Offeror's ORR Plan must include extensive checklists for each functional area containing items related to the preparedness of that function for a successful implementation.	ORR Plan
4.13.4	The ORR plan and ORR checklists will be submitted Client Name for review and approval within 60 days of the start of the contract.	ORR Plan
4.13.5	After initially approved by Client Name, the ORR plan and checklists must be changed only with written approval by Client Name.	ORR Plan
4.13.6	ORR testing must include a volume test of thirty calendar days of production capacity volumes to demonstrate that the EVV solution and Offeror staff is prepared for full production.	ORR Plan
4.13.7	The Offeror must provide Client Name completed ORR checklists within timeframes established in the approved ORR plan	ORR Plan
4.13.8	The Contractor will document all issues, problems and defects identified through the ORR	ORR Plan
4.13.8.1	The Contractor will propose solutions for all issues, problems and defects identified through the ORR.	ORR Plan
4.13.8.2	The Contractor will develop an ORR Corrective Action Plan.	ORR Plan
4.13.8.3	The Contractor will document the completion of the ORR Corrective Action Plan.	ORR Plan
4.13.8.4	The Contractor will update user manuals and other system documentation as needed. Those changes will be reviewed and approved by Client Name in accordance with Section 12.	ORR Plan
4.13.8.5	The Contractor will prepare and submit to Client Name an ORR Report that demonstrates that the Offeror and EVV are ready to begin operations.	ORR Plan



1.5. Document Maintenance

This document contains a change history log. When changes occur, the document's change history log will reflect an updated version number, as well as the date, the owner making the change, and a description of the change.

This document may be updated upon agreed changes to scope, direction, or schedule and may reflect changes to approach, processes, reporting, or communication

2. Test and Evaluation Management Plan Process Overview

2.1. Methodology

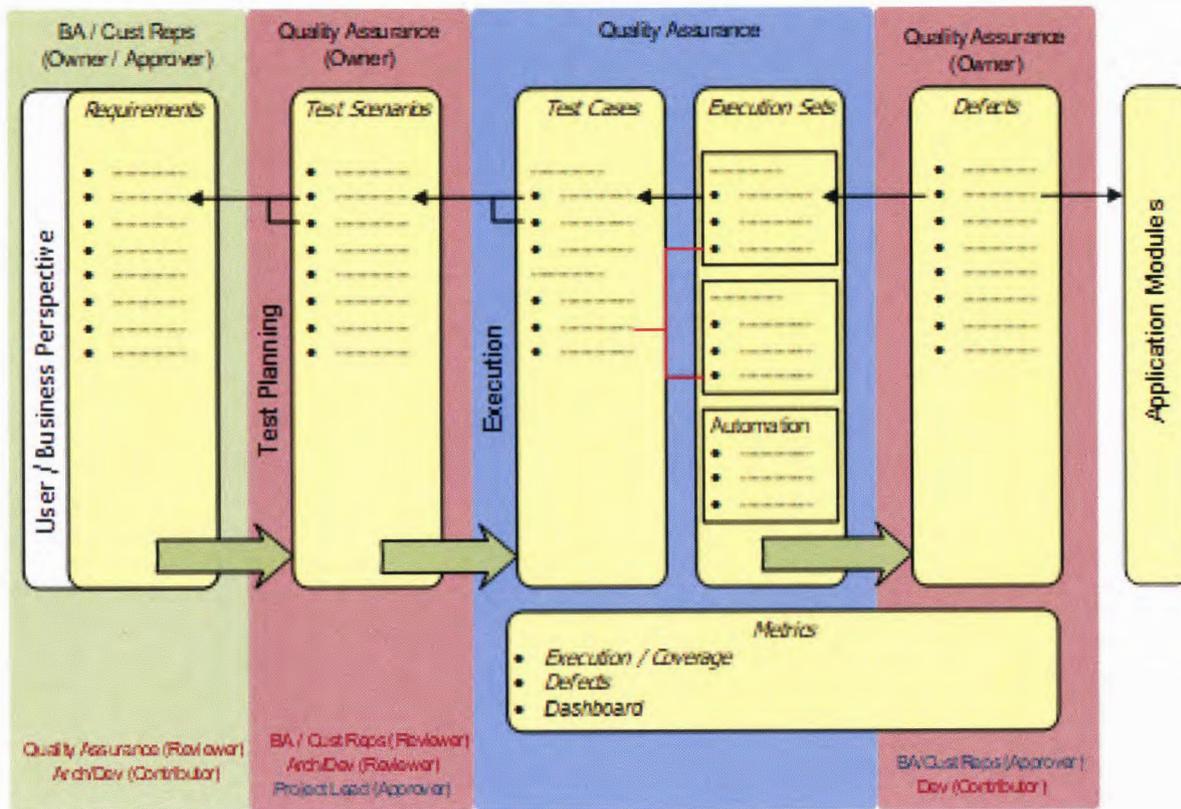
Adherence to high quality standards and compliance with all regulations is the focus of delivery for the testing team at Sandata. Our seasoned testing team follows a test-driven development methodology approach that allows transparency of testing progress and detailed auditability/traceability of all activities performed. The Sandata software development life cycle (SDLC) aligns with the following:

- Capability Maturity Model Integration (CMMI)
- Project Management Institute's "A Guide to the Project Management Body of Knowledge" (PMBOK Guide, 4th edition)
- International Organization for Standardization/Institute of Electrical and Electronics Engineers (ISO/IEEE) 12207-2008 System and Software Engineering – Software Life Cycle Processes for Quality Management approach.

The diagram below summarizes the involvement of the testing team with the Business owners for projects within Sandata:



Figure 1: Test team integration with Business Owners



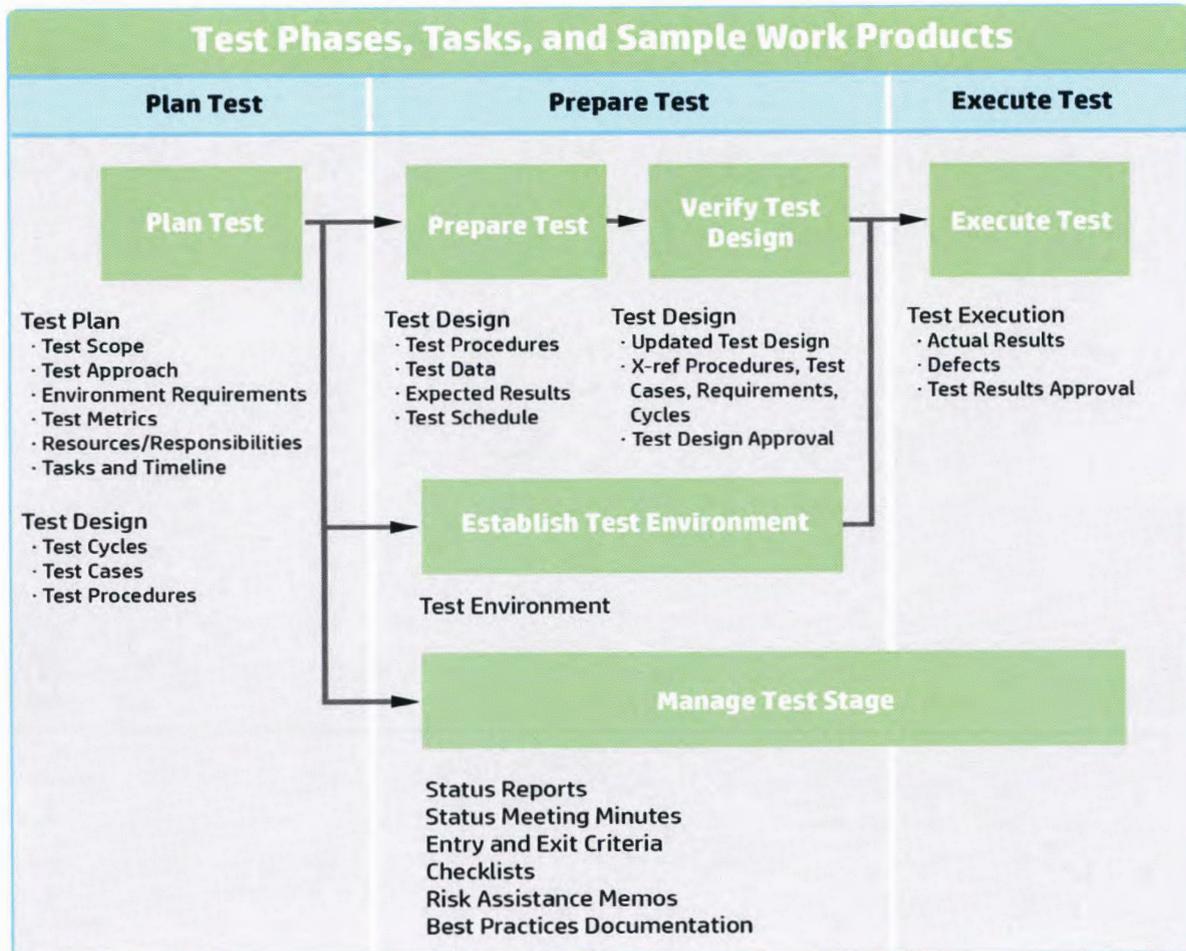
2.2. Approach

The Sandata test process comprises three major phases: Test Planning, Test Design, and Test Execution. A well-structured test approach, consistent across test levels, is essential to produce a high-quality system. A consistent set of test methods is used across each test level. Each test level includes the following list of common activities:

- Test Planning is comprised of activities focused on confirming the scope, approach, environment needs, resources, and schedule of testing activities.
- Test Design is comprised of activities that include completing the test design work, establishing the test environment to support the testing level, and beginning the test management stage of testing that extends through test execution.
- Test Execution includes executing the documented test cases and recording results. Any nonconformance to the expected test case results are identified and managed via the Defect Management Process.



Figure 2: Testing Process



375_275_01_0613

The objectives of each testing level vary, but overall exist to do the following:

- Identify any areas where the system does not meet the business or technical specifications
- Prove the application system interfaces function properly
- Perform test activities that support defect detection
- Ensure panel navigation is working and panel display values are accurate
- Validate expected results using predefined test scenarios and test cases
- Establish a baseline of current system functionality for future changes based on documented requirements
- Incorporate a test design to minimize test rework
- Build user confidence and experience in the application



2.2.1. Test planning (Plan Test)

Test planning focuses on confirming scope, approach, environment needs, resources, and schedule for testing activities.

Test planning activities include the following:

- Confirm the testing scope
- Define the testing approach
- Identify environment requirements to support the testing levels
- Determine testing metrics required to report on test execution progress to the State
- Identify and define the responsibilities of resources required to support the testing process

Test planning requires careful coordination between the product owners, development and test teams to determine testing priorities and risks associated with each requirement for test case development. This action in the planning phase is essential when issues arise later in the testing life cycle. It provides the project team with data to prioritize work when executing test cases, prioritizing defect remediation, and managing testing scope within project constraints.

2.2.2. Test design (Prepare Test)

Test analysis and design activities are performed during this phase, including identifying test scenarios based on the requirements that have been identified as in scope for the testing phase. Multiple test conditions may be identified per scenario to satisfy a requirement, or one test scenario or condition may satisfy multiple requirements. The test conditions are decomposed into test cases. Once cases have been finalized, they will be available for re-use to subsequent levels of testing.

All components of Sandata's Test Cases include the following:

- Pre/Post Signatures - Used to identify who creates and executes Test Cases.
- Test Setup - Comprised of all setting configurations and pre-existing conditions for Test Executions
- Test Actions, Expected Results, Actual Results
- Defect # - indicates defects associated with a particular step
- Pass/Fail Criteria - indicates what is necessary for the step or case to pass
- Test Status - includes Pass, Fail, or N/A
- Output - indicates test evidence or any other outputs needed

Each test case's status will be updated and tracked for use in metrics. A test case's status will not be marked complete until the test steps associated with it have been completed. Additionally, some test cases will be targeted for use in regression testing or perhaps selected to be included in other testing



phases, such as UAT. The requirements, change orders, and associated materials, including the system design documents, will be used in the development of test cases. System requirements and business functions will be documented in the appropriate testing manager. Test cases will be traced to requirements.

Assessing the risk and priority of a requirement during the test preparation phase enables Sandata to prioritize the test cases for test execution selection to align with the testing phase scope and priorities.

Part of test preparation is understanding what software components will be released to the specific test environment and when. This will drive the selection of test cases to execute, the associated data required to support the testing, and the specific sequence of test cases. The tester in each testing phase will work closely with the developer to understand the content of the software release to the testing environment(s).

Differences between expected and actual results outcomes are noted, researched, and explained, or problems are identified and resolved. This testing process is iterative until the desired results are achieved. Appendix A in this document provide a sample of Sandata Mobile Connect test cases showing the expected and actual results through testing.

Testing timeframes will be determined through working with Client Name and delineated in the EVV Project Schedule.

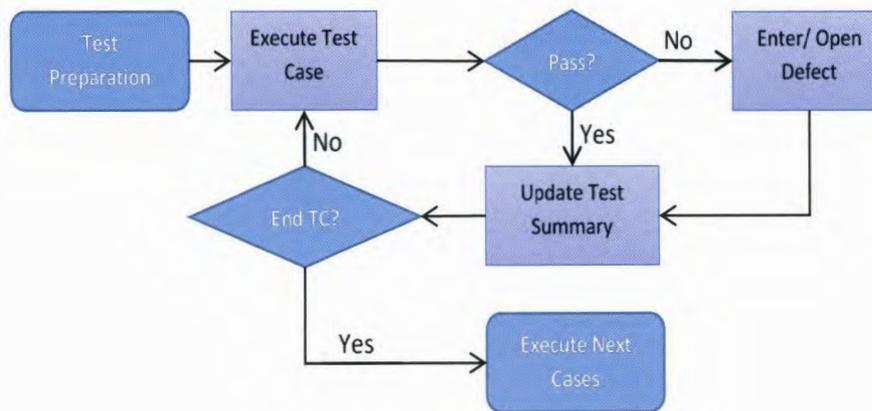
2.2.3. Test execution (Execute Test)

Test execution is the activity of running the finalized test cases identified for the functional areas and determining if they meet the expected results. Test case results are captured and stored in the appropriate test manager. The test management and defect management processes are invoked to manage and measure the test execution results in addition to resolving any potential defects identified. Sandata will use the appropriate test manager to record, track, and manage defects throughout their life cycles. Identifying defects, determining root causes, and defect remediation are essential parts of the SDLC.

The diagram below depicts the test execution work pattern which describes how test execution will occur.



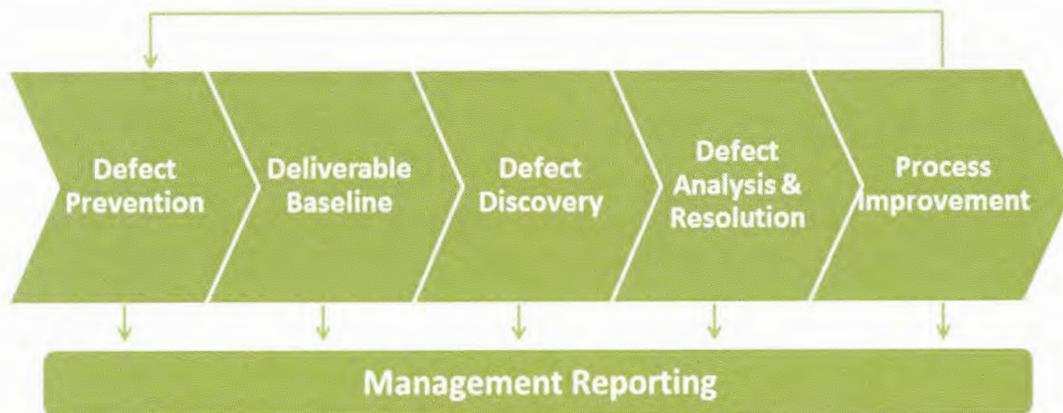
Figure 3: Test Execution Workflow



2.2.4. Defect Management

Sandata has an established defect management process to improve the quality of our software and solutions. By detecting defects throughout each of the test levels, we can reduce the number of defects in our deployed solutions and that allows us to improve the overall customer satisfaction. Our defect management process is summarized in the figure below.

Figure 4: Defect Management Process



Sandata will use Jira (for Sandata Mobile Connect) and Team Foundation Server (TFS) as the Defect Management tools, to track all defects on each level. Sandata developers and testers will follow a defect tracking process to maintain complete and accurate information.



Defect logs will include information about deficiencies identified during testing or other activities. Defect logs will include information such as the following:

- Severity of the defect
- Priority of the defect
- Defect status
- Defect root cause

The following severity codes will be used when recording a finding in TFS or Jira related to the product (system). The severity of a defect indicates the technical impact of a defect.

Table 3: Severity descriptions

Severity Number	Severity Description
0-Blockage	Issue causes a major system limitation, crashing, or system-wide disturbance that prevents use of the system by one or more users.
1-Critical	Identified issue prevents user from accomplishing critical workflow activities within the system with no available workaround.
2-High	Issue has significant impact on the user's ability to complete critical and normal functions in the system, with onerous or costly workaround options.
3-Medium	Issue makes the completion of regular system functions more difficult, but does not prevent the successful completion of work within the system.
4-Low	Issue has minor impact on the function of the system, or an alternate method for completing the same goal is readily available.

2.3. Environments

Sandata will maintain test environments to support various testers in order to test, review and finalize the solution prior to launch. In an effort to minimize the introduction of unintended system behaviors, the Development and Quality Assurance teams work diligently to identify and measure the potential risk of how specific code changes affect the system locally and globally. Sandata will maintain multiple test environments within the network and hardware for the following purposes:

- Development - for the developers to alter, test solutions and perform unit tests.
- Test - for testers to deploy target builds and perform Integration, Regression and Performance Testing.
- UAT – for user acceptance testing by Client Name.
- Production – for performance and security testing prior to full production



To support the testing planned for each environment, it is common that a specific test environment be built/provisioned to support the testing phase. This also allows test scenarios to be run in multiple environments and then the results analyzed for comparative purposes as needed. These scenarios can include ones identified and linked to requirements or can include “what-if” scenarios thought of later in the cycle. Sandata will resolve any network, environment or system failures before proceeding in the testing process.

The following testing environments will be provisioned and made available to testers to support their testing phases. The table below shows that the same test environment is going to be used concurrently for some of the testing levels.

Table 4: Environment by Testing Level

Test Level	Environment Name
Construction and Unit Test	Development
Integration Test	Development
System	Test
Interface	Test
Regression	Test
Security Testing	Production
Performance Testing	Production
Usability/Accessibility Testing	Test
Language Testing	Test
Browser Testing	Test
Mobile Device Testing	Test
Acceptance Testing	UAT

Sandata can take a snapshot or restore point, or refresh a test environment on a set schedule or coordinated for a given request. The application code will be maintained in accordance with the proposed configuration management. The release management process, developed from the Configuration Management Plan, describes the detailed plan for implementing releases to Client Name. It includes the processes and planning activities, roles and responsibilities, and schedule for activities related to deploying new releases in a manner that minimizes impacting system processing. The restore or refresh is validated via turnover to operations. Each environment is separate and distinct from the production environment.

2.4. Release

The release management process provides the capability to easily promote code while maintaining fidelity from one environment to another by incorporating appropriate checkpoints for quality validation. The Configuration Management Plan (CMP) will describe how changes are synchronized and distributed to address promoting changes, including times when simultaneous activities are occurring in multiple environments. The CMP will also describe the connectivity between Client



Name's change management process, Sandata's change management process and releases. Impacts from the change management process will be evaluated, documented and shared with Client Name through the documented processes in the approved Project Management Plan. The Configuration Manager determines where particular changes belong on each release schedule. Once this is determined, Sandata will conduct Client Name through a walkthrough of system changes that are ready to be moved into production.

The release package of approved functionality is tested in the designated test environment. The Configuration Manager ensures that proper sign off on the release package is completed before deploying the release into the next sequenced test environment.

Configuration management:

- Stores versioned file, documents, and project data in a relational database;
- Is easily accessible to facilitate quick and efficient sharing and reuse of data and code;
- Supports recovery of previous versions; and,
- Enables the ability to see the latest version of a file, make updates, and save a new version to the source code repository database.

2.5. Test Levels

The various testing levels involve execution of a software component or system component to evaluate one or more properties of interest. Test cases and their steps are developed to document how the test will be executed. In general, these properties indicate the extent to which the component or system under test:

- Meets the requirements that guided its design and development;
- Responds correctly to all kinds of inputs;
- Performs its functions within an acceptable time;
- Is sufficiently usable;
- Can be installed and run in its intended environments; and,
- Achieves the general result its stakeholders desire.

The integration, interface and performance testing will undergo data flow analysis.

2.5.1. Entrance and Exit Criteria

The entrance criteria and exit criteria have been created from test management best practices. As a quality assurance measure, entrance and exit criteria are reviewed to ensure that criteria has been met. Meeting the criteria in turn ensures that the environment, software, and resources needed to support test



execution are in place. The following tables show the entrance and exit criteria associated with each testing level, except for UAT which is included in the UAT Plan:

Table 5: Entrance Criteria

Entrance Criteria	Construction & Unit	Integration	System	Interface	Regression	Security	Performance	Usability	Language	Browser	Mobile Device
Test Cases Developed, Approved, Identified, and Available		X	X	X	X	X	X	X	X	X	X
Test data available	X	X	X	X	X	X	X	X	X	X	X
Environment Ready	X	X	X	X	X	X	X	X	X	X	X
Design Specifications–Approved	X						X				
Initial System Release has been deployed to test environment and Testing Manager is notified	X	X	X	X	X	X	X	X	X	X	X

Table 6: Exit Criteria

Exit Criteria	Construction & Unit	Integration	System	Interface	Regression	Security	Performance	Usability	Language	Browser	Mobile Device
Test cases have been executed and passed or a workaround has been created	X	X	X	X	X	X	X	X	X	X	X
All Severity 0 and 1 defects have been closed or have a handling plan in place All Severity 2 defects have been closed or have a handling plan in place	X	X	X	X	X	X	X	X	X	X	X
All remaining Open Severity 3 and 4 defects are reported in the Test Phase Summary Report	X	X	X	X	X	X	X	X	X	X	X
Test Results Summary Report delivered			X								



2.5.2. Construction and Unit Testing

Unit testing, also known as white box testing, is intended to uncover and identify errors or defects that occur in the Construction phase of software development. The identification, development, and execution of testing at the Unit Test level typically requires experience with relevant programming languages and knowledge of the internal logic of the system. Therefore, the respective development teams responsible for the design and development of the components will complete unit testing.

Sandata will utilize a combined automated and manual Unit Testing strategy to ensure a high quality of the system at the code level. Designing testable code and building unit tests for the code is a mandatory practice for the Sandata development team. Sandata will use tools such as JUnit or NUnit (depending on the technology stack of the application). Unit testing is performed by our Developers each time the code is checked into the code library for use.

2.5.3. Integration Testing

Integration Testing evaluates the behavior of the whole system rather than the workings of individual components. Additionally, it tests the capability of data to be created, modified, and viewed, not the inherent validity of the data in the environment. Its purpose is to validate end-to-end system features to verify that the system conforms to documented requirements and design specifications.

For validation of the code checked-in by developers, the integration tests will be done daily by the Continuous Integration system setup by Sandata, and the testing team will decide which build will be deployed and tested in the test environment. The Integration testing cycle will start and end with each iteration release of the application, and the activities for each cycle will follow our Testing Process. The integrated application modules are considered to be testable only when they will pass the Integration Tests with no critical defects (as defined by the acceptance criteria within the test strategy).

2.5.4. System Testing

The purpose of System Testing is to perform business functions with the intent of verifying that the system meets the finalized business requirements and to validate an applications accuracy and completeness in performing the functions as required and designed. System Testing validates the functional and structural stability of the application/system, as well as nonfunctional requirements.

System Testing employs Black Box testing techniques and tests the high-level requirements of the system without considering the implementation details of the component modules (e.g., by testing complete transactions).



Before releasing to Acceptance Testing, an end-to-end System Test that ensures all expected functions, including functionality changes from change requests, within the application work as expected. This test will be performed by the testing team. The Release build will be deployed to the test environment that is very similar to a production environment (in the context of network configurations, hardware and software).

2.5.5. Interface Testing

The Sandata test team has a defined approach to ensuring that systems are successfully passing data (and control where applicable) to each other correctly. As part of the business workflow and component verifications, anticipated time-triggered, action-triggered, data-triggered workflows are confirmed for valid behaviors, as well as anticipated error-messages, both from a user's perspective, as well as technical logging perspective are verified. Tests conducted by the team are a combination of user-role based workflows, as well as scheduled system-tasks that are critical in the overall workflow within the application.

In addition to verifying the Interface between various systems for exchanging data and control, the Sandata team also validates the User Interface of the applications under test – this information is discussed under the Usability, Language, Browser, Mobile and Acceptance test sections of the document.

2.5.6. Regression Testing

System regression testing is not an independent test level, but will occur throughout system testing as needed. This will consist of re-executing existing System test cases linked to defects to confirm that defect resolutions do not introduce new, unintended defects and validates that new changes have not broken existing functions.

Sandata has a well-defined communication protocol to ensure existing functionality is not impacted with new builds and releases. To minimize unexpected application behavior, our test teams are always reviewing information from previous releases of the product and actively apply a business workflow approach to ensure proper regression test cases are identified for execution. This is achieved by monitoring the volume and severity of identified defects within Releases, discussions with developers and converting 'tribal knowledge' items to documented artifacts, allowing testers to establish key validation points. The Sandata team utilizes a balanced approach of Automated and Manual testing to minimize the time taken to regression test an application, while continuing to maximize test coverage. The team also performs a root cause analysis on all defects identified during testing, as well as in Production. This enables the test team to establish patterns causing the occurrences of the defects, enabling proper coverage and test streamlining.



2.5.7. Security Testing

Sandata understands the importance of protecting personal data while maintaining the functionality intended within the application. We have a test team that are trained in Health Insurance Portability and Accountability Act Security, and understand the complexities associated with testing applications for security when interfacing with third-party applications, configuration & session management, authorizations and authentications, secure transmissions, data & error validations, business logic, and denial of services. Security testing is performed during our test release cycles by leveraging industry best-practices (such as Open Web Application Security Project (OWASP) methodologies, documentation, tools and technologies recommended by the OWASP Foundation.

We also employ other tests at the system and infrastructure layers to provide a level of assurance. This includes network scanning and penetration testing. A penetration test or "ethical hack" evaluates an application's or network's ability to withstand attack. During a penetration test, you authorize an expert (or "ethical hacker") armed with the same techniques as today's cybercriminals to hack into your network or application. This will be addressed in more detail in the Operational Readiness Review.

The primary method of addressing security throughout system development is a combination of user ID and user profiles. Each user involved in system development activities will have a unique user ID. Users will be granted system access based on their role in the project.

The issue of privacy is addressed through different methods. First, depending on the environment, data contained within the database may be scrubbed to remove protected health information (PHI). Second, for any database or data stores that do contain PHI, Sandata makes sure that individuals handling PHI as part of their job responsibilities go through formal training annually, so they understand the issues around access to PHI data.

2.5.8. Performance Testing

Performance Testing will be performed at each major release milestone of the application and before the final release of the software to production. Sandata will use JMeter for the Performance and Load Testing. Defects identified by performance testing will be logged and fixed. A root cause defect analysis will also be performed to identify any performance risks to other areas of the application. Sandata uses a detailed multi-phase approach to baseline the proper performance of its applications. The various phases of the approach evaluate the environment and anticipated user load of the system, identifying business critical functionalities within the application to ensure acceptable response times, benchmarking system performance under regular and heavy use, and recommending alerts for production setups to ensure proactive strategies are in place for maximum system-up time.



Within the test environments, performance is monitored and analyzed during system testing and UAT to determine if immediate actions must be taken to make sure that performance will not become an issue during later stages of testing.

2.5.9. Usability/Accessibility Testing

Sandata is focused on ensuring that our applications are Americans with Disability Act compliant to meet federal and State requirements. The team understands the Web Content Accessibility Guidelines (WCAG), and implements the systems based on WCAG 2.0. Sandata has testers that verify the behavior of the application for being perceivable, operable, understandable, and robust for meeting the accessibility standards under section 508 of the Rehabilitation Act of 1973. The team has a defined set of test cases that are regularly executed, and all defects made are promptly resolved prior to release.

2.5.10. Language Testing

The test team of Sandata is setup to verify the behavior of the EVV device in multiple languages. The testing team is well versed in validating different languages based on the locale and operating system based language setups which are defined using non-US English. The team is experienced in testing US-Spanish, Vietnamese, and UK-English based formats and structures for dates, currency and text orientations. Language tests are tweaked and executed during the regular testing lifecycle, as defined by the requirements from our clients. These tests will also be executed for the Sandata Mobile Connect on the EVV Device in Arabic, Chinese Mandarin, Russian, Spanish and Somali as stated in Attachment 13 of Sandata's RFP response.

2.5.11. Browser Testing

Sandata has a detailed test approach for testing applications across multiple browsers on all available operating systems. Our applications support both Windows and Mac based computer operating systems, and our team verifies the behavior on currently supported versions of Microsoft Internet Explorer, Chrome, Firefox and Safari. Our newer web applications are developed with adaptive user interfaces and are usable on computer browsers as well as tablet devices. The test strategy for the various browsers at Sandata utilizes a combination of actual machines installed with the various browsers, virtual emulators, and cloud-based providers of desktop/mobile browsers such as BrowserStack.

2.5.12. Mobile Device Testing

To support our current and upcoming release of mobile software, the Sandata test team has a defined mobile test approach. Our mobile test cases mimic real-world scenarios of our customers, and validate mobile-only encountered scenarios such as coverage drops, GPS-based activities, connection errors, hardware exceptions, etc. across all popular device/operating system version combinations. Our mobile testing includes a combination of real devices in-house, as well as devices



from device providing services such as BrowserStack, DeviceAnywhere, and Amazon device farm, which provide access to all available variations of operating system and device manufacturers.

2.5.13. User Acceptance Testing

Acceptance Testing is the validation of real users or testers. Acceptance tests will be performed by Client Name team members and providers with close support of Sandata's development team. UAT testing will be performed at the end of testing but before Operational Readiness. The Sandata test team is part of the delivery team that reviews identified issues from Client Name and ensures that all issues can be successfully re-created. We are also proactively recommending (and testing for) areas that are impacted indirectly by any fixes deployed by the developers, to minimize additional defects from being introduced into the system. Specific detail regarding UAT will be provided in the UAT Plan.

2.5.14. Operational Readiness Review (ORR)

The primary objective of an Operational Readiness Review (ORR) is to highlight and demonstrate the readiness of Sandata's infrastructure, personnel and controls surrounding Sandata's preparedness to support Client Name, and to ensure the environment is adequately supported, secured, redundant and fault tolerant. This document illustrates our procedures and measures taken to ensure that the Client Name environment is 'Production Ready'.

The ORR process provides assurance that these objectives are accomplished and documented. The confirmation of these objectives is accomplished by performance-based evaluations, which include (but are not limited to) review of documentation, field observations, interviews, observation of training, integrated system checks, user acceptance testing, and table top walkthroughs of key procedures, etc.

Sample Operational Readiness Review activities includes:

- Testing Activities and Results;
- Configuration Management;
- Data Center Readiness;
- Security and Privacy;
- Operations and Maintenance Planning;
- Documentation needed for Implementation and Operations; and,
- End User Support and Communication.

Specific detail regarding ORR will be provided in the ORR Plan deliverable.



2.5.15. Alternate EVV Interface Testing Process for Providers

Sandata utilizes a self-service approach to testing the interfaces between Alternate EVV Systems (non-Sandata EVV systems, or “third party” systems) and the Sandata Aggregator. This approach allows Agencies with third party EVV systems (or internal proprietary systems) to test the implementation of Sandata' standard interfaces using a self-serve methodology. The designed Alternate EVV Interface Testing Process is specific to the interfaces and rules for the Client Name Department of Medicaid (“Client Name”) EVV program which allows for the receipt of Individuals, Direct Care Workers (DCW) and Visits including call data from a non-Sandata EVV system. All Sandata interfaces in Production, UAT and Development environments utilize Transport Layer Security (TLS) 1.2. Alternate EVV Systems/Third Party Vendors interfacing with Sandata should comply with TLS 1.2 specifications.

The complete Alternate EVV Interface Testing Process can be found in this Client Name approved business process and will be maintained and updated as necessary in the future Client Name Operations Manual.

3. Tools

This section describes the tools utilized in the test phases of the project. Sandata’s suite of testing tools allows for the documentation of testing collateral, test management control, traceability mapping to requirements, and test automation. Together, these tools provide the most comprehensive project testing management support and project transparency.

Table 7: Test Tools

Module	Testing Tool	Purpose	Browser
Interface	J-Meter/PostMan	Functional Testing purpose	
	FileZilla [SFTP]	To Load the file	
	Test Manager	Test Case Repository and Manual Test Execution engine	
	TFS	Project and Requirements/Bugs/Test Cases tracking	
	SQL Developer	DB related Validation	
Sandata Mobile Connect	Mobile Devices	Functional Testing purpose	
	Emulators	Functional Testing purpose and Automation Purpose	
	Jira	Project and Requirements/Bugs/Execution tracking	
	qTest	Test Case Repository and Manual Test Execution engine	
	MySQL	DB related Validation	



Module	Testing Tool	Purpose	Browser
	TFS	Project and Requirements/Bugs/Test Cases tracking	
Reports	Test Manager	Test Case Repository and Manual Test Execution engine	
	TFS	Project and Requirements/Bugs/Test Cases tracking	
	SQL Developer	DB related Validation	
Automation	J-Meter	For Interface Automation	
	Appium	for Sandata Mobile Connect Automation	
	Selenium Web Driver	VM, SJM, ADA, Web app automation	Chrome, Internet Explorer, Fire Fox
	ADA	Jaws for ADA Automation	Chrome, Internet Explorer, Fire Fox
	Java	Programing Language	
	Eclipse	Programing and Scripting Interface	
	Hardware Devices	Android and IOS Mobile devices for Automation	
Log Monitoring	Splunk	To Monitor the logs	Chrome
Telephony	NMQA QABook	Rich client test plan and tracking tool	
	SciTE Autoit Scripting	Scripting language for autodialing.	
	TFS	Test Case Tracking, Feature Description	
	Microsoft Visio	Call flow & feature relationships.	
	MySQL	DB related Validation at Call Server	
	Toad For Oracle	DB results validation	

4. Tracking

The Bi-directional traceability matrix is a map of requirements for the EVV program backwards and forwards. Traceability will be established from the source requirements to its lower level requirements (forwards), and from the lower level requirements back to the source (backwards).

Each of the test cases provided for the Client Name contract and to the Centers for Medicaid Services (CMS) Work-stream personnel will be traced to their Requirements Traceability Matrix (RTM) origination and the MECT checklist items. This deliverable is manifested in the Evidence Package Index (EPI).



The EPI can be generated ad-hoc using a database that contains all the required information. Columns included in this tracking database are:

- MECT Business Objective
- Checklist Name
- CMS Reference #
- RTM Reference #
- System Review Criteria
- Source
- Guidance
- Scope
- R1 Project Initiation Milestone
- R2 Operational Milestone
- R3 Final Milestone Evidence
- R1 Review Date (IV&V)
- R1 Reviewer Name (IV&V)
- R1 Reviewer Assessment (IV&V)
- R2 Review Date (IV&V)
- R2 Reviewer Name (IV&V)
- R2 Reviewer Assessment (IV&V)
- R3 Review Date (IV&V)
- R3 Reviewer Name (IV&V)
- R3 Reviewer Assessment (IV&V)
- R1 Mitigation Narrative (IV&V)
- R2 Mitigation Narrative (IV&V)
- R3 Mitigation Narrative (IV&V)
- R1 Evidence Artifact (includes RFP, Design and Programmatic documents) (8 columns)
- R2 Evidence Artifact (includes Business Rules, Configurations, Interfaces and Test Cases) (20 Columns)
- R3 Evidence Artifact (includes 6 months of production reports and data) (10 columns)
- R1 Explanation of Fulfilment (8 columns)
- R2 Explanation of Fulfilment (20 columns)
- R3 Explanation of Fulfilment (10 columns)
- R1 CMS Feedback



- R2 CMS Feedback
- R3 CMS Feedback

Bi-directionality is achieved via tracing the requirements and their test-case fulfilment to both the RTM (Client Name) reference numbers and the CMS reference numbers in the same line or subsection of the document.

Figure 5: Requirements Traceability



5. Reporting

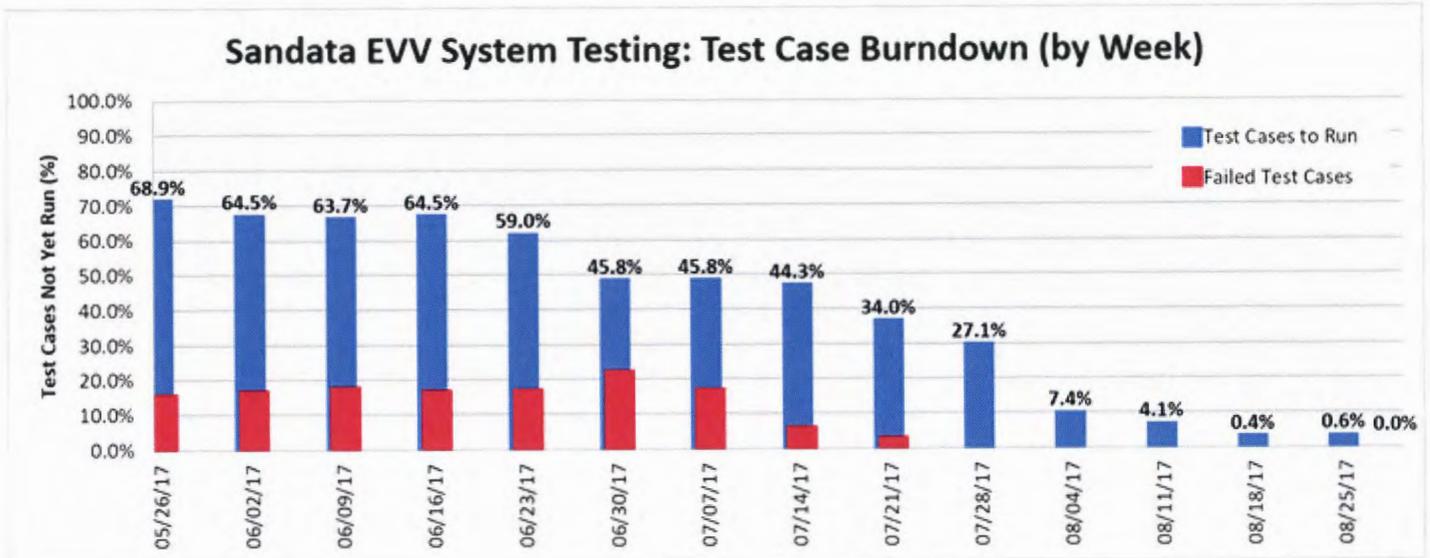
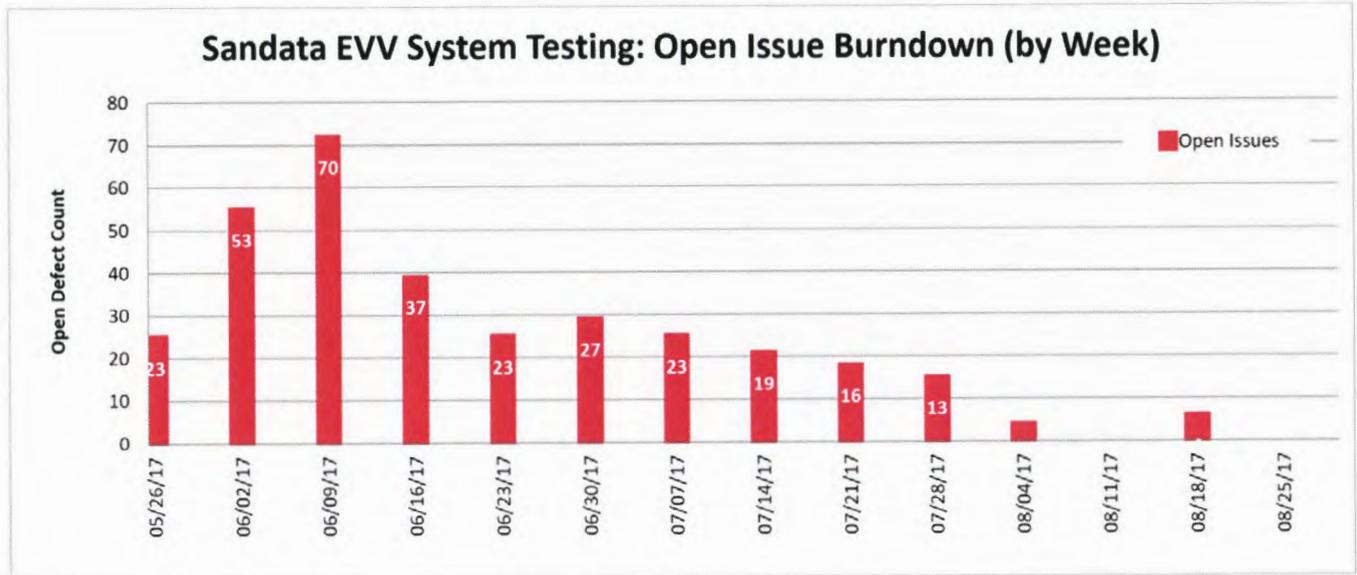
As per the EVV contract, Sandata will provide a System Test Summary Results, EVV UAT, MITS UAT, and EDW UAT Reports at the conclusion of testing. The report will, at a minimum:

- Include identification of the items, features, and operations tested; a summary of all features and operations tested and the test steps taken.
- Include a summary of the results of testing for each operation and feature tested including any limitations of the testing strategy.
- Identify variances from expected results, including recommendations for corrective action or alternative solutions for each variance noted.

Below is an example of the type of System Test metrics that will be provided within the report.



Figure 6: Sample Metrics





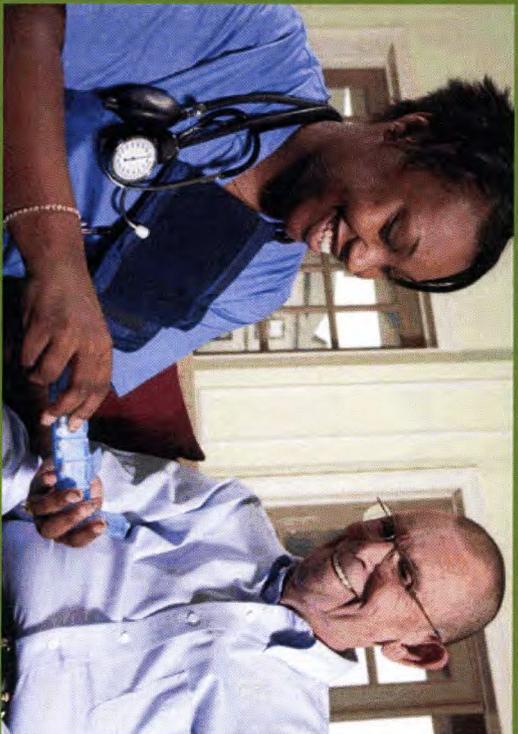
6. Appendix A: Sample Test Data

Below is an excel spreadsheet of an excerpt from Sandata Mobile Connect testing that shows test cases and examples of expected and actual results identified through testing.

Directory	Id	Jira ticket	Test Case	Status	Test Case Version	Assigned	Executed Start	Executed End	Planned Start Date	Planned End Date	Test Step #	Test Step Description	Test Step Expected Result	Test Step Actual Result	Test Step Status
MVV (Mobile Visit Verification) / Sprint 1 (Jan/27/17 - Feb/17/17) / MVV Blue	TR-1930	MVV-43 Android: Selection to Abandon a Visit	TC-2018 MVV-43 Android: Selection to Abandon a Scheduled Visit	Failed	2.0	Shawn Brown	02/27/2017 07:03 PM	02/27/2017 07:11 PM	01/19/2017	01/19/2017	1	Login to MVV with their Registration ID, Email address and Password	Login Successfully	Login was successful.	Passed
											2	Search for patient via Medicaid ID and select him/her	User should be presented with a list of services to choose from before starting	search was not working as of now, so started a new unknown visit and	Passed
											3	Click in for an patient visit	Patient is clocked in	Successful	Passed
											4	User must have the ability to abandon a scheduled or complete visit that is in-progress	Abandon and Complete tab displayed before you can start your task	Both Tab Displayed	Passed
											5	Validate the UI of the button and TAP on the Abandon button.	Button design should match with the provide mock screen. A confirmation prompt button should be displayed to user.	The Text on the button appears in All CAPS in actual screen, not matching with mock screen attached.	Failed
											6	Validate the UI of the Prompt screen	Screen should match with the provided		Blocked

State of Nebraska Department of Health and Human Services – Electronic Visit Verification Solution *DRAFT Customer Support (Client Success) Plan*

*We deliver systems that improve the process of
home care to increase capacity for caring.*



October 7, 2019

Prepared by:

Adrienne Woodward, Vice President, Client Success

www.sandata.com

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Approval

Title	Name	Signature	Date
Sandata COO	Ken Faltischek		
Vice President, Client Success	Adrienne Woodward		
DHHS – Project Sponsor			
DHHS – EVV Contract Manager			

Approach and Scope

The Customer Support plan (known as “Sandata’s Client Success Plan”) is a document explaining how Sandata provides help desk support for the Sandata EVV system.

The Plan will be submitted to DHHS for review and approval within thirty (30) calendar days of the contract effective date.

This plan is a living document and will be updated periodically as needed during the contract.

OVERVIEW

Sandata provides Client Success (Help desk services) for the Sandata EVV system throughout the life of the contract.

Client Success Management

SERVICE DELIVERY TEAM

Sandata’s Client Success team includes the assigned DHHS Account Executive and our 24/7 Client Success call center.

The Account Executive is responsible for meeting all contractual obligations; monitoring performance standards; providing reports that detail our performance against those standards; and executing continuous process improvement, as needed, during the Operations Phase of the project. The Account Executive is engaged during the Implementation Phase, ensuring a timely completion of the project, and provides oversight over outreach and training activities and is responsible for account oversight from start up through the life of the contract. The Account Executive participates in all state, provider, and stakeholder meetings as requested by DHHS.

ROLES AND RESPONSIBILITIES

Stakeholder	Responsibility
Account Executive Narvell Neves	<ul style="list-style-type: none">Responsible for customer satisfaction regarding overall operations of the Payer Program post transition from ImplementationProviding oversight of and accountability for account activities post-implementation including successful transition from Implementation to

Stakeholder	Responsibility
	Live status <ul style="list-style-type: none"> • Responsible for regular meetings with the customer post implementation for overall operations • Managing and responding to escalated issues, working within agreed upon service level standards • Assists client with processing new business requirements and change requests
Operations Delivery Group led by Vice President of Account Management Lisa Berlinguet	<ul style="list-style-type: none"> • Provides oversight in the identification of key risks to client relationship and assists in the development of mitigation strategies • Jointly works with contract/account management team to ensure strategy aligned with key business objectives • Assists in the Implementation to Operations transition activities
Vice President, Client Success Adrienne Woodward	<ul style="list-style-type: none"> • Ensures all Client Success services levels are met • Establishes and maintains work standards for quality • Champions process improvement initiatives • Ensures staff is well trained and prepared to address our customer's needs
DHHS	<ul style="list-style-type: none"> • Review open issues with Account Executive • Report issues experienced by staff members • Attend monthly operations status meetings • Attend quarterly governance meetings
Providers	<ul style="list-style-type: none"> • Contact Client Success to report issues • Provide detailed description of reported issue • Complete satisfaction survey, upon request

Client Success Services

Sandata EVV users will have access to our 24/7 Client Success team for all system issues. Tier 1 support will be provided by DXC and Sandata personnel will provide additional Tier 2/3 support.

CLIENT SUCCESS SERVICES SUMMARY

Our Client Success team is experienced supporting large payer programs and their provider networks and offer outstanding customer service.

Client Success	Description
Hours	General Client Success service hours are Monday through Friday, 8:00 a.m. - 5:00 p.m. CT., with the exception of State holidays. 24 / 7 coverage provided after normal business hours is available for urgent issues and is answered by an on-call agent. Our email support is always available.
Phone Support	We provide a toll-free line for EVV users to access Client Success support team available to assist users with application or training-related issues that might arise. We will walk users through trouble shooting steps to quickly discover the cause of the difficulty.
Electronic Support	Users can submit issues 24 / 7 via email or our Help Desk's live chat feature or email. Issues are documented and tracked the same as if they were phoned in.
Self-Service	<p>We offer a number of self-service features including:</p> <ul style="list-style-type: none"> • Customer Self-Service Portal: Allows system users to enter tickets, see the status of tickets, and search their previous tickets; • Searchable Knowledgebase: System users can review our knowledgebase and documentation to help solve their particular issue; and • Chat/Answer Bot: An intelligent automation attendant that proposes answers to most common questions. <p>With these features, system users can quickly find answers to common questions and review the status of their previously logged issues without the need to speak with an agent.</p>
Remote Computer Dial-In Assistance	If users need additional support, we can conduct a webinar session to shadow users to provide them with further information to resolve the issue.
Escalation Process	If a Tier 1 Client Success support cannot solve an issue regarding the EVV system or program, Sandata's Tier 2 and / or Tier 3 subject matter experts will resolve the issue.

OPERATIONAL HOURS

For the final month of implementation, Client Success will be available during business hours (8:00 a.m. to 5 p.m. Central Time) to support agency user questions as they complete their training and access their EVV system.

If Tier 1 agent cannot solve an issue, Sandata's Tier 2 and/or Tier 3 subject matter experts will resolve the issue. The Tier 2/Tier 3 customer support services are available Monday through Friday (8:00a.m. - 5:00p.m. Central Time) and closed on Nebraska observed holidays.

CLIENT SUCCESS ACCESS POINTS

Users may access the Client Success team using any of the following:

- Toll free help desk number;
- Email
- Help Desk Chat.

Sandata will provide system users access to additional online tools including FAQ sheets, training materials, and online help features to assist them in resolving their own issues.

TRANSLATION SERVICES

Sandata uses a third-party telephone-based service to assist with translation services for non-English speaking callers.

CLIENT SUCCESS ROLES AND RESPONSIBILITIES

Table 2 illustrates Client Success roles and responsibilities.

Table 2. Client Success Staff Roles and Responsibilities

Staff	Functional Responsibilities
Tier 1 Client Success Agent	<ul style="list-style-type: none">• Documents initial issue in tracking system regardless of source (phone, email, etc.)• Uses knowledge based resources in an attempt to resolve issue on first call.• Acknowledges and responds to incoming calls/inquiries within the required timeframes.• Transfers issues to Tier 2, as needed.• If ticket originates with Tier 1, provides written correspondence for unresolved issues in accordance with the Service Level standard

Staff	Functional Responsibilities
Tier 2 Client Success Agent	<ul style="list-style-type: none"> • Conducts in depth problem analysis and troubleshooting for issues as assigned by Tier 1. • Documents progress and resolution notes in issue tracking system. • If unable to resolve in a timely manner, assigns issue to Tier 3 Subject Matter Expert. • If ticket originates with Tier 2, provides written correspondence for unresolved issues in accordance with the Service Level standards.
Tier 3 Subject Matter Expert	<ul style="list-style-type: none"> • Conducts detailed analysis for issues as assigned by Tier 2. • Documents progress and resolution notes in issue tracking system.
Client Success Supervisors	<ul style="list-style-type: none"> • Provides oversight over all aspects of Client Success. • Monitors daily call handling and peak times for appropriate staff allocation. • Conducts quality monitoring of agents. • Provides staff training, as needed.
Vice President of Client Success	<ul style="list-style-type: none"> • Responsible for the success of our Client Success team. • Generates service level reporting to evaluate performance against goals/contractual requirements. • Reports service level metrics to Sandata Governance Team.
Sandata EVV Account Executive	<ul style="list-style-type: none"> • Receives monthly service level reporting to determine if penalties apply. • Provides service level performance summary reporting to Payer. • Notifies Senior Executive Team of non-compliance, as needed.
Sandata Executive Governance Team	<ul style="list-style-type: none"> • Helps to resolve escalated issues. • Supports root cause analysis for high risk service-related issues (e.g., non-compliance with service levels).

CLIENT SUCCESS MONITORING AND QUALITY PROGRAM

Quality control and quality assurance are a key component of Sandata’s Client Success management plan. We have senior management commitment and their active involvement which is critical in order to ensure at all times the adequacy, suitability, effectiveness and efficiency of the Client Success department. Table 3 illustrates the principles of our quality program and our methods for management and measurement.

Table 3. Client Success Quality Program

Quality Principle	Management / Measurement Methods
<p>Ensure all service levels are met</p>	<ul style="list-style-type: none"> • Utilize Full- and Part-time representatives • Staffing based on historical data and client expectations • Tier II representatives available to handle unexpected spikes • Monitor service levels in real time
<p>Establish and maintain work standards for quality</p>	<ul style="list-style-type: none"> • Ticket review – comprehensiveness, aging, response time, follow-up and resolution • Tier II feedback – trending, reporting, process improvement initiatives • Call monitoring: <ul style="list-style-type: none"> – Projecting an attitude of service with an eagerness to assist – Soft skills – Technical understanding – Clarity of request – Next steps and follow through plan • Ticket management
<p>Champion process improvement initiatives</p>	<ul style="list-style-type: none"> • Gather data from <ul style="list-style-type: none"> – Ticket management – Call monitoring – Tier II feedback – Client interactions • Create and implement corrective action plans
<p>Serve as an advocate for our customers</p>	<ul style="list-style-type: none"> • Ticket Management • Prioritization Committee • Outreach Program – Tier II and leadership team contact clients randomly
<p>Ensure staff is well trained and prepared to assist our customer's needs</p>	<ul style="list-style-type: none"> • Training <ul style="list-style-type: none"> – Product features – New releases – Soft skills – Technical skills – Regulatory requirements • Team Meetings: <ul style="list-style-type: none"> – Review training items – Hot topics – Company initiatives

OPERATIONAL PERFORMANCE MONITORING

Sandata routinely monitors our Client Success team to ensure all service level standards are met as shown in Figure 1.

Inbound Calls

	WE 4/22/16	WE 4/29/2016
Automated Call Distribution (ACD)Calls	127	108
Average ACD Time	11:52	9:54
Abandoned Calls	1	1
Average Abandon Time	:01	:44
Average Speed to Answer	:18	:13

Contractual Requirement

Figure 1. Sandata tracks Client Success statistics against service level standards including Average Speed to Answer and Abandonment Rates as shown above.

CLIENT SUCCESS SATISFACTION

We focus on customer satisfaction through a multi-faceted approach that includes surveys, tracking call center metrics to manage service level standards, and continuous quality improvement training for call center agents.

Survey Monkey is used to solicit information about the user experience with our Client Success help desk. We survey callers regarding:

- Eagerness to assist;
- Listening skills;
- Professionalism;
- Product knowledge; and
- Ability to identify and resolve the issue.

System Defects

TICKET ISSUE MANAGEMENT PROCESS

All Client Success identified issues, no matter the contact method, are logged into a tracking system and addressed according to their assigned level of priority. Most issues are addressed on the initial contact with Client Success, such as questions on visit correction, routine maintenance, or visit verification. Issues that cannot be immediately addressed, are assigned to Tier 2/Tier 3 support team. Non-technical issues that are not immediately resolved are assigned to the EVV Account Executive. Once the issue is logged, the assigned resource will review the issue and provide an estimate on the timeframe needed to address the issue.

Any issues that are not immediately resolved and require additional analysis or support will be closely tracked using our ticket management system to ensure timely resolution. Acknowledgement and updates are provided to the caller at a frequency based on the ticket priority. Tickets exceeding planned completion date are automatically escalated and the system continuously alerts the manager about the unresolved ticket.

A summary of the issue management/escalation process is described below.

ESCALATION PROCESS

As shown in Figure 2, we use multiple levels of escalation for our technical support. If Tier 1 support cannot solve an issue regarding the application, the ticket is escalated to Tier 2/Tier 3. Tier 2/Tier 3 support teams are empowered to escalate and assign the issue across multiple levels of the organization, including various subject matter experts as well as the Senior Executive Team to ensure resolution. The issue is tracked until the ticket is resolved.



Figure 2. Our Ticket Escalation Process allows for automated escalations of issues for quick and decisive issue resolution.

The tracking system will generate an alert within 24 hours of the missed planned completion date. If the issue remains unresolved for another 24 hours, the supervisor is notified. Lastly, should the issue remain unresolved for another 24 hours, the department head is notified.

The Client Success management team will also work closely with the EVV Account Executive and use the summary ticket reports report to determine if there is a need to provide additional support and/or training materials based on Client Success contacts and needs. Using the Client Success ticket reports allow us to refine our post launch support activity to focus on the items that are creating the most Client Success support needs.

Weekly and or Monthly Transaction Summary - include dates

	9/1/2019	9/2/2019	9/3/2019	9/4/2019	9/5/2019	9/6/2019	9/7/2019	Week Total	Total
Presented									
Answered									
Abandoned									
Capture Rate % (SLA Point - 95%)									
Avg Answer (Seconds) (SLA Point 60)									
% of Calls answered in 60 seconds									
Avg Talk (Minutes)									

Answered Breakdown

	9/1/2019	9/2/2019	9/3/2019	9/4/2019	9/5/2019	9/6/2019	9/7/2019	Week Total	Total
Answered By Agent									
Callback									
Voicemail									

Answered / Abandon Ranges

	9/1/2019		9/2/2019		9/3/2019		9/4/2019		9/5/2019		9/6/2019		9/7/2019		Week Total		Total		
	Ans	Abd	Ans	Abd	Answered	Abandoned													
0 - 30 Seconds																			
31 - 60 Seconds																			
61 - 120 Seconds																			
121+ Seconds																			
TOTAL																			

Voicemail Breakdown

	9/1/2019	9/2/2019	9/3/2019	9/4/2019	9/5/2019	9/6/2019	9/7/2019	Week Total	Total
Received									
Completed									
Remaining									
Avg Response Time (Minutes) (SLA Point 10 Minutes)									

Callback Breakdown

	9/1/2019	9/2/2019	9/3/2019	9/4/2019	9/5/2019	9/6/2019	9/7/2019	Week Total	Total
Requested									
Provider Answered									
Provider No Answer									

Email Breakdown

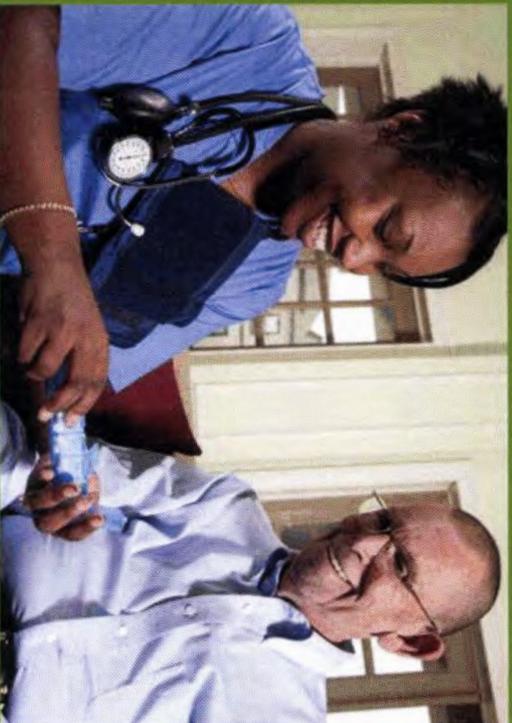
	9/1/2019	9/2/2019	9/3/2019	9/4/2019	9/5/2019	9/6/2019	9/7/2019	Week Total	Total
Received									
Completed									
Remaining									
Avg Response Time (Hours) (SLA Point 2 Hours)									



State of Nebraska Department of Health and Human Services – Electronic Visit Verification Solution

Draft Turnover Plan

*Increasing the Capacity to Care
Improving the Process of Home Care*



October 7, 2019

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DRAFT

1. Executive Summary

This plan formally documents the process for the transition of the duties, activities, and functions for the DHHS Electronic Visit Verification system. It describes the approach to transitioning work from Sandata Technologies, LLC (incumbent contractor) to a successor vendor.

This contract involves monitoring and overseeing the provision of home and community-based services. The contract is currently with Sandata and the transition to the successor vendor will be completed no later than the end of the contract base period or any extension thereof.

The Turnover Phase will begin at the notification by the Contract Administrator to begin turnover activities and continues until ninety (90) calendar days after transfer of duties is complete, unless otherwise waived in writing by the Contract Administrator. The Turnover Phase will overlap with the Operations Phase.

2. Turnover Phase Approach

For this transition, Sandata will maintain its existing staff and service level standards throughout the transition period. No additional staffing requirements are anticipated to complete the transition to the successor vendor. The transition is expected to take no more than 90 calendar days to complete. Immediately prior to the transition period, Sandata will appoint its assigned Account Manager for the DHHS contract as the focal point to facilitate the activities necessary for successful transition. The Account Manager will remain available up to 90 calendar days following the contract termination and successful turnover to assist with questions and work with DHHS and the successor vendor. It is assumed that successor vendor will have staff available at the beginning of the transition period and will establish a similar contact point to work with Sandata to coordinate the contract's transition. DHHS should also designate a Turnover Project Manager to work with both contractors throughout the transition period.

Table 1 illustrates the turnover team members from DHHS, Sandata, and the successor vendor, as well as the roles and responsibilities of each team member.

Table 1: DHHS EVV Project Turnover Team

Organization	Title	Roles/Responsibilities
DHHS	Turnover Project Manager	<ul style="list-style-type: none"> Coordinate activities between contractors throughout turnover period; facilitate transition meetings as required
Sandata	Turnover Project Manager (Account Manager)	<ul style="list-style-type: none"> Work with DHHS and successor vendor project managers to coordinate and schedule all transition activities; provide weekly reporting on transition progress; ensure all applicable deliverables are included as part of transition
Successor Vendor	Turnover Project Manager	<ul style="list-style-type: none"> Work with DHHS and Sandata project managers; ensure all transition deliverables are received and understood; identify any gaps in transition activities
Sandata	IT Transition Lead	<ul style="list-style-type: none"> Ensure all IT activities are completed during transition; document all IT deliverables for transition to successor vendor
Successor Vendor	IT Transition Lead	<ul style="list-style-type: none"> Ensure continuity of all IT activities throughout transition; ensure receipt of adequate IT documentation of all processes, tasks, and activities

3. Workforce Assumptions

For this contract turnover, all workforce members will remain with their current organization. The Sandata workforce will remain in place to perform their turnover activities through the end of the contract. The successor vendor will ensure its turnover staff is named and in place no later than 90 calendar days prior to turnover completion.

4. Work Execution During Turnover Period

Throughout the transition of this contract, work will continue to be performed by Sandata in accordance with the existing contract in place until such contract ends. Sandata will not reduce operational staffing levels during the turnover period without prior approval from DHHS. At the start of the turnover period, the Sandata Transition Project Manager will deliver detailed Turnover Checklists that specify all closeout activities to be completed

during the turnover period, and will work with DHHS and the successor vendor to ensure all activities are successfully completed.

The successor vendor will assume full responsibility for all tasks and deliverables as of the end of the 90-day transition period. The Sandata Transition Project Manager will be made available to DHHS for up to 90 days following the end of the current contract to support post-turnover activities.

5. Subcontracts

Sandata will ensure that services performed by our subcontractors are transferred appropriately to the new vendor.

6. Intellectual Property

All proprietary software programs remain the property of Sandata. EVV data gathered during the term of the contract is considered the property of DHHS.

7. Knowledge Transfer

For this transition, knowledge transfer will occur over the entirety of the 90-day turnover period. The Sandata Transition Project Manager will coordinate formal training sessions to be conducted by Sandata staff. These sessions will cover documentation, data and process information required for successful transition. These sessions will be completed no later than 60 days prior to the end of the 90-day transition period. Additionally, Sandata staff will be available to their successor vendor counterparts throughout the 90-day period to provide one-on-one knowledge transfer. The Transition Project Managers from Sandata, the successor vendor and DHHS will meet no later than 10 days prior to turnover completion to determine if any further training or knowledge transfer is required.

8. Schedule

Sandata, DHHS, and the transition vendor will mutually agree upon a schedule for turnover activities. This schedule, along with the Turnover Plan, will be updated upon notification of the selection of a new vendor and the timeline for the replacement system to be in place. Once agreed upon, any changes to this schedule will require review and approval from DHHS and all other parties.

9. Handover and Acceptance

Sandata will work with DHHS and the successor vendor to confirm final turnover of the program. To accomplish this, Sandata's Turnover Project Manager will work with the customer's Turnover Project Manager to review all defined work items and determine that all activities associated with the transition have been completed. They will also meet to ensure that all concerns and issues have been addressed appropriately. Upon completion of these reviews, DHHS approvals and signatures will be obtained as confirmation of project closure, and the transition will be considered complete.



CMS Certification Plan

We deliver systems that improve the process of home care to increase capacity for caring.



August 7, 2019
Prepared by:
Sandata CMS Certification Team

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Introduction

Section 12006(a) of the 21st Century Cures Act mandates that states implement Electronic Visit Verification (“EVV”) for all Medicaid personal care services (“PCS”) and home health care services (“HHCS”) that require an in-home visit by a provider. According to the CMS EVV Website, “this applies to PCS provided under sections 1905(a)(24), 1915(c), 1915(i), 1915(j), 1915(k), and Section 1115; and HHCS provided under 1905(a)(7) of the Social Security Act or a waiver.”¹

States must require EVV use for all Medicaid-funded PCS by January 1, 2020 and HHCS by January 1, 2023. Otherwise, the state is subject to incremental federal medical assistance percentage reductions up to 1% unless the state has both made a “good faith effort” to comply and has encountered “unavoidable delays.” States are also eligible to receive enhanced federal matching funds to support the implementation of an EVV solution.

One of the most important steps in the EVV implementation process is the submittal of the Advanced Planning Document (“APD”) to request the available enhanced matching funds in accordance with the APD requirements under 45 CFR Part 95 Subpart F. The Federal Match of states costs are:

- 90% Match for the design, development and installation of EVV;
- 75% Match for the operation and maintenance of the system (routine system updates, customer service, etc.); and
- 50% Match for administrative activities deemed necessary for the efficient administration of the EVV solution, education and outreach for state staff, individuals and their families.

States may need to undergo a CMS certification process using the Medicaid Enterprise Certification Toolkit (“MECT”) for the EVV solution in order to receive enhanced funding. Sandata is the first and only vendor to successfully complete a CMS certification process for EVV for our Commercially Off the Shelf (“COTS”) EVV solution. This document provides a summary of the support and artifacts available to support each phase in the MECT process, and pricing to support each phase of process.

¹ <https://www.medicaid.gov/medicaid/hcbs/guidance/electronic-visit-verification/index.html>

Medicaid Enterprise Certification Life Cycle

PROJECT INITIATION MILESTONE REVIEW (R1)

Before the state submits its Implementation Advance Planning Document (“IAPD”) to the CMS Regional Office, states will often select an Independent Verification and Validation (“IV&V”) company to support the certification process. The IV&V contractor reviews the state planning documents, evaluating them against the MECL checklist criteria and critical success factors (see Table 1). The results are compiled into a progress report. The IV&V contractor sends a copy of this IV&V Progress Report to the state, to the CMS Regional Office, and to the CMS certification email address (MES@cms.hhs.gov). This gives the state time to remedy gaps or issues before submitting the IAPD.

This phase is usually completed prior to the engagement of a specific EVV vendor. Sandata offers up to ten hours of consulting per month (available for R1 activities only) to support the state and the IV&V in compiling or updating the report at no charge. Incremental support beyond the 10 hours per month is available (see pricing proposal for information). The state should provide artifacts and evidence to address the requirements in the checklists from CMS. The MECT 2.3 Appendix B artifacts required for this phase include the following:

Table 1: R1 Artifacts.

Category	Document/ Artifact	Minimum Required Content and Notes
Project Management	State Goals & Objectives	<ul style="list-style-type: none"> State goals and objectives
MITA	MITA Concept of Operations	<ul style="list-style-type: none"> Medicaid enterprise scope As-is operations (business, architecture, data) Drivers and enablers for transformation Environment (business, architecture, data) Operational scenarios Impacts on stakeholders Summary of improvements Conditions of modularity and reuse and how to meet
MITA	MITA Technical Management Strategy	<ul style="list-style-type: none"> Document technical needs for sharing of State Medicaid Agency (“SMA”) services and information. See MITA, Part 3.
MITA	MITA Data Management Strategy	<ul style="list-style-type: none"> Document technical needs for sharing of SMA services and information. See MITA, Part 2.

Category	Document/ Artifact	Minimum Required Content and Notes
MITA	MITA State Self-Assessment (SS-A) & MITA Roadmap	<ul style="list-style-type: none"> As-is state To-be state Long-term milestones specified in quarters
Technical/ SDLC	MMIS Concept of Operations	<ul style="list-style-type: none"> A narrative description of each identified MMIS component, including basic functions and the business area supported A statement of security/interface and disaster recovery requirements
Financial	Implementation Advanced Planning Document	<ul style="list-style-type: none"> Requirements analysis Feasibility study Alternatives analysis, including use of service-oriented architecture and transfer of an existing system or an explanation of why such a transfer is not feasible Cost allocation plan/methodology Proposed budget MITA SS-A, as an attachment Customized Medicaid Enterprise Certification checklists, if applicable
Security/ Privacy	State Security Policies/Security Plan	<ul style="list-style-type: none"> Strategies and state policies for handling privacy, security, and HIPPA compliance. These are overarching policies that the state should have in place even before the MMIS project begins.
Security/ Privacy	Privacy Impact Analysis	<ul style="list-style-type: none"> Use of personally identifiable information (“PII”) or protected health information (“PHI”) and a description of the types of data that will be collected Sources of PII/PHI, populations, and transfer and disclosure mechanisms Legal environment (legal authorities and state privacy laws) Details about the entities with which the collected information will be shared Privacy and security standards for its business partners and other third parties and the agreements that bind these entities Incident handling procedures Privacy and/or security awareness programs and materials for its workforce
Technical/ SDLC	New Medicare Card Program's (NMCP) State Medicaid Agency Readiness Report	<ul style="list-style-type: none"> Latest copy of the NMCP State Readiness Report

Category	Document/ Artifact	Minimum Required Content and Notes
Procurement	Draft RFP	<ul style="list-style-type: none"> • Defined goals and objectives • To-be environment requirements (business, architecture, data), including reuse, interoperability, and modularity requirements • Requirements found within the Medicaid Enterprise Certification checklists <p>The following are highly recommended, if they are legally enforceable per state law:</p> <ul style="list-style-type: none"> • Conditions tying compensation to meeting or exceeding defined goals (e.g., service level agreements) • Reservation of right for state to approve and/or remove subcontractors • Requirement that contractors cooperate with other contractors (including IV&V contractor) and not impede progress on project as a whole • Performance clauses
Project Management	Project Management Plan	<ul style="list-style-type: none"> • Modularity plans • Reuse plans • Procurements plans • Plans to ensure quality • Plan for managing communications and stakeholders • System development life cycle (“SDLC”)
Project Management	Schedule/ Milestones & Burn-down Charts	<ul style="list-style-type: none"> • High-level planning schedule (specified in quarters or months, depending on project length—no specific dates necessary until detailed system requirements are defined)—waterfall or agile
Project Management	Risk Register/ Exception Plan	<ul style="list-style-type: none"> • For waterfall and agile: <ul style="list-style-type: none"> – Testing strategy (unit testing, functional testing, regression testing, integration testing, user acceptance testing, performance testing, manual and automated and/or scripted testing, disaster recovery and end-to-end integration testing of COTS products, if any) – Bi-directional traceability to requirements and design – Plans for preparing the test/staging environment – Test cases are added as design progresses Testing should be as automated and self-documenting as possible (e.g., continuous unit testing)

OPERATIONAL MILESTONE REVIEW (R2)

The next phase is the Integration, Test and Implementation period, which is measured by the Operational Milestone Review. During this phase, the Sandata implementation team and the state will work collaboratively to define and document the Sandata EVV system configuration using the Business Rules Document, and the state will also participate in our User Acceptance Testing process. Sandata will interact with the state and the IV&V contractor as they prepare MMIS IV&V Progress Reports, Operational Milestone Review(s) and the Sandata EVV system is moved into the production environment.

Sandata estimates the Operational Milestone review will take approximately six months and we will create (as appropriate) or support the state and IV&V (as requested) in the creation of the MECT 2.3 Appendix B artifacts. In addition, Sandata will provide standard documentation as part of the normal course of the implementation at no additional charge. Appendix A provides the complete list of standard implementation documents from Sandata.

Sandata will assist in drafting response statements and providing artifacts to address requirements in the six MECT checklists:

- Information Architecture
- Intermediary and Interface
- Access and Delivery
- Integration and Utility
- Standards and Conditions
- Program Integrity

Any changes or replacements in the checklists will be evaluated for impact using the change order process.

CMS CERTIFICATION FINAL REVIEW (R3)

The final phase of the process occurs no earlier than six months after the system is live and is primarily focused on documenting the production environment. Sandata estimates the Final Review will take approximately nine months. We will create (as appropriate) or support the state and IV&V (as requested) in the creation of the MECT 2.3 Appendix B artifacts listed in Table 3. Please note the full list of R3 artifacts below include those that Sandata will support as well as those that the State and/or IV&V vendor will create without Sandata input.

In addition, Sandata will provide standard documentation as part of the normal course of the implementation. Appendix A provides the complete list of standard implementation documents from Sandata. Sandata will also provide any version updates to those artifacts already listed in Appendix A and the latest versions will be supplied for the R3 Milestone Review.

Table 2: R3 Artifacts.

Category	Document/ Artifact	Minimum Required Content and Notes
Certification Final Evidence	Production Screenshots, Reports, and Data	<ul style="list-style-type: none">See evidence/artifacts provided for each MECT requirement along with the artifacts provided prior to onsite arrival. If specific reports are requested, they will be pulled from the EVV system or provided via live demo during the certification session.

Appendix A: Implementation Artifacts

Artifact	Description
Project Management Plan	The overall management plan encompasses the various aspects of the project. While this is most often owned by the customer, Sandata can create and manage portions of this artifact, or create a version of this material for an EVV project, as necessary.
Project Schedule	The timeline for the project, tracking duration, resources, dependencies, and progress throughout the project. Sandata will track and maintain a project schedule for our areas of responsibility. This project schedule may be integrated into a broader, enterprise schedule owned by the customer.
Requirements Traceability Matrix	This artifact is based on the program contract, and elaborates each contractual obligation and requirement for tracking and fulfillment through the implementation project.
Risk and Issue Log	The tracking mechanism for issues and risks that arise during the project. Customer specific practices for tracking risks, issues and questions may vary, but Sandata will always log and track project issues as part of our implementation process.
Change Management Plan	Defines the mechanisms that will be followed for documenting and approving changes to the scope or delivery of the project. Sandata expects the customer to maintain an enterprise change management plan, and will provide Sandata's specific internal change management process and plan to supplement that customer documentation for the project.
Incident Management Plan	This plan defines the mechanism by which issues that occur during the project or post launch in the production system are communicated, classified, tracked, and resolved in coordination and conjunction with the customer.
Business Rules / Program Rules Workbook	This Sandata-owned workbook captures and defines the settings and behaviors of the system that are specific to this customer and their contractual needs. This serves as the blueprint for the configuration and deployment of the system and services for the customer's unique requirements.
Test Plan	<p>Defines the scope, mechanisms and environments used for the execution, tracking and review of the two types of testing performed as part of the project deployment:</p> <ul style="list-style-type: none"> • User Acceptance Testing (UAT): Validates the correct configuration and feature deployment for the front-end application user interfaces involved with the program. • System Integration Testing (SIT): Validates the delivery and processing of all data interfaces into and out of the system, including both flat file and web-service interfaces.
Test Cases and Detailed Testing Results	The test cases elaborate the specific steps and details used to validate user scenarios through the Sandata system. These cases will be provided for both UAT and SIT activities, along with the results of all executions of the set of test cases for the program.
Test Report	A summary report covering all testing activities performed for each

Artifact	Description
	type of customer validation testing. Each test report will contain a formal summary of testing activities, findings, and resolutions for the test activity performed for UAT and SIT, respectively.
Bi-Directional Traceability	This matrix maps the results of UAT and SIT activities to specific requirements in the contract or SOW for the program. This establishes a link to show which test cases address which requirements, and vice versa.
Data Base Design	This document describes the relationships and structures of the databases used in Sandata's solutions.
Data Management Plan	This document defines how Sandata handles data collection, generation, and use within our systems. This document is intended to supplement the state's system-wide data management plans and procedures.
Security Management Plan	The Sandata Security Management Plan defines the mechanisms that Sandata uses to assure minimum access and secure access to appropriate systems and information. This document is intended to supplement the state's system-wide security management plans and procedures.
Disaster Recovery/Business Continuity Plans	This defines the redundancy and recovery practices that Sandata employs across our secure infrastructure to ensure continuity of service through disasters and unexpected situations that may compromise aspects of our systems. This also provides the procedures for restoring service should an event impact the availability or accessibility of the Sandata systems. This document is intended to supplement the state's system-wide disaster recovery and continuity planning materials.
Interface Specification Documents, Sample Files and Testing Results	Sandata's data interfaces into and out of our system are defined as a series of customer-agnostic standards documents, which are accompanied by customer-specific addendums. The addendums supplement the standard specifications with information on customer program specific values (e.g. service codes, etc.) and program-specific behaviors (i.e. which fields the customer chooses to require for their program). The addendums are based on the settings and rules defined for the program, and are approved by the customer before being published for use in the program.
Training Plan, training materials, training schedule	The Sandata-owned training plan defines the approach to providing training to those system users defined by the customer. This will include the logistics, timing, mechanism and support for all training course to be offered. The training materials and course schedule are also supplied to track the content presented to training attendees, as well as the timing of those training sessions.
User Manual(s)	The Sandata system user manuals are the how-to instructions provided to the users of the system and services. These customer-agnostic manuals are available within the system itself, and focus on product feature functionality.
Operations Manual	The operations manual is a customer-owned document describing how the program is managed post-launch. While the format and structure of the Operations Manual can differ by customer, Sandata will supply process definitions and descriptions to the customer to

Artifact	Description
	document those operational processes owned by Sandata or its sub-contractors (if applicable).
Roll Out Plan	This document defines the process by which all aspects of the Sandata program's ultimate delivery and launch are coordinated. This checklist spans the various stakeholders and work streams involved in the project, to ensure the systematic and organized initiation of the live systems and services.

SANDATA TECHNOLOGIES, LLC SUBSCRIPTION AGREEMENT

TERMS & CONDITIONS

This Subscription Agreement (this "Agreement") is a legally binding contract between Sandata Technologies, LLC, a Delaware limited liability company having its principal place of business at 26 Harbor Park Drive, Port Washington, New York 11050 ("Sandata"), and the "Customer" as identified in any Sales Order entered into by the Customer for Sandata's Products and Services. Customer's use of Sandata's Products and Services, constitutes Customer's agreement to the terms and conditions of this Agreement. Sandata and Customer shall each be referred to as a "Party" herein, and collectively as the "Parties."

1. Definitions.

- (a) "Affiliate" means any entity which directly or indirectly controls, is controlled by, or is under common control with the subject entity. "Control", for purposes of this definition, means direct or indirect ownership or control of more than fifty percent (50%) of the voting interests of the subject entity.
- (b) "Authorized Users" means those persons authorized by Customer to access and use the Products and Services who possess an authorized user ID and password and for whom Customer has paid the applicable fees.
- (c) "Documentation" means written manuals and instructions relating to the use and operation of the Products and Services.
- (d) "Intellectual Property" means patents, trademarks, copyrights, trade secrets, moral rights, know-how, inventions, processes, content, algorithms or other proprietary rights.
- (e) "Products and Services" means the products and services provided by Sandata to Customer as set forth in a Sales Order.
- (f) "Sales Order" means the written description of the Products and Services to be provided by Sandata to Customer that is executed by Customer and expressly refers to this Agreement.
- (g) "Upgrades" means enhancements, upgrades, updates, improvements, modifications, extensions or other changes to the Products and Services released by Sandata.

2. Services.

- (a) Sandata shall use commercially reasonable efforts to provide the Products and Services in accordance with the terms and conditions of this Agreement and product specifications in

effect from time to time. In the event of any conflict between the body of this Agreement and a Sales Order, the terms and conditions set forth in the body of this Agreement shall govern. The Products and Services include: (1) the provision of technical support to Authorized Users during Sandata's regular business hours, in accordance with Sandata's then-current technical support policies and (2) Sandata's then-current training, in each case, as expressly set forth in a Sales Order. Customer's employees shall complete such training prior to their use of the Products and Services. Upon Customer's request, Sandata may provide additional technical support and training at Sandata's then-current rates, subject to the execution of a mutually agreed upon Sales Order.

(b) Sandata may from time to time develop Upgrades to the Products and Services. Customer hereby authorizes Sandata to implement such Upgrades for use with the Products and Services, provided that such Upgrades do not have a material adverse effect on the functionality or performance of the Products and Services. When commercially practicable, Sandata shall notify Customer in advance of the implementation of any Upgrades or other changes.

(c) Customer agrees that its use of Sandata's Products and Services and any additional software or services is neither contingent upon the delivery of any future functionality or features nor dependent upon any oral or written comments made by Sandata with respect to future functionality or features.

(d) Authorized Users; User IDs. Except with the prior written consent of Sandata, access to the Service will be limited solely to Authorized Users. Customer shall be responsible for any and all activities that occur under Customer's Authorized User ID accounts and Authorized Users and shall abide by all applicable local, state, national and foreign laws, treaties and regulations in connection with the use of the Products and Services. Customer acknowledges and agrees that, as between Customer and Sandata, Customer is solely responsible and liable for, and Sandata hereby expressly disclaims all liability with respect to, all acts and omissions of any Authorized User, including without limitation, the access and use of the Products and Services by any Authorized Users and for such Authorized User's compliance with this Agreement. Customer (or, if requested by Customer, Sandata) will assign each Authorized User a unique account name and password for access to and use of the Products and Services ("User ID"). Customer shall be responsible for ensuring the security and confidentiality of all User IDs. Customer acknowledges that it will be fully and solely responsible for all liability incurred through use of any User ID and that any use of the Products and Services under a User ID will be deemed to have been performed by Customer. Customer shall (1) notify Sandata immediately of any unauthorized use of any password or account or any other known or suspected breach of security; (2) report to Sandata immediately and use reasonable efforts to stop immediately any copying or distribution of content that is known or suspected by Customer to infringe on the rights of others; (3) not impersonate another user of the Products and Services or provide false information to gain access to or use the Products and Services; and (4) abide by Sandata's acceptable use policies which may be in effect from time to time.

(e) Additional Authorized Users. Authorized User subscriptions are for designated Authorized Users for use during the Authorized User Subscription Term and cannot be shared or

used by more than one Authorized User but may be reassigned to new Authorized Users replacing former Authorized Users who no longer require ongoing use of the Products and Services. Unless otherwise specified in the relevant Sales Order, (i) additional Authorized User subscriptions must be added in minimum increments of five (5); (ii) the term of the additional Authorized User subscriptions shall be coterminous with the expiration of the Authorized User Subscription Term in effect at the time the additional Authorized Users are added; and (iii) pricing for the additional Authorized User subscriptions shall be the same as that for the pre-existing Authorized User subscriptions, prorated for the remainder of the Authorized User Subscription Term in effect at the time the additional Authorized Users are added.

3. License Grant.

(a) Subject to the terms of this Agreement, Sandata grants to Customer a limited, non-exclusive, non-transferable, license to use the Products and Services as specified in a Sales Order solely for Customer's own internal business purposes. Without Sandata's express written consent, Customer shall not (1) license, sublicense, sell, resell, transfer, assign, distribute or otherwise commercially exploit or make available to any third party the Products or Services in any way; (2) modify or make derivative works based upon the Products or Services; (3) create Internet "links" to the Products or Services or "frame" or "mirror" any content on any other server or wireless or Internet-based device; (4) make any copies of the Products or Services for any purposes; or (5) reverse engineer, reverse assemble, decompile or disassemble the Products and Services or access the Products or Services in order to (i) build a competitive product or service, (ii) build a product using similar ideas, features, functions or graphics of the Products or Services, or (iii) copy any ideas, features, functions or graphics of the Products or Services. User licenses cannot be shared or used by more than one Authorized User.

(b) Customer may use the Products and Services only for its internal business purposes and shall not: (1) send spam or otherwise duplicative or unsolicited messages in violation of applicable laws; (2) send or store infringing, obscene, threatening, libelous, or otherwise unlawful or tortious material, including material harmful to children or violative of third party privacy rights; (3) send or store material containing software viruses, worms, Trojan horses or other harmful computer code, files, scripts, agents or programs; (4) interfere with or disrupt the integrity or performance of the Products and Services or the data contained therein; or (5) attempt to gain unauthorized access to the Products and Services or any related systems or networks.

(c) Sandata may, upon reasonable notice to Customer, inspect Customer's use of the Products and Services and audit Customer's records for the sole purpose of confirming Customer's compliance with this Agreement. Sandata's audit shall be performed at Sandata's sole cost and expense; provided, however, that if, as a result of Sandata's audit, it is determined that the Customer owes Sandata additional fees, then Customer shall, in addition to paying for all unpaid license fees, reimburse Sandata for its reasonable costs and expenses incurred in performing such audit.

(d) The parties acknowledge Sandata's exclusive ownership in and to the Products and Services and Documentation. Nothing herein shall operate to assign or transfer ownership of Sandata's Intellectual Property in the Products and Services or Documentation. Sandata shall own all right, title and interest in and to any Upgrades or other improvements, refinements, derivatives, configurations or customizations to the Products and Services. Sandata reserves all rights not expressly granted herein.

(e) Customer shall at its sole cost and expense cause any third party vendors to send and/or to receive data from and to Sandata to the extent that the delivery of the Products and Services under this Agreement requires such third party vendors to send and/or to receive data from and to Sandata. In connection with the foregoing, Customer shall make all necessary arrangements with its third party vendors. Customer shall reimburse Sandata for any costs Sandata is required to bear in connection with or arising out of any such transmissions of data from and/or to such third party vendors.

4. Customer Responsibilities.

(a) Customer shall provide Sandata with complete, accurate and timely information ("Customer Information") required for Sandata to provide the Products and Services and to enable the Products and Services to operate in accordance with their specifications. Customer shall be responsible for ensuring the accuracy, quality, timely input, integrity, legality, reliability, appropriateness and copyright of all Customer Information. Sandata shall have no liability for the deletion, correction, destruction, damage, loss or failure to store any such data. Customer will be responsible for reviewing and verifying the quality and accuracy of all Customer Information provided to Sandata, including any updates to such information. Customer shall be responsible for making all necessary disclosures to, and obtaining all required consents from, any third parties to the extent necessary to permit Sandata to provide the Products and Services. Customer shall at all times ensure that (1) Customer and its employees, representatives and/or agents are duly authorized to submit the information that is entered to the Products and Services; (2) Customer and its employees, representatives and/or agents are duly authorized to access the data requested or retrieved in connection with use of the Products and Services; and (3) Sandata is authorized to receive, process and use the information that Customer entered into the Products and Services as contemplated by this Agreement.

(b) Customer shall be responsible for maintaining user environments that meet the system specifications as specified in the Documentation, as such Documentation may be updated from time to time.

(c) Customer Data shall not (i) be defamatory, harmful to minors, obscene, indecent, pornographic, libelous, threatening, or harassing; (ii) contain or cause to be placed any worms, viruses or programming routines intended to interfere, damage, corrupt, surreptitiously intercept or expropriate any system, data or personal information; (iii) be materially false, misleading or inaccurate; or (iv) violate any Federal, state or local laws or regulations. Company may take remedial action should Customer or any of its Authorized Users violate this Section, and such

remedial action may include but shall not be limited to suspension of Services hereunder or termination of this Agreement.

(d) Customer will, to the extent it deems necessary, keep copies of all source documents of the information delivered to Sandata or inputted by Customer into the Products and Service and will maintain a procedure external to the Products and Services for the reconstruction of lost or altered data files.

(e) Customer acknowledges that Sandata's ability to deliver the Implementation Services and any other services selected by Customer on the Sales Order is dependent upon Customer's full and timely cooperation with Sandata, as well as the accuracy and completeness of Customer Information. Sandata may adjust the delivery and performance schedule set forth in the Sales Order due to any act, omission or failure by Customer to provide such information and/or assistance. Sandata shall not be liable for any costs, expenses or liabilities resulting from the acts or omissions in Customer Information or delays to the delivery schedule caused by Customer or resulting from Customer's failure to fulfill any of its obligations under this Agreement or the Sales Order.

(f) Customer shall be responsible for obtaining and maintaining any equipment and ancillary services needed to connect to, access or otherwise use the Products and Services, including, without limitation, modems, hardware, server, software, operating system, networking, web servers, long distance or local telephone service (collectively, "Equipment"). Customer shall be responsible for ensuring that such Equipment is compatible with the Service and complies with all configurations and specifications provided by Sandata, which may be amended from time to time

5. Fees and Payments.

(a) Customer shall pay all fees or charges to its account in accordance with the fees, charges and billing terms set forth on a Sales Order. The fees set forth in the Sales Order are based upon current requirements, specifications, volumes and quantities as communicated by Customer to Sandata and may be revised if the actual requirements, specifications, volumes or quantities vary materially from those communicated to Sandata. If Customer requests additional Products and/or Services not included in this Agreement, and Sandata agrees to provide those such Products and/or Services (i) those Products and/or Services shall be included in an amended Sales Order to be signed and added to this Agreement, (ii) any Services provided to Customer but not included in an amended Sales Order will be subject to the applicable terms of this Agreement, and (iii) unless otherwise agreed in writing, Customer shall pay Sandata's then prevailing fee for those Products and/or Services. All fees and charges are non-refundable whether or not the Products and Services contained on a Sales Order are actively used during any period. Sandata reserves the right to increase the fees, charges and usage policies applicable to the Products and Services and to introduce new fees and charges at any time upon at least thirty (30) days prior written notice to Customer, which notice may be e-mailed to Customer or posted

on Sandata's website. Any such changes in fees, charges or usage policies shall become effective upon Customer's acceptance of a renewal term for the Products and Services.

(b) The fees and charges due to Sandata are exclusive of all sales, use, withholding, excise, value added, ad valorem or other levies or duties imposed by taxing authorities. Customer shall be solely responsible for payment of all such taxes and charges, other than any taxes based solely on Sandata's income.

(c) Customer shall provide Sandata with complete and accurate billing and contact information. This information includes Customer's legal name, billing address, e-mail address and name and telephone number of an authorized billing contact. Customer shall notify Sandata of any changes to this information within thirty (30) days.

(d) All fees and charges shall be due upon receipt of an invoice by Customer. Any undisputed payment not received within thirty (30) days shall be subject to a late fee equal to the lesser of one and one-half percent (1.5%) per month and the maximum amount permitted by applicable law, plus all expenses of collection. Any breach of Customer's payment obligations not in dispute shall be deemed a material breach of this Agreement.

(e) In addition to any other rights granted to Sandata herein, Sandata reserves the right to suspend or terminate this Agreement and Customer's access to the Products and Services if Customer's account remains in arrears for more than thirty (30) days. Upon termination of this Agreement, Customer shall immediately pay all amounts then due and owing to Sandata, including any late fees. Sandata reserves the right to impose a reconnection fee in the event Customer is granted access to the Products and Services following any such termination.

6. Term and Termination

(a) Unless otherwise set forth in a Sales Order, the initial term of this Agreement ("Initial Term") shall be for a period of one (1) year commencing on the date Customer begins using the Products and Services. Upon the expiration of each Initial Term, the term of this Agreement will renew automatically for additional terms of one (1) year each ("Renewal Term", and together with the Initial Term, the "Term"), unless either a party notifies the other party, at least ninety (90) days prior to the end of the then-current Term that it has elected to terminate this Agreement, in which event this Agreement will terminate at the end of such Term. Unless earlier terminated in accordance with its terms, this Agreement will expire on the date the last Sales Order then in effect expires or is terminated pursuant to the terms and conditions set forth in this Agreement.

(b) Except as otherwise provided herein, either party may terminate this Agreement for cause: (i) upon the material breach of the other party, if such breach remains uncured for thirty (30) days following written notice to the breaching party or (ii) if the other party becomes the subject of a petition in bankruptcy or any other proceeding relating to insolvency, receivership,

liquidation or assignment for the benefit of creditors and such petition or other proceeding is not dismissed within ninety (90) days of the filing thereof.

(c) In the event Customer or Sandata reasonably believes in good faith that any Authorized User has violated any provision of this Agreement, Sandata may immediately suspend such Authorized User's access and use of the Service upon written or email notice of such violation containing an explanation of such breach. In the event Customer knows or has reason to know or suspect that an Authorized User has violated a provision of this Agreement, Customer shall provide written notice thereof to Sandata and promptly suspend such Authorized User's access and use of the Service.

(d) Upon the expiration or termination of this Agreement, Sandata will terminate Customer's access to the Products and Services and will cease the provision of all Services and Customer shall promptly pay all amounts due and owing hereunder.

7. Representations and Warranties.

(a) Each Party represents and warrants that it has the legal power and authority to enter into this Agreement.

(b) Sandata represents and warrants that it shall provide the Products and Services in a manner consistent with generally accepted industry practices reasonably applicable to the provision thereof and that the Products and Services will perform substantially in accordance with the Documentation, as such Documentation may be updated from time to time.

8. Disclaimer of Warranties.

(a) Except as otherwise set forth herein, neither Sandata nor its affiliates, officers, directors, shareholders, employees or agents warrant that the Products or Services will be uninterrupted and error-free, nor do they make any warranty as to the results (including cost savings) that may be obtained from the use of the Products or Services or as to the accuracy, reliability or currency of any information or content provided therefrom. Customer acknowledges that the Products and Services may be subject to limitations, delays, outages, and other problems inherent in the use of the Internet and electronic communications and caused by actions or inactions of third parties. Sandata shall not be liable for any delays, delivery failures, or other damage resulting from such problems. THE PARTIES EXPRESSLY ACKNOWLEDGE AND AGREE THAT THE REPRESENTATIONS, WARRANTIES, LIMITATIONS AND EXCLUSIONS SET FORTH IN THIS AGREEMENT (1) REPRESENT THE PARTIES' AGREEMENT AS TO THE ALLOCATION OF RISK BETWEEN THE PARTIES AND THAT THE AMOUNTS PAYABLE BY CUSTOMER TO SANDATA PURSUANT TO THIS AGREEMENT REFLECT SUCH ALLOCATION OF RISK, WITHOUT WHICH NEITHER PARTY WOULD

HAVE BEEN WILLING TO ENTER INTO THIS AGREEMENT; AND (2) FORM AN ESSENTIAL BASIS OF THE BARGAIN BETWEEN THE PARTIES.

(b) THE PRODUCTS AND SERVICES ARE PROVIDED BY SANDATA ON AN "AS IS" AND "AS AVAILABLE" BASIS. OTHER THAN AS EXPRESSLY PROVIDED FOR HEREIN, SANDATA MAKES NO REPRESENTATIONS OR WARRANTIES OF ANY KIND, EXPRESS OR IMPLIED, AS TO THE OPERATION OF THE SYSTEM AND SERVICES OR THE INFORMATION, CONTENT, MATERIALS OR PRODUCTS. TO THE FULLEST EXTENT PERMISSIBLE BY APPLICABLE LAW, RULE, OR REGULATION, SANDATA DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, INCLUDING BUT NOT LIMITED TO, IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

9. Indemnification.

(a) Sandata shall defend, indemnify and hold harmless Customer, its subsidiaries, affiliates, officers, directors, agents, employees and assigns, from and against any and all claims, suits, proceedings, losses, damages, liabilities, costs and expenses (including, without limitation, reasonable attorneys' fees) (collectively, "Losses") suffered or incurred by them in connection with a third party claim arising out of any actual or threatened claim that the Products or Services infringe upon or misappropriates any copyright, patent, trademark, trade secret, or other proprietary or other rights of any third party. Sandata shall have no obligation to indemnify Customer to the extent the alleged infringement arises out of (1) the use of the Products and Services in combination by Customer with other data products, processes or materials not provided by Sandata and such infringement would not have occurred but for Customer's combination; or (2) Customer's information. Should the Products and Services as used by Customer become, or in Sandata's opinion be likely to become, the subject of an infringement claim, Sandata shall at its option and sole expense either: (1) procure for Customer the right to continue to use the Products and Services as contemplated hereunder; (2) modify the Products and Services to eliminate any such claim that might result from its use hereunder; or (3) replace the Products and Services with equally suitable, compatible and functionally equivalent non-infringing Products and Services at no additional charge to Customer. If none of these options is reasonably available to Sandata, then this Agreement may be terminated at the option of either party hereto without further obligation or liability on the part of either party hereto except that Sandata agrees to promptly refund to Customer the pro-rata portion of any fees prepaid by Customer amortized on a straight-line basis based over the term of this Agreement. THIS SECTION 9(a) STATES THE ENTIRE OBLIGATIONS AND LIABILITY OF SANDATA, AND THE EXCLUSIVE REMEDY OF THE CUSTOMER, WITH RESPECT TO INFRINGEMENT OF INTELLECTUAL PROPERTY RIGHTS.

(b) Customer shall defend, indemnify and hold harmless Sandata, its subsidiaries, affiliates, officers, directors, agents, employees and assigns, from and against any and all Losses suffered or incurred by them in connection with a third party claim arising out of (1) a breach by Customer of this Agreement; (2) Customer's use of the Products or Services (3) Customer Data and/or (4) Customer's failure to comply with laws, rules, regulations or professional standards.

(c) The indemnifying party's obligations are conditioned upon the indemnified party: (1) giving the indemnifying party prompt written notice of any claim, action, suit or proceeding for which the indemnified party is seeking indemnity; (2) taking all steps necessary to mitigate any potential damages that may result (3) granting control of the defense and settlement to the indemnifying party (provided that such settlement shall unconditionally release indemnified party of all liability) ; and (4) reasonably cooperating with the indemnifying party at the indemnifying party's expense.

10. LIMITATION OF LIABILITY

(a) IN NO EVENT SHALL SANDATA'S AGGREGATE LIABILITY EXCEED THE AMOUNTS ACTUALLY PAID BY OR DUE FROM CUSTOMER IN THE SIX (6) MONTH PERIOD IMMEDIATELY PRECEDING THE EVENT GIVING RISE TO SUCH CLAIM. IN NO EVENT SHALL SANDATA BE LIABLE TO ANYONE FOR ANY INDIRECT, PUNITIVE, SPECIAL, EXEMPLARY, INCIDENTAL, CONSEQUENTIAL OR OTHER DAMAGES OF ANY TYPE OR KIND (INCLUDING LOSS OF DATA, REVENUE, PROFITS, USE OR OTHER ECONOMIC ADVANTAGE) ARISING OUT OF, OR IN ANY WAY CONNECTED WITH THE PRODUCTS OR SERVICES, INCLUDING, BUT NOT LIMITED TO, THE USE OR INABILITY TO USE THE PRODUCTS OR SERVICES, OR FOR ANY CONTENT OBTAINED FROM OR THROUGH THE USE OF THE PRODUCTS OR SERVICES, ANY INTERRUPTION, INACCURACY, ERROR OR OMISSION, REGARDLESS OF CAUSE IN THE CONTENT.

(b) The parties shall each use reasonable efforts to mitigate any potential damages or other adverse consequences arising from or related to the Products and Services.

11. INSPECTIONS, TESTS AND ACCEPTANCE

(a) If any Products or Services furnished or delivered in accordance with this Agreement are not in conformity with the Documentation, Customer shall have the right to require Sandata to re-perform such Products or Services to conform to the requirements of the Agreement, at no additional cost to Customer, provided Customer notifies Sandata of any non-conformance of the Products or Services within thirty (30) days after delivery of such non-conforming Products or Services. Customer's failure to notify Sandata of any non-conformance within said thirty (30) day period shall constitute acceptance of such non-conforming Products or Services and Sandata shall be relieved all liability with respect thereto.

12. CONFIDENTIALITY

(a) Customer acknowledges that, due to the nature of this Agreement, Sandata shall receive or have access to information from Customer that may be of a confidential or proprietary nature including, without limitation, financial records, patient medical and demographic data, and other information used by Customer for the operation of Customer's business. Sandata acknowledges and agrees that Customer is entitled to prevent others from obtaining and utilizing Customer's

confidential and proprietary information. Therefore, except as otherwise expressly provided for herein, and except as directed by Customer, Sandata agrees to hold Customer's confidential and proprietary information in confidence and not to disclose it or allow it to be disclosed, directly or indirectly, to any person or entity, except as may be reasonably necessary for purposes of this Agreement and then only if the recipient has agreed in writing to maintain the confidentiality of the information.

(b) Customer agrees that certain information submitted to Sandata may be aggregated by Sandata with information received from other customers of Sandata. Notwithstanding the obligations in this Agreement, Customer agrees that the Products and Services may, by removing, encoding, encrypting or otherwise concealing Customer's personal identifiers, Customer's personnel and Customer's patients, de-identify Customer's confidential and proprietary information, including without limitation, Customer Information, Customer's business and financial records, patient medical and demographic data, utilization data, quality assurance data, outcomes data and other data reflecting the experience, condition and activities of Customer. For purposes of this Agreement "identified" Protected Health Information is as defined in the HIPAA regulations Section 164.514. Customer further agrees that the Products and Services may incorporate Customer's confidential and proprietary information in de-identified form into aggregations or compilations of technical, medical, and business information, including but not limited to, statistical databases, data on payer billing rules, outcomes data, protocols and guidelines, financial analyses and generalized medical information (the "Compiled Information"). All de-identified information, once incorporated by the Products and Services into Compiled Information shall become the property of Sandata and shall no longer be subject to the restrictions of Section 12; and Sandata may make changes to, develop, retain, use, transmit, disclose and dispose of it for any lawful purpose; provided that in each case of disclosure the Compiled Information shall not identify Customer, any personnel or any patient of Customer's by name or other individual identifier, and Sandata shall not disclose any key or other device to enable coded, encrypted or concealed identifying information to be disclosed or re-identified unless required by law. Sandata will indemnify Customer from and against any and all liability and costs (including reasonable attorneys' fees) that Customer may be subject to as a result of Sandata's use of the Compiled Information. You shall not distribute or sublicense any Compiled Information.

(c) Customer recognizes that due to the nature of this Agreement, Customer shall receive or have access to information from Sandata that is of a confidential and proprietary nature including, without limitation, price lists, procedure manuals, process diagrams, software, computer programs, formats and technology for organizing and presenting data, communication formats and other technology, and Compiled Information used by Sandata for the operation of its business. Customer acknowledges and agrees that Sandata is entitled to prevent its respective competitors and others from obtaining and utilizing the confidential and proprietary information. Therefore, except as directed by Sandata or as required by law, Customer shall hold all confidential and proprietary information in strictest confidence and not to disclose it or allow it to be disclosed, directly or indirectly, to any person or entity, except as may be reasonably necessary for purposes of this Agreement and then only if the recipient has agreed in writing to

maintain the confidentiality of the information. Upon any termination of this Agreement, Customer agrees to return to Sandata or, at Sandata's option, destroy, all copies of such Confidential Information then in its possession;

(d) In the event that a party becomes legally compelled to disclose any information otherwise subject to confidentiality or use limitations of this Agreement, the party under a legal obligation to disclose shall disclose only that portion of such information that such party is advised by written opinion of counsel is legally required and shall use its best efforts to obtain a protective order or other reasonable assurance that any recipient shall treat such proprietary information confidentially. The obligations in Sections 12(a) and 12(c) above shall not apply to information which (1) is or becomes generally available to and known by the public (other than as a result of an unpermitted disclosure directly or indirectly by the receiving party or its affiliates, advisors or representatives); (2) is or becomes available to the receiving party on a non-confidential basis from a source other than the furnishing party or its affiliates, advisors or representatives, provided that such source is not and was not bound by a confidentiality agreement with or other obligation of secrecy to the furnishing party or any affiliate of which the receiving party has knowledge at the time of such disclosure; or (3) has already been or is hereafter acquired or developed by the receiving party independently and without violating any confidentiality agreement or other obligation of secrecy. In keeping information confidential pursuant to this Agreement, each party shall be obligated to act in a manner no less protective than the care such party uses to protect its own similar confidential and proprietary information, except that in no event shall such care be less than reasonable. The provisions in this Section 12 shall survive the termination of this Agreement and shall remain in full force and effect.

13. PROTECTED HEALTH INFORMATION

(a) Customer and Sandata agree that all member individually identifiable health-related information ("Protected Health Information") shall be used and disclosed only as permitted by applicable state and federal laws, including without limitation applicable Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996 and regulations promulgated thereunder ("HIPAA") and in accordance with the terms and conditions of the Business Associate Agreement entered into between Customer and Sandata. Customer and Sandata shall adopt and maintain procedures consistent with applicable law to safeguard the security and confidentiality of Protected Health Information. Sandata shall cooperate and assist Customer as needed to obtain all necessary or required patient consents in compliance with applicable state and federal law. Except as required to carry out Sandata's obligations under this Agreement or otherwise permitted under the Business Associate Agreement or applicable law, Sandata shall not disclose, sell or otherwise transfer or provide any Protected Health Information or other confidential information on any individually identifiable patient basis to any third party. In no event shall Customer sell any Protected Health Information or other confidential information of Customer, whether or not such information is individually identifying. Sandata's standard Business Associate Agreement can be found at www.sandata.com/BA.

14. MISCELLANEOUS

(a) Amendments. No provisions in any Sales Order, or in any other business forms employed by either party will supersede the terms and conditions of this Agreement. This Agreement may be updated by Sandata from time to time.

(b) Governing Law. This Agreement and performance hereunder shall be governed by and construed in accordance with the laws of the State of New York applicable to the agreements made and to be performed entirely within the State of New York. The New York State Courts located in Nassau County or the Federal courts located in Suffolk County, shall have the sole and exclusive jurisdiction for any disputes.

(c) No Employee Solicitation or Hiring. Customer agrees that during the Term hereof and for a period of six (6) months after termination of this Agreement, that it shall not directly or indirectly solicit for employment or employ any person who is an employee of Sandata or its permitted assignee and who has provided service to the other party hereunder.

(d) Force Majeure. Neither Party shall be liable to the other for any delay or failure to perform its obligations in this Agreement if such delay or failure to perform is due to any cause or condition reasonably beyond such Party's control, including, but not limited to, severe weather conditions, acts of God, war, terrorism, government intervention, riot, embargoes, acts of civil or military authorities, earthquakes, fire, flood, accident, strikes, inability to secure transportation, facilities, fuel, energy, labor or materials.

(e) No Waiver. No delay or failure in exercising any right hereunder and no partial or single exercise thereof will be deemed to constitute a waiver of such right or any other rights hereunder. No consent to a breach of any express or implied term of this Agreement will constitute consent to any prior or subsequent breach.

(f) Severability. If any provision hereof is declared invalid by a court of competent jurisdiction, such provision will be ineffective only to the extent of such invalidity, so that the remainder of that provision and all remaining provisions of this Agreement will be valid and enforceable to the extent permitted by applicable law.

(g) Relationship of the Parties. Sandata's relationship to Customer and its parent, subsidiary and affiliated companies shall be that of an independent contractor. Sandata shall be responsible for its own employees and labor relations. This Agreement does not make Sandata an agent, partner or joint venture of Customer or its parent, subsidiary or affiliated companies. Accordingly, Sandata may not bind Customer or any of its parents or affiliate companies to any third parties including, but not limited to, any labor organizations. Sandata shall be entirely responsible for its own actions.

(h) Equitable Relief. In the event Customer or any of its Authorized Users breach or threaten to breach any provision of this Agreement, Sandata shall have the right, in addition to any other remedies available to it, to seek injunctive or other equitable relief to enjoin such acts, without posting of bond or showing of actual damages, it being specifically acknowledged by the parties that any other available remedies are inadequate.

(i) Survival. Sections, 1, 5, 8, 9, 10, 12, 13 and 14 shall survive expiration or termination of this Agreement.

(j) Assignment. This Agreement shall be binding upon the parties' respective successors and permitted assigns. Customer shall not assign this Agreement, and/or any of its rights and obligations hereunder, without the prior written consent of Sandata, which consent shall not be unreasonably withheld. This Agreement, and the rights and obligations herein, may be assigned by Sandata to any person or entity without the written consent of the Customer.

(k) Notices. All notices required to be given under the terms of this Agreement or which any of the parties hereto may desire to give hereunder, shall be in writing, shall be delivered via one of the following methods, and shall be deemed to have been received: (1) on the day given delivered by hand (securing a receipt evidencing such delivery); or (2) on the second day after such notice is sent by a nationally recognized overnight courier, full delivery cost paid; or (3) on the fifth day after such notice was mailed, registered mail, prepaid, return receipt requested, and addressed to the party to be notified at the addresses set forth in the Sales Order; or (4) upon transmission if sent via electronic mail.

(l) Entire Agreement. Each party acknowledges that it has read this Agreement, understands it, and agrees to be bound by its terms and further agrees that it is the complete and exclusive statement of the agreement between the parties, which supersedes and merges all prior or contemporaneous proposals, understandings and all other agreements, oral and written between the parties relating to the subject matter of this Agreement.

* * * END OF AGREEMENT

Attachment B – Performance Guarantees

Meas. #	Implementation Task Performance Standards	Performance Area	Damages to be Assessed
1	Contractor shall thoroughly test the EVV Solution and demonstrate proof of successful testing for 100% of the specifications and configuration updates presented in the contract in accordance with testing schedule presented in the DHHS-approved Project Management Plan. Critical and high defects <u>as defined and mutually agreed to by the Contractor and DHHS</u> must be corrected before go-live. Other defects will be reviewed by Contractor and DHHS and remediation approach will be agreed to.	Testing	\$1,250 per calendar day in damages may be assessed for failure to <u>comply with the approved testing schedule</u> test as specified .
2	Updated training and communication materials shall be received by DHHS for review and approval fifteen (15) state business days prior to a scheduled training or communication event. Changes to previous version must be identified for ease of review of the changes.	Training and Communication	\$500 per state business day, per occurrence of failure to produce materials.
3	Solution shall have <u>System Integration Testing ("SIT")</u> environment available 90 days prior to <u>User Acceptance Test ("UAT")</u> availability to facilitate interface testing with DHHS. Solution shall have UAT environment available 15 days before UAT scheduled start date. Solution shall have production environment available for production to facilitate EVV Solution operations no less than fifteen (15) state business days prior to the scheduled EVV Solution go-live date as approved by DHHS. SIT and UAT environments shall be available at least 99% of the time during state business days and core working hours (6am CT to 7pm CT) with access on weekends and holidays as mutually agreed in advance by the parties.	EVV Solution Environments	\$500 per state business day, per environment, until required environments are available as per the performance standard.
Meas. #	Operations and Maintenance Task Performance Standards	Performance Area	Damages to be Assessed
4	Contractor shall implement EVV Solution capabilities and services by mutually agreed project implementation dates.	Schedule	<u>If the delay is due to Contractor's fault</u> , \$2,000 per calendar day, until completed, in damages may be assessed for failure to implement on agreed dates.
5	Contractor shall provide a written report and an initial assessment to DHHS within twenty-	Security	\$1,250 per calendar day, per report in damages may be assessed for

	four (24) hours following the identification of any security incident 100% of the time. The report shall detail the incident, initial assessment, including type of incident, the current status, and any potential impact(s). Detail must include time of original incident, time of discovery of incident, and time reported to DHHS.		failure to produce reports and notification.
6	Contractor shall provide accurate and verifiable monthly performance reports to DHHS demonstrating real-time capture of mandated data elements required to verify a visit. The monthly performance report format shall be defined by DHHS. Performance reports shall be provided to DHHS within five (5) business days of the end of the reporting period, and at least five (5) state business days prior to monthly review meeting.	EVV Data Capture	\$200 per state business day, per report, in damages may be assessed for failure to produce reports.
Meas. #	Operations and Maintenance Task Performance Standards	Performance Area	Performance Area
7	Solution application functionality shall be available to end users and integration partners 99.5% of the time, 24 hours a day, seven days a week, excluding DHHS-approved planned downtime. This will be calculated and reported weekly to DHHS and calculated and rolled up to monthly availability for service level delivery tracking and reporting.	Customer Solution Functionality Care	\$250 per hour of system unavailable time over the required uptime in damages may be assessed for failure to comply with this performance standard.
8	Scheduled EVV Solution downtime notification reminders shall be communicated to all EVV Solution users <u>seven calendar days forty-eight (48) hours</u> prior to the scheduled downtime, <u>excluding any required downtime as a result of an emergency.</u>	System Downtime	\$1,250 per event in damages may be assessed for failure to notify for every scheduled downtime event.
9	Immediate notification shall be communicated to all EVV Solution users when unscheduled system downtime occurs. Notification shall be distributed within an hour of discovery of the event, and a flash on the web application and mobile application will be posted at the time the notification is sent.	System Downtime	\$1,250 per event in damages may be assessed for failure to notify for every unscheduled system downtime.
10	Contractor shall ensure availability of accurate data for <u>the creation of reports in the system</u> as follows: A. Current data must be available for ad hoc or scheduled reporting by authorized users 24 hours per day;	Reports	\$500 per calendar day, per report in damages may be assessed for failure to produce reports.

	<p>B. Requests for ad hoc reports shall be fulfilled and available to the end user within forty-eight (48) hours of request submission; and</p> <p>C. Reports generated on occurrence (event based) shall be available within twenty-four (24) hours of the occurrence.</p>		
11	<p>Contractor shall provide technical support by phone and online every calendar day (7 days per week during the hours of 8 a.m. to 6 p.m. CT), for all stakeholders through the first ninety (90) days of the Operations following the final implementation Phase in accordance with the DHHS approved EVV Solution Customer Support Plan agreed upon go-live date. Contractor must also provide callback support for callers who select that option.</p>	Customer Care	\$375 per hour may be assessed for failure to provide technical support as specified.
12	<p>Contractor shall provide technical support by phone and online in accordance with DHHS's regular business hours (including 8 a.m. to 6 p.m. CT) for the duration of the contract beginning on the ninety-first (91st) day <u>after the agreed upon go-live date of the Operations Phase</u>. Support shall be provided in accordance with the DHHS approved EVV Solution Customer Support Plan. Off hours email support must be provided. Telephone support for providers and caregivers must be provided twenty-four (24) hours a day, every calendar day, with a callback option which callers can select.</p>	Customer Care	\$375 per hour may be assessed for failure to provide technical support as specified.
13	<p><u>Beginning on the ninety-first (91st) day after the agreed upon go-live date</u>, Customer Support services staffing levels shall be maintained so that no more than ten percent (10%) of the calls placed into the queue remain on hold for more than five (5) minutes, and so that the abandon rate is no greater than five percent (5%). This will be reported weekly, but the SLA shall be calculated monthly.</p>	Customer Care	\$375 per calendar day may be assessed for failure to provide customer care support as specified.
14	<p>Customer Support shall respond to all received telephone and email contacts within two (2) working days of receipt of the inquiry for 99.99% of the inquiries. This SLA shall be calculated monthly.</p>	Customer Care	1% of the Monthly Operational Invoice may be assessed as penalties for failure to comply as specified.
Meas. #	Operations and Maintenance Task Performance Standards	Performance Area	Damages to be Assessed
15	<p>Respond to all DHHS inquiries within two (2) state business days.</p>	Customer Care	\$375 per state business day may be assessed for failure to comply as specified.

16	<p>Updated training and communication materials shall be submitted to DHHS for review and approval fifteen (15) state business days prior to a scheduled training or communication event. Changes to previous version must be identified for ease of review of the changes.</p>	Training and Outreach	\$1,250 per state business day may be assessed for failure to comply as specified.
17	<p>EVV Solution shall have at least ten (10) years of reporting available online to DHHS. In years one (1) through ten (10) all data will be accumulated until ten (10) years' data is available.</p>	Report Data	\$500 per state business day in damages may be assessed for failure to comply as specified.
18	<p>The Contractor solution shall provide response times within two (2) seconds 95% of the time and within eight (8) seconds 99% of the time.</p> <p>Response time monitoring shall include all discrete transactions for each user request and associated contractor system response during all uptime hours.</p> <p>Each discrete transaction shall be monitored and captured such that reporting can provide aggregated reporting of the entire transaction population, a variety of subset populations with drill down to individual discrete transactions.</p> <p>Contractor shall only have responsibility to monitor transaction response from the contractor solution incoming endpoint to the contractor solution outgoing endpoint.</p> <p>Response time reporting shall be provided at least weekly.</p> <p>Calendar week is defined as each week of the year, all day (24 hours), every day of the week, Sunday through Saturday, <u>excluding planned downtime</u>.</p>	Production Online System User Responsiveness	\$2,500 per calendar week the contractor system does not minimally comply <u>with the response times set forth in this Section 18</u> .
19	<p><u>Definition</u> This is a measure of operational readiness to an incident. The incident can be a security incident, system availability incident, data quality incident or user reported incident. An incident Response to an event is reported to the service desk or detected by a service provider.</p> <p>The Solution will measure the following</p>	Incident Response	\$2,500 per calendar week the contractor does not minimally comply.

- Initial Response Time: This is the timeliness of acknowledging the initial reported incident and registering it in the incident response system.
- Update Frequency: This is the minimum frequency of communicating updates to a defined set of state stakeholders for the incident resolution progress.
- Resolution Time: This is the maximum time to resolve a specific incident. The resolution is an acceptance of the implemented fix by the State stakeholders.

The Solution will measure and report against the following thresholds for service incident response times

Severity Level	Initial Response Time	Update Frequency	Resolution Time
Severity 1	99.5% ≤ 15 minutes	Every 15 60 minutes	99.5% ≤ 1 hour
Severity 2	99.5% ≤ 15 minutes	Every 4 30 hours minutes	99.0% ≤ 4 hours
Severity 3	99.5% ≤ 15 minutes	Every 4 hours	99% ≤ 5 days
Severity 4	99.5% ≤ 15 minutes	Every day	100% ≤ 10 days

Must be measured and reported weekly.

Calculation

The solution will report monthly the incident resolution and response times.

Additional Notes

The incident response process defines the standard operating procedures for reporting, classifying, managing and resolving incidents. The initial classification of the incident shall be done by the entity reporting the incident.