

PROPOSAL SAMPLE

REPRESENTATIVE EXCERPT

This document contains selected excerpts from a successful NY State RFO response led by Heather Smirle.

Content has been condensed and anonymized to demonstrate proposal structure, requirement alignment, and evaluator-focused writing.

Sections included:

- Executive Summary
- Selected Scope of Work responses

Branded and complete proposals are not shared due to client confidentiality.

TABLE OF CONTENTS

6.2.D – Technical Offer Narrative: Executive Summary.....	2
6.2.E – Technical Offer Narrative: CDPAP Services Coverage	4
6.2.F – Technical Offer Narrative: Scope of Work	5
Section 6.2, F.1 – Required Fiscal Intermediary Services.....	5
F.1 a) Processing wages and benefits for each personal assistant (PA), including establishing the amount of each PA’s wages	5
F.1 b) Processing all applicable income tax and other required wage withholdings.....	7
F.1 c) Complying with worker’s compensation, disability, and unemployment requirements.....	8
F.1 i) Entering into a Department approved memoranda of understanding with consumers that describes the parties’ (consumers, FI, and LDSS or MCO as appropriate) responsibilities under CDPAP	8
F.1 j) Any additional services required to be performed pursuant to regulations established by the Commissioner of Health specifying the responsibilities of FIs providing services under this title.....	9
F.1 k) Describe the ability and experience of the Offeror or its subcontractors to provide cultural and linguistic competencies that reflect the needs of the consumers they propose to serve.	10
Section 6.2, F.2 – Best Practices.....	12
F.2 a) Providing peer supports, including peer mentoring and counseling for consumers and their families to assist in navigating their employer responsibilities	12
F.2 f) Establishing, maintaining, and monitoring an online presence for consumers / caregivers and provide a means to report and/or resolve complaints and answer inquiries	12
F.2 g) Other practices as may be determined by the Offeror.....	14
Section 6.2, F.3 – Fiscal Intermediary Organizational Requirements	19
F.3 a) Describe how the FI has and will maintain an effective organizational structure with qualified administrative staff to deliver all the services of the Contractor.	19
F.3 b) Submit an organizational chart with professional and managerial lines of authority and subcontractor relationships.....	20
Full-page organizational chart	21
Section 6.2, F.4 – Fiscal Monitoring and Oversight.....	22
F.4 e) Establish and implement corporate compliance policies and procedures in accordance with the Federal Deficit Reduction Act and the False Claims Act to prevent, detect, and report fraud, waste, and abuse	22
Section 6.2, F.5 – Quality Monitoring and Reporting	25
F.5 a) Describe how the Offeror will comply with the reporting requirements in Section 4.7, including systems to track required data.....	25

6.2.D – TECHNICAL OFFER NARRATIVE: EXECUTIVE SUMMARY

The Consumer Directed Personal Assistance Program was implemented to provide eligible individuals with greater flexibility and freedom of choice in obtaining home care services. The CDPA program empowers people by allowing them to maintain their independence while directing the delivery of their care. This enables participants in the program to remain at home and not be forced into a more expensive, institutional setting.

REDACTED COMPANY (dba ABC Inc.) is uniquely positioned to work with the New York State Department of Health to achieve its goals for the program.

We currently provide fiscal intermediary service to approximately 3,400 consumers and approximately 5,100 personal assistants. We have processed over 7,900 personal assistants through payroll since the beginning of the CDPA program, and we have extensive knowledge and experience of the program intricacies. We have been operating as an LHCSA within New York State for over 25 years, and we have an outstanding reputation in the home care industry.

At ABC Inc., we believe that trust and understanding are a critical part of every interaction. Our staff has the skill set and the genuine passion needed to provide comfortable, caring service to all consumers and their PAs, whatever their language or cultural background. In over 98% of our customer satisfaction surveys, ABC Inc. has received a perfect rating for services provided, and we attribute that to the respectful, smooth user experience we deliver.

With our advanced automation and proven efficiencies, ABC Inc. can provide the Department of Health with the knowledge and insight they need from a Lead FI. Our experience has proven that we can reduce the amount of time and paper required to manage CDPAP, use our strong processes to eliminate fraud, waste, and abuse, and provide the Department with better reporting to enable accurate forecasting.

Through our proprietary *AnyTech* software, ABC Inc. is already fully compliant with all EVV requirements in the 21st Century Cures Act, and we can help New York State meet the required federal timing. We will readily provide the Department with data and regular, timely reports, and can freely generate reports on demand. We use our robust reporting ability to ensure financial and operational integrity, and to monitor compliance across all processes of our CDPAP service offering.

ABC Inc. also collaborates with our LHCSA VBP department to provide a “Stay at Home” program, which is dedicated to reducing preventable hospitalizations. We ensure our consumers receive the most current information to best educate them on how to stay healthy and in their homes.

We are well positioned with enough financial resources to expand our services to meet the needs of a growing, culturally diverse older adult and disabled population. ABC Inc. has already experienced significant growth without any reduction in the quality of services delivered. While

we will be responsible for all program requirements in this RFO, we have chosen to partner with collaborating partners who are active members of the home care community and who share our same commitment to quality, cultural sensitivity, and community engagement.

ABC Inc. will be an exemplary Lead FI for the state of New York, and we welcome the opportunity to collaborate on our mutual goal of enhancing the efficiency, transparency, and reporting standards of the CDPA program.

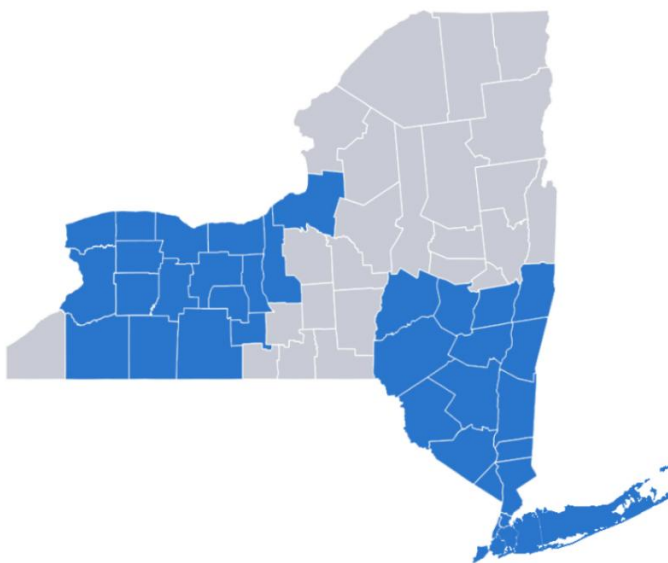
6.2.E – TECHNICAL OFFER NARRATIVE: CDPAP SERVICES COVERAGE

ABC Inc.'s responses to all sections in this technical offer apply to the following counties in the state of New York:

- | | | |
|---------------|--------------|------------|
| • Nassau | • Monroe | • Genesee |
| • Suffolk | • Wayne | • Rockland |
| • Kings | • Cayuga | • Orange |
| • Queens | • Niagara | • Putnam |
| • Richmond | • Erie | • Sullivan |
| • Manhattan | • Ontario | • Ulster |
| • Bronx | • Livingston | • Dutchess |
| • Westchester | • Allegany | • Steuben |
| • Cattaraugus | • Yates | • Oswego |
| • Schuyler | • Schoharie | • Albany |
| • Otsego | • Columbia | • Greene |
| • Rensselaer | • Orleans | |

Figure 1: Lead FI Service Area uses blue to highlight where ABC Inc. and collaborating partners will have the local presence necessary to provide timely and efficient CDPAP services.

Figure 1: Lead FI Service Area



With our experience in managing multiple remote offices, our process expertise, our online training suite *ABC U*, our *AnyTech* proprietary software, and mobile application, ABC Inc. can expand service into any area needed quickly and effectively.

6.2.F – TECHNICAL OFFER NARRATIVE: SCOPE OF WORK

SECTION 6.2, F.1 – REQUIRED FISCAL INTERMEDIARY SERVICES

F.1 a) Processing wages and benefits for each personal assistant (PA), including establishing the amount of each PA's wages

As a Lead FI, ABC Inc. would be responsible for all aspects of the payroll process for all our subcontractors. We have the experience and expertise to process wages, set pay rates, and fully comply with NYS Wage Parity regulations.

Establishing wages

Responsible: ABC Inc. / Area: All counties per Part B

A PA's total compensation is determined by their hourly pay rate, paid time off, and, where applicable, additional wage parity benefits. Pay rates are set by ABC Inc. according to the location of the consumer's residence and either meet or exceed all minimum wage requirements. Pay rates, including a description of available benefits, are communicated to the consumer and reviewed with the PA. ABC Inc. processes employment and wage verification requests from PAs as required.

Payroll process

Responsible: ABC Inc. / Area: All counties per Part B

ABC Inc. processes payroll weekly, starting on Monday and ending each Sunday.

We calculate overtime in accordance with all State and Federal regulations. In cases where one PA works for multiple consumers, hours are automatically combined and overtime is calculated based on total hours worked. We can also calculate wages in circumstances where multiple PAs provide services for a single consumer.

Through *AnyTech* and *HHAeXchange*, we process all visit information to generate a payroll export, then securely transmit it to PayPro to process payroll. PayPro provides industry leading support and software services with multiple levels of built in security for handling payroll services. PayPro processes payroll, creates wage statements and provides them to ABC Inc. with each payroll. A PA can access their pay history and W-2s at any time by logging into their payroll portal provided by PayPro or by calling the office for assistance.



The HHAeXchange prebilling function catches any visit anomalies before billing occurs.

Within our policy we comply with all regulations including, but not limited to, the Fair Labor Standards Act, the Domestic Workers Bill of Rights, and the New York City Earned Safe and Sick Leave Act.

Processing visit information

Responsible: ABC Inc. / Area: All counties per Part B

Processing visit information is critical to the payroll process. Because of its importance, ABC Inc. uses a combination of its proprietary mobile application (described more fully in Section 6.2, F.2) and our verification organization, HHAExchange, to effectively capture all service visits. ABC Inc. maintains guidelines to ensure both the consumer and the PA are trained on the proper use of the mobile application.



Our process ensures the visits are accurate, the consumer is receiving the services as scheduled, and the insurance company is only billed for services rendered.

The use of the electronic visit verification through both the mobile application and call in and out feature through HHAExchange ensures that the PA is providing services at the time and location scheduled. The use of both systems provides an additional safeguard as they rely on GPS or landline to accurately show when a PA arrives and leaves the location. ABC Inc. collects and documents Consumers Attestations prior to billing and payroll.

HHAExchange electronically verifies that services are performed with accountability and transparency, and that all PA visits are electronically verified for the type, date, and location of service.



ABC Inc. is already compliant with all Electronic Visit Verification (EVV) requirements in the 21st Century Cures Act.

App users will receive a reminder to clock in five minutes before a PA visit is set to start. If a timestamp does not register at the start of the shift, our mobile application generates an automated reminder for the PA that their shift is starting and they have not clocked in. If more than 30 minutes elapse after the scheduled start time of the shift, the coordination team is alerted and reaches out to the consumer to verify if services are currently being rendered or if the schedule needs to be updated.

This ensures that billing and pay are processed accurately with virtually no adjustments needed.

To test the accuracy and ensure that PA billing records are accurate, ABC Inc. conducts monthly random audits of at least 15% of PA files. Included in those audits is a review of the Exception Report, which reviews conflicts between services or items based on some or all of the following:

- The identity of the person providing the service or item to the Medicaid recipient
- The identity of the Medicaid recipient
- The time, date, duration, or location of service

Wage parity

Responsible: ABC Inc. / Area: All counties per Part B

ABC Inc. calculates Wage Parity benefits for each PA based on service location, hourly pay rate, and total hours worked per month.

Benefits included in the wage parity calculation are:

- Pay rates above minimum wage
- Life insurance
- Paid time off

We will offer health insurance as an additional option. Personal assistants can either choose minimum wage with health insurance, or a higher hourly wage if they do not require the health insurance.

Because we have been offering several health insurance options through our LHCSA for 25 years, it will be a seamless process to add this benefit for the personal assistants. We are prepared and accustomed to complying with all current ACA requirements for health insurance benefit offers.

ABC Inc. works with Wage Consultants, Inc. to process all wage parity payments to third party companies, as well as to calculate personal assistants' wage parity benefits and track their hours and benefits monthly.

PFL and FMLA

Responsible: ABC Inc. / Area: All counties per Part B

ABC Inc. offers Paid Family Leave (PFL) and Family Medical Leave Act (FMLA) to PAs in compliance with all federal and state laws.

F.1 b) Processing all applicable income tax and other required wage withholdings

Responsible: ABC Inc. / Area: All counties per Part B

ABC Inc. works with PayPro Corporation when processing payroll for all personal assistants. PayPro uses their Millennium 3 software to process payroll and to remit all required taxes, including all income taxes and social security taxes.

We transfer information from each PA's W-4 and IT-2104 into their electronic profile after onboarding is complete. PayPro presents a statement to ABC Inc. on a weekly basis for taxes due and withdraws the amount from the bank account provided by ABC Inc.. PayPro submits the tax amount directly to the governing bodies as required by law.

Whenever required, we can electronically access a PA's information related to their pay, such as a W-2 wage and tax statement or their visit history.

F.1 c) Complying with worker’s compensation, disability, and unemployment requirements

Responsible: ABC Inc. / Area: All counties per Part B

ABC Inc. maintains all necessary insurance coverages as required by law, as per Table 1 below. We follow all New York State requirements regarding unemployment insurance. We use Peoples System as our representative in unemployment claims with NYS DOL. As a Lead FI, we will appear at workers compensation, disability, or unemployment hearings.

The controller and the CFO review all policies annually, and premiums are paid as per policy requirements.

During the onboarding process, we inform the personal assistant about the availability of insurance benefits and the process they must follow should coverage be required under one of the policies.

Table 1: Insurance Coverage

Policy Type	Coverage Amount
Workers’ Compensation (The Charter Oaks Fire Insurance Company / Travelers Property Casualty Co of America)	\$1,000,000.00
Disability / Paid Family Leave (ShelterPoint)	n/a
General / Professional Liability (Evanston Insurance Company)	\$1,000,000.00 / \$3,000,000.00
Cyber Security (Evanston Insurance Company)	\$1,000,000.00
Umbrella Liability (Ironshore Specialty Insurance)	\$2,000,000.00
Property / Business Interruption (Seneca Insurance Company Inc.)	\$50,000.00
Crime (Travelers Casualty and Surety Company of America)	\$1,000,000.00

F.1 i) Entering into a Department approved memoranda of understanding with consumers that describes the parties’ (consumers, FI, and LDSS or MCO as appropriate) responsibilities under CDPAP

Responsible: ABC Inc. / Area: All counties per Part B

ABC Inc. enters into a department-approved Memorandum of Understanding (MOU) with every consumer or their designated representative prior to offering any CDPAP services. The MOU details all MCO, FI and consumer responsibilities, as well as specific ABC Inc. policies.



We review the MOU in person with the consumer during the orientation to CDPAP, and the consumer signs it on An ABC Inc. tablet using our *AnyTech* software. No MOU is ever signed on paper.

We file all MOUs electronically within our software, and we generate and mail a paper copy to the consumer. An ABC Inc. HR representative reviews and signs the MOU, then electronically sends it to a second HR reviewer to review the document for accuracy and approval. The consumer's name, address, date of birth, and Medicaid number are compared to the information on eMedNY ePACES. We also confirm that the person who is approved to direct care by the MD orders or the MCO is the one who signed the agreement. Any discrepancies are addressed prior to approval.

Once the MOU is approved, the information is automatically imported into HHAExchange to create a new consumer profile. Access to creating profiles is limited to administrative access.



Our electronic controls ensure that no consumer can begin CDPAP services before the signed MOU meets our approval standards and is properly filed.

If the individual chosen to direct care ever changes, whether the consumer or DR, a new MOU must be signed, approved, and entered into the consumer's profile within our system.

F.1 j) Any additional services required to be performed pursuant to regulations established by the Commissioner of Health specifying the responsibilities of FIs providing services under this title

Responsible: ABC Inc. / Area: All counties per Part B

Termination documentation process

When a consumer terminates a personal assistant, we obtain the following information from the consumer:

- Name of the consumer
- Name of the PA
- Date of termination
- Reason or circumstance that led to the termination of the PA

We then electronically file the termination information in the consumer and the PA's respective files in our system and in HHAExchange. We also provide the terminated PA with all documentation and information required under state and federal law.

Resource library and outreach strategies

ABC Inc. has an extensive library of information that consumers can use with their personal assistants when training them to complete the tasks in their Plan of Care. We also offer videos and materials to assist the consumer with fulfilling their responsibilities in hiring, scheduling,

supervising, and, when needed, firing their PAs. The use of these materials is completely voluntary, and does not infringe upon the consumer's responsibilities and self-direction.

ABC Inc. also subcontracts the Consumer Directed Personal Assistance Association of New York State (CDPAANYS) for peer mentoring, who could provide the consumer a peer within the program to assist in managing their personal assistants.

As part of our proactive 'Stay at Home' initiative, we are constantly in contact with consumers to educate them on the importance of the flu vaccine, tripping / slipping hazards that occur around the home and outside, hydration needs, and local resources available to them. This continuous outreach strategy is to keep consumers engaged within their local community, and to prevent avoidable hospitalizations.

Consumers, designated representatives, and personal assistants can access and review all this information at any time through our website or mobile application.

File auditing protocols

ABC Inc. has extensive file auditing protocols. We audit the following files quarterly:

- HR files for compliance with health documentation requirements for personal assistants and for I-9 compliance
- Time submission records for completion of service times, required signatures or attestations, and the consistency of the billable records
- Consumer agreements to ensure they are on file and properly signed
- Authorizations and associated information, such as names, dates of birth, member IDs, service codes, and modifiers, for accuracy and validity

We also use external controls, including accounting audits. (More detail in Section 6.2, F.4, 1.c)

F.1 k) Describe the ability and experience of the Offeror or its subcontractors to provide cultural and linguistic competencies that reflect the needs of the consumers they propose to serve.

Responsible: ABC Inc. and Collaborating Partners / Area: All counties per Part B

At ABC Inc., our employees come from a diverse range of backgrounds and cultures. We understand and respect the importance of observances, traditions, dietary considerations, living preferences, and other cultural needs throughout the different populations we serve. We have an internal Training and Development Coordinator who provides mandatory cultural sensitivity training for all staff, and we pride ourselves on our empathy, communication, and understanding.

We make all documents and education materials available in any language required, and we do our best to assign consumers to staff members who speak their language and understand their culture. We have staff members fluent in many languages, not just on the coordination team, but across all our functional groups.

The languages our staff members are fluent in include:

- English
- Russian
- Polish
- Spanish
- Creole
- Uzbek
- Ukrainian
- Greek
- Yiddish
- Hebrew
- Cantonese
- Mandarin
- Urdu
- Farsi
- Hindi
- Arabic
- Bengali
- Hungarian

When staff is not available to speak to the consumer in their own language, we use Language Line Solutions, a professional third-party language line who can service over 200 languages. As a Lead FI, if we need to add staff to increase our linguistic capability to accommodate our consumers, we have the resources to do so.

Our collaborating partners are also staffed with members of many languages and cultures, which will widen and enhance our ability to service consumers.

SECTION 6.2, F.2 – BEST PRACTICES

Responsible: ABC Inc. and Collaborating Partners / Area: All counties per Part B

As a Lead FI, ABC Inc. will provide high-quality CDPAP services to our consumers.

ABC Inc. assumes the ultimate responsibility for these best practices. To further enhance the delivery of services to our consumers, we will implement creative best practices with our collaborating partners as needed. If a collaborating partner carries out specific duties, we oblige them to follow our applicable policies, procedures, and best practices. In the appropriate sections, we have noted how we will train them accordingly.

F.2 a) Providing peer supports, including peer mentoring and counseling for consumers and their families to assist in navigating their employer responsibilities

As a Lead FI, ABC Inc. offers peer mentoring services to their consumers and designated representatives throughout NYS. We subcontract these services through the Consumer Directed Personal Assistance Association of New York State (CDPAANYS), as discussed in Section 6.2, F.1, 2.

The use of CDPAANYS peer mentoring program empowers consumers to use the CDPAP program more effectively. The availability of the service helped consumers new to CDPAP by addressing questions and concerns about workers and the program, and by helping the consumer create strategies to effectively deal with them. Peer mentoring was proven to lower worker turnover, and improve continuity of care and quality of care in consumers using CDPAP for over 90 days.

During the time in which peer mentoring was available, benefits reported by fiscal intermediaries included:

- Increased consumer understanding of CDPAP and the skills required for self-direction
- FI staff could rely on peer mentors to help people manage their programs, allowing FIs to direct limited staff resources elsewhere
- Increased consumer ability to successfully manage their CDPAP responsibilities

F.2 f) Establishing, maintaining, and monitoring an online presence for consumers / caregivers and provide a means to report and/or resolve complaints and answer inquiries

ABC Inc. uses innovative technology to give consumers and caregivers access to all the information they need easily and quickly.

We have a user-friendly website for our consumers and we freely provide both general and staff email addresses. Our consumers and PAs also have access to a secure mobile application that they can use for convenient, direct communication with their coordinator.

Our website

ABC Inc. has a user-friendly website that is available in multiple languages. Our CDPAP section includes an informative video and provides the highlights of the program, and gives consumers or designated representatives an easy way to start the CDPAP application process with ABC Inc..

Our website also includes the following printable forms for the consumer and their prospective PA:

- M11Q - Medical Request for Home Care
- DOH-4359 Physician's Order for Personal Care / CDPAS
- Form for Physical Exam for CDPAP Caregiver (PA)

Our website provides consumers and PAs a way to communicate directly with ABC Inc. and ask questions, report potential compliance concerns anonymously, or file a documented complaint. We review and respond to all questions, reports, and complaints as quickly as possible and log them as per our policies.

Our email

All ABC Inc. employees have email capability and provide their email addresses to their assigned consumers and PAs. All our emails are encrypted and HIPAA-secure. Our website provides a general email address, and we give out email addresses for specific employees and departments freely. We also fax with consumers who prefer that method of communication.

Our mobile application

These days, most of the electronic communication with our consumers and PAs is done through our innovative, proprietary mobile application.



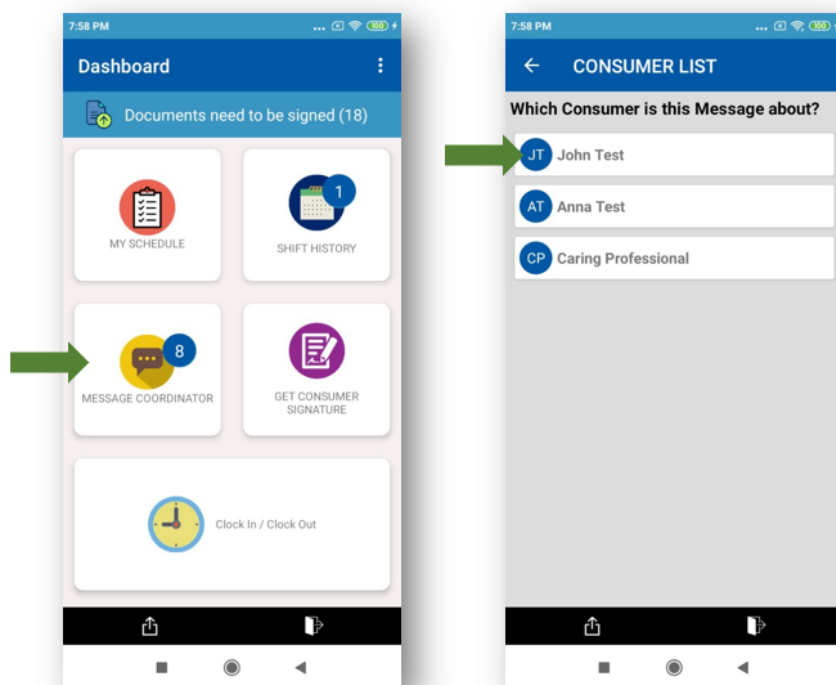
Our HIPAA-secure mobile application contains a messaging feature for easy, seamless communication between consumers, personal assistants, and their assigned ABC Inc. staff.

Almost all our cases use the app for clocking in and out, and the messenger for CDPAP-related communication. Our mobile app gives the consumer and personal assistant quick and easy access to their own specific coordinator to:

- Ask questions
- File complaints
- Provide scheduling updates
- Report vacations, hospitalizations, or emergencies

In fact, some of our consumers and personal assistants just use the messenger feature to say hello to their coordinator. Our mobile application has greatly alleviated our call volume, while making ABC Inc. more accessible than ever before.

Figure 2: Training screenshots of a personal assistant messaging about a consumer



F.2 g) Other practices as may be determined by the Offeror

ABC Inc. works hard to ensure that we are delivering the utmost quality and care in all aspects of CDPAP.

Our proprietary software and mobile application

ABC Inc. has applied our considerable expertise, gained over the 25 years we have operated as an LHCSA and 5 years as an FI, to perfect our processes and procedures. One of our key accomplishments has been the creation of an automated, secure process to enroll and maintain all required documents pertaining to the CDPA program.

We have developed proprietary software, *AnyTech*, that includes a mobile application for use by consumers, PAs, and designated representatives within CDPAP.

This automation lets us securely manage all aspects of our processes, including:

- Scheduling
- Document management
- Quality assurance
- Coordination
- Compliance
- Training
- Efficiency
- Messaging

- Onboarding
- Case Tracking
- Electronic Visit Verification (EVV)

As a Lead FI, ABC Inc. can easily scale the use of this application and make it available to any collaborating partner. Through our relationships with the verification organizations within NYS, we will also have the capability to access collaborating partners' consumer and personal assistant records through the transition period.

Using a combination of *AnyTech* and the mobile application enhances our efficiencies across all our processes. Some examples where operations have benefited from our technology include:

- All PA and consumer paperwork is completed and managed electronically
 - Documents immediately filed directly in the consumer's or PA's profile page
 - Virtually eliminates paper timesheets
 - Efficient document audits
 - Real time capability to review document and visit information
- System security and privacy controls
 - Data encryption at rest and in transit
 - Password protected access
 - Monitoring of login attempts, page views and actions
 - Need to Know access requirements based upon job function
- Compliance controls
 - Visual map of location of PA at clock in and out
 - Interactive dashboard display in real time of the status of every single current visit
 - Daily report card of PA Clock in and or out
 - Facial recognition capabilities to increase confidence level of PAs location
 - Device "stamping" which requires PA to use same device to clock in and out
 - Consumer attestation of visit required
- Communications with all office staff
 - Auto reminders of missing or expiring health assessments
 - Secure messaging feature allows timely communication with PAs
- Payroll information
 - Ability of PA to complete or update state and federal forms
 - Online access to pay stubs
- Quality Assurance

- Clock in and clock out monitored with each PA scored upon accuracy and timeliness
 - Live dashboards give supervisors access to key data points
 - Capability of recording and storing consumer/PA calls on HIPAA compliant servers
 - Reporting tool with automated reports and fully customizable date sets
- Intake
 - Consumer and PA automated upload of documents
 - Elimination of human error
 - System-wide access to documents and information for authorized recipients
- Reporting
 - Running both generalized and MCO-/LDSS-specific reports is easy. Some examples include:
 - Financial
 - Hours billed / paid
 - Amounts billed / received
 - Accounts receivable
 - Payroll / billing variances
 - Wage parity
 - Cost reports for the Department of Health
 - Operations
 - Overtime reporting
 - Utilization trends

CDPAP onboarding process for consumers and PAs

The use of *AnyTech* and our mobile application streamlines CDPAP onboarding and allows for transparency and accuracy throughout the process.

During the onboarding process, our onboarding specialists conduct an in-person orientation and thoroughly explain CDPAP to every consumer and personal assistant. The orientation is conducted either in one of our local offices, in one of our collaborating partners' offices, or in the consumer's home.

During the consumer orientation, we review the MOU and compliance plan with the consumer. We also review CDPAP rules, company policies, and our disaster preparedness and emergency plan. The consumer is provided with a written orientation and CDPAP participant's guide, and views our orientation video. The consumer is also advised of their rights to file complaints and the ABC Inc.'s complaint resolution process is explained.

During orientation, the consumer will receive secure access to our mobile application and trained on its use, including how to properly submit and attest to their PA's visit times, and how to use the communication features.

Once all documents are reviewed, the consumer signs the MOU and compliance plan electronically on a tablet and a hard copy is automatically mailed to the consumer.

During the PA orientation, the PA will receive secure access to our mobile application and trained on its use. Through the mobile application, the PA will be able to securely upload documents, sign agreements, schedule appointments, and complete training modules. The onboarding specialists and coordinators will be able to communicate directly with the PA through the mobile app by sending push notifications.

PA will complete all requisite documents. These documents are entered, along with PA wage and tax selections, into *AnyTech*. After completion and approval of all requisite forms, the file uploads into HHAeXchange. This process ensures that the proper pay rate, deductions, and benefits are in place for each PA.

Our fully-automated, streamlined process eliminates human error, saves time, resources, and provides efficiency and accountability in all stages of the onboarding process.

Using controls in our system to prevent fraud, waste, and abuse

AnyTech has many built-in controls to increase our efficiency and compliance. Some examples include:

- Our system automatically generates a daily report card for PAs by verifying:
 - Missed clock in or out
 - Distance from the consumer's home
 - Past visit compliance
- Our mobile application uses GPS, and our system checks the approved location of the visit against the GPS of the app. If a visit is not in range of the consumer's home and the PA has a low visit score, the system flags the visit and prevents billing until our coordination team can verify the visit.
- Our mobile application provides real-time information to our coordination team of all PAs clocking in or clocking out, along with a visual map of where they are.
- We have tagged hospital locations in our system. Our mobile application flags the coordinator if a PA is clocking in or out from a hospital location.

If ABC Inc. suspects that there may be fraudulent reporting, we can request that the PA get visits approved by the consumer using the facial recognition software on the app. This ensures that the PA is with the consumer during the reported visit.

Consumer and PA satisfaction surveys

We conduct consumer and PA satisfaction surveys on a regular basis via phone, requesting feedback on our services and asking for comments and feedback. The ABC Inc. management team reviews all comments and feedback, and addresses them as appropriate in a timely manner.



In over 98% of our consumer satisfaction surveys, ABC Inc. has received a 5/5 satisfaction rate (the highest rating possible).

We believe that our consumer and PA satisfaction rate is in large part due to the smooth user experience that ABC Inc. delivers. Because of our *AnyTech* software and mobile application, we have a seamless, easy, and secure process to enroll and maintain all processes necessary for the CDPA program, and open communication channels with our staff right at our consumers' and PAs' fingertips.

Electronic data privacy and security requirements

ABC Inc. understands that Medicaid data may not be used for purposes other than the administration of the Medicaid program. Accordingly, ABC Inc. operates (and will require its collaborating partners to operate) in compliance with all New York State information technology policies and regulations, including those that relate to privacy, confidentiality, and security. Please see the attached indexes (found in Appendix B and Appendix C) for more information. ABC Inc. is aware of its obligations to notify the Department of Health if any breach of privacy or confidentiality or any security incident occurs. ABC Inc. has a standard practice of entering into security and privacy agreements, and Business Associate Agreements as necessary.

SECTION 6.2, F.3 – FISCAL INTERMEDIARY ORGANIZATIONAL REQUIREMENTS

ABC Inc. recognizes the organizational needs of a Lead FI, and we have established an effective organizational structure that will allow qualified staff to deliver a full range of CDPAP services to consumers across the State of New York. Our program is structured to operate in compliance with SSL 365-f, 18 NYCRR 505.28 and 504.3 that specify the responsibilities of providers enrolled in Medicaid, PHL 3614-c and applicable state and federal labor laws.

As a Lead FI, ABC Inc. will have sole and direct responsibility for providing fiscal intermediary services. Our organizational structure plans for the use of collaborating partners. At the appropriate time, ABC Inc. will enter contractual relationships with its collaborating partners. These contracts will include a description of the services to be provided by the collaborating partner; provided, that, the collaborating partner will be prohibited from providing designated fiscal intermediary services reserved for the Lead FI and the ABC Inc. will retain and acknowledge responsibility as joint employer of the PA. The contract will detail the services to be provided by the collaborating partner in accordance with ABC Inc.'s applicable policies and procedures. Such services shall be performed by the collaborating partner with ABC Inc.'s support and technical assistance as necessary.

F.3 a) Describe how the FI has and will maintain an effective organizational structure with qualified administrative staff to deliver all the services of the Contractor.

ABC Inc. has an efficient organizational structure that includes separate departments for:

- Intake
- Coordination
- Human Resources
- Compliance
- Billing
- Payroll
- Accounts Payable
- Management
- Administration

Each department has a manager who reports to the administrator, who reports to the President and CEO. This accountability structure gives us strong reporting and oversight to ensure we are delivering consistent, high quality service across all functional groups.

As a Lead FI, we mandate that every employee follows the appropriate *ABC U* online training path for their position, which provides training on the CDPA program, our *AnyTech* software, best practices, and our expectations for their role. In addition, *AnyTech* ensures that, in accordance with HIPAA and New York State privacy and security laws, all system users have access only to system pages, features, and documents as required by their role.

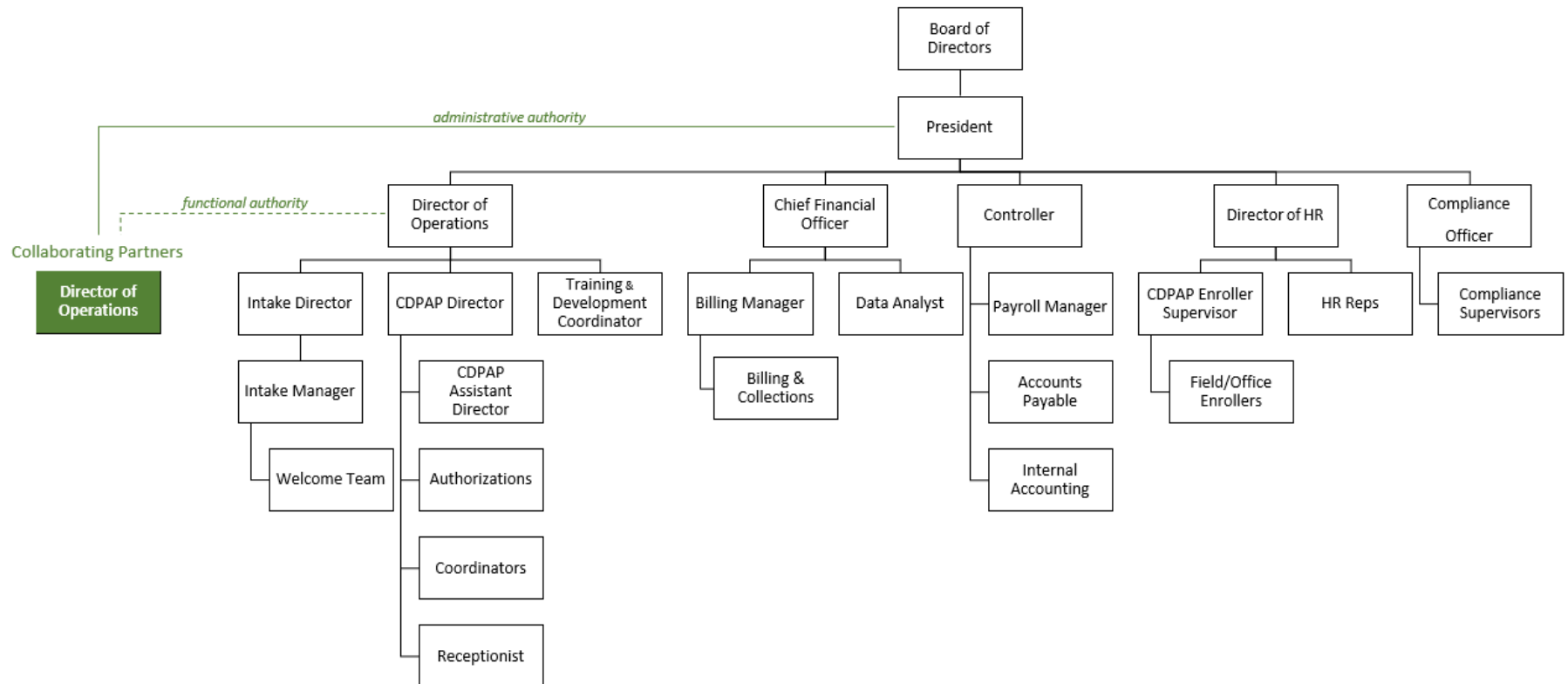
F.3 b) Submit an organizational chart with professional and managerial lines of authority and subcontractor relationships.

Collaborating partners will take functional direction from ABC Inc.'s Director of Operations. In addition, our Compliance department will have oversight over the collaborating partners to ensure all CDPAP rules and regulations are followed. (A full-page chart is attached at the end of Section 6.2, F.3.)

Full-page organizational chart

As per Section 6.2, F.3 b.

Figure 3: ABC Inc. as Lead FI - organizational chart



SECTION 6.2, F.4 – FISCAL MONITORING AND OVERSIGHT

As a Lead FI, ABC Inc. will deliver value and transparency to the parties we serve in the state of New York. Our goal is to not only meet the required standards, but to raise the level of standards across the industry.

F.4 e) Establish and implement corporate compliance policies and procedures in accordance with the Federal Deficit Reduction Act and the False Claims Act to prevent, detect, and report fraud, waste, and abuse

ABC Inc. has a comprehensive compliance program that is reviewed annually by the Compliance and Ethics Committee and approved and adopted by ABC Inc.'s senior leadership.

Our written *Consumer Directed Personal Assistance Program Compliance Plan* shows our commitment to conduct all aspects of the CDPA program with honesty and integrity and in full compliance with the rules of the New York State Department of Health (DOH), the New York Medicaid Program, and all federal, state and local laws as well as the rules of all other regulatory entities having jurisdiction over consumer-directed services.

We comply with all reimbursement rules of Medicaid managed care plans. We also comply with all relevant federal and state laws focused on preventing fraud and abuse including, but not limited to:

- The Federal False Claims Act and the New York State False Claims Act
- The Deficit Reduction Act of 2005

We also comply with all other acts or laws relating to accurate and truthful documentation, honest and lawful dealing with others, and prohibitions against improperly giving or receiving payments in return for referrals.

ABC Inc.'s *CDPAP Compliance Plan* includes a Code of Conduct, with the goal of instilling a culture of compliance within the organization and to prevent activities constituting fraud and abuse, whether intentionally or inadvertently.



The Code of Conduct in our *CDPAP Compliance Plan* clearly identifies the ethical and legal standards that all consumers, personal assistants, ABC Inc. employees, officers, directors, subcontractors, and vendors are expected to follow, as well as the consequences for failing to comply.

All ABC Inc. office staff are required to complete compliance education prior to employment and yearly thereafter. Training includes:

- Federal False Claims Act and State False Claims Act
- Fraud, waste, and abuse
- Anti-Kickback Statute
- Stark Law

- Gift giving

Training will also include direction on how to detect and report suspected violations as well as the importance and expectation that all employees must cooperate in investigations.

Instruction includes how to anonymously report any suspicious activity via the anonymous voice mail drop box. Employees are also instructed to contact the Compliance Officer directly and are assured that anyone who makes a report of inappropriate or fraudulent activity in good faith will be safe from retaliation or intimidation.

We stress that failure to comply with our code of conduct or to report compliance issues will result in disciplinary action.

The Compliance Plan and code of conduct are distributed to all employees annually, and subsequently, reviewed and signed, and kept in their personnel files. A digital copy of the compliance plan and code of conduct is also available to all employees.

In addition, company leadership and compliance staff regularly attend compliance-related professional organization meetings, educational events, and webinars for further professional development.

All consumers and personal assistants are educated on, and required to acknowledge, their understanding of their respective obligations, rights, and employment requirements specifically related to compliance. The Compliance Plan and Code of Conduct are reviewed with the consumer and personal assistant, and each sign a compliance statement agreeing to comply with the laws, rules and regulations of the New York State Department of Health (DOH), the New York Medicaid Program, and all federal, state and local regulating entities that govern CDPAP, abide by Caring Assistant's legal and ethical standards described in the Code of Conduct.



We currently have an online interactive module in development that will function as a corporate compliance refresher training intended for all consumers and PAs to complete annually. It will be available in multiple languages, and it will be mobile friendly for the ease of the end user.

Our compliance culture and the role our technology plays in fraud prevention, detection, and reporting

When a staff member has reason to suspect fraud or any other suspicious activity in a case, the staff member documents and reports the incident to their manager as well as the compliance department. The case may be "red flagged" with increased surveillance and attendance checks, or, if applicable, an investigation commencement will ensue.

By investing in our mobile application with GPS verification that connects with the EVV system, ABC Inc. demonstrated a dedication to conducting business with integrity.



Our mobile app is instrumental as a control against attempted fraud, waste, or abuse.

We generate OMIG exclusion list reports every 30 days and check them against our PA roster. Pre-conflict and conflict reports are run multiple times a week, and are investigated by our compliance staff. Any PAs that are found to be intentionally attempting to commit fraud are immediately reported to the MCO or necessary governing entity.

During an investigation, billing may be suspended pending results. An investigation may include:

- Unannounced attendance checks
- Interviews
- Obtaining written statements
- Documentation review
- Root cause analysis
- Auditing

Investigation findings will be reported to the MCO and/or OMIG if deemed necessary, and any corresponding billing adjustments will be made promptly. All compliance issues, reports, and investigations are kept in a database that is confidential to the compliance department.

The Compliance and Ethics Committee reports all data and audits to executive leadership at CDPAP Quality Committee meetings. CDPAP Quality Committee meetings take place quarterly, and within a performance improvement framework, the committee reviews ethical issues, risk areas, complaints, enrollment/ disenrollment statistics, policies and procedures, and opportunities for improvement. Corrective action is then implemented as needed.

SECTION 6.2, F.5 – QUALITY MONITORING AND REPORTING

As a Lead FI, ABC Inc. can quickly and easily provide accurate reports to the New York State Department of Health. The automation and structure of our internal systems make it easy to evaluate the effectiveness and quality of the CDPAP services we provide, and we do so on a regular basis.

F.5 a) Describe how the Offeror will comply with the reporting requirements in Section 4.7, including systems to track required data.

Payroll data

ABC Inc. generates all payroll data through HHAeXchange. The data is then imported into PayPro, which lets us easily and accurately generate reports such as:

- The number of timely processed payroll cycles
- The total processed payroll cycles
- The number of accurately processed paychecks for each cycle
- The number of total paychecks for each cycle

We monitor these reports on a weekly basis, and can generate them at any time for the Department of Health.

Onboarding time

Through our software, we can track and report the length of time it takes from when we receive an authorization for services to the date the PA becomes active.

Each case has the date of receipt of authorization of services and date service begins for the PA and consumer. We currently generate monthly reports to evaluate the onboarding time. This invaluable tool provides ABC Inc. with accurate data to determine how long it takes for CDPAP services to begin for the consumer, and lets us identify and analyze any bottlenecks quickly.

Complaints

ABC Inc. provides consumers and PA with both a user-friendly website and a mobile application as tools for reporting any complaints. We also have an anonymous compliance hotline which is accessible to all employees, consumers, and personal assistants.

Internally, we track all complaints received via website, mobile application, or hotline by creating a ticket within our software. This ticket is immediately assigned to a representative in an appropriate department for investigation and resolution. Any complaints associated with a consumer or PA is logged in their file.

For example, if someone fills out a complaint form on our website, a ticket is created and automatically assigned to a supervisor for review. Any concerns about fraud, waste, or abuse are automatically assigned to our compliance department.

Each ticket includes the date the complaint is submitted, the nature of the complaint, how the complaint was resolved, and the date in which it was resolved. If any corrective measures were taken because of the complaint, they will also be documented on the ticket. Our *AnyTech* software has the capability to track and report how long each complaint took to be resolved, along with the date and nature of the complaint.

ABC Inc. generates monthly reports of all complaints and each complaint is reviewed during the quarterly CDPAP meeting.

Referrals by an LDSS and/or MCO to ABC Inc.

Any referral received by ABC Inc. is marked with the referral source by the intake representative in HHAExchange – this is a mandatory field. We use the reporting feature in HHAExchange to generate reports of all referral sources, including those from LDSS and MCOs.

We currently generate this report on a weekly basis, and can easily generate it at any time for the Department of Health.