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The State of West Virginia Bureau for Medical Services

Fiscal Employer/Agent & Resource Consulting

September 13, 2011 1:30 PM

RFP # MED12004

WV Department of Health and Human Resources
Office of Purchasing
One Davis Square, Suite 100
Charleston, WV 25301

Vendor Signature: ______________________

Date: 9/6/2011

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* Submitted in a separate sealed envelope

Attachment A: Vendor Response Sheet

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Provide a response regarding the following: firm and staff qualifications and experience in completing similar projects; references; copies of any staff certifications or degrees applicable to this project; proposed staffing plan; descriptions of past projects completed entailing the location of the project, project manager name and contact information, type of project, and what the project goals and objectives were and how they were met.

Public Partnerships, LLC (PPL) is a national leader in financial management and related supports for self direction. PPL was founded by Public Consulting Group (PCG) in 1999 for the purpose of assisting public sector governmental entities to implement self-directed programs. PPL currently provides financial management and related services in 20 states and the District of Columbia, serving over 35,000 participants annually.

PPL has provided fiscal/employer agent (F/EA) services in combination with resource consulting (RC) services since 2006. PPL currently provides financial management services, including agency with choice (AWC), in combination with resource consulting for over 3,000 participants in three states: Colorado, Tennessee, and West Virginia.

PPL has successfully provided F/EA and RC services for the West Virginia Aged & Disabled Waiver program since 2007. PPL currently serves over 850 participants. PPL is currently designing and implementing systems and processes to serve members of the Intellectual/Developmental Disabilities Waiver program, and has already initiated the process of educating members statewide regarding the self-directed option.

Over the last four years, PPL has developed highly specialized systems and processes to comply with federal and state laws and regulations and meet the unique requirements of BMS as specified in this RFP. Specifically, PPL has developed and implemented: project management structures; position descriptions; staff training materials; financial management systems; member/employer enrollment materials and processes; employee/service provider enrollment materials and processes; payroll and accounts payable processes; and quality management systems. In addition, PPL has developed effective working relationships with numerous state partners, including: West Virginia Bureau of Senior Services (BoSS); APS Healthcare; West Virginia State Tax Department; West Virginia Medical Institute; and Molina Health Systems.

As the incumbent vendor, PPL believes it offers the Bureau for Medical Services (BMS) the best quality and value in F/EA and RC services. PPL believes that its project management approach, qualified managers and staff, information technology systems, and customer service capabilities make PPL the ideal choice to support the expansion of self direction in West Virginia. It would take months for another F/EA and RC vendor to attempt to replicate PPL's capabilities and relationships. If awarded this contract, PPL will continue serving members of existing programs while adapting systems and processes to support new programs offering self direction without delays or disruption in services typically associated with transition to a new vendor.

In the sections that follow, PPL has provided a detailed narrative describing policies, procedures, and internal controls to meet the specific requirements of this RFP.

List project goals and objectives contained in Section 2.4:

Section 2.4.1: The Vendor should propose a plan to provide RC services statewide to support participants in HCBS Programs in all areas of directing their services. The Vendor's proposal should address, but need not be limited to, providing support for participants in:

A. **Understanding self-direction options, rights, and responsibilities.**
B. **Self-assessment of service needs.**
C. **Development and revision of required Service Plans and Spending Plans.**
D. **Identification, selection, hiring and management of direct-care workers.**
E. **Problem solving, conflict resolution, etc.**
F. **Completion and maintenance of necessary program paperwork.**

Plan to Provide Resource Consulting Services Statewide

PPL ensures statewide coverage in resource consulting services through a network of resource consultants in locations across West Virginia. PPL hires resource consultants based on geographic patterns in member enrollment. PPL currently employs 3 resource consultants in the Morgantown office and 10 resource consultants in home offices. PPL is currently recruiting for additional RC positions to support continued growth in enrollment in the self-directed option in the Aged and Disabled Waiver program, as well as expansion of self direction to the Intellectual/Developmental Disabilities Waiver program. If awarded this contract, PPL will recruit and train qualified staff to support expansion of opportunities for self direction to other HCBS programs.

PPL has established effective working relationships with the School of Social Work at West Virginia University. PPL uses the statewide social work listserv and newspaper advertisements to recruit qualified resource consultant candidates. PPL conducts structured job-shadowing experiences for all applicants to confirm their interest in, and suitability for the position of resource consultant. Resource consultants receive extensive training as described in Section 2.4.12.

PPL has established policies and procedures to ensure the security of resource consultant home offices. PPL furnishes home offices with printer/copier/scanner/fax machines, dedicated fax lines, locking file cabinets, and all necessary supplies. PPL provides all resource consultants with a cellular telephone to ensure responsiveness to participant calls.

PPL provides all resource consultants with GPS units to promote safety and to assist in locating participant's homes, particularly in remote rural areas of West Virginia. Resource consultants are taught to exercise safety during home visits and use a telephone/email buddy system to promote safety in the field. PPL is currently planning to pilot test the use of hand-held technology to increase the effectiveness of RCs during home visits.

In 2011, PPL created the position of Resource Consultant Coordinator to coordinate the field activity of resource consultants serving the Aged and Disabled Waiver program; and established senior resource consultant positions to create opportunities for career advancement for high-performers. PPL was recently approved as a field placement site for social work student interns from West Virginia University. If awarded this contract, PPL plans to pursue a similar relationship with Marshall University.

Remarkably, PPL has continued to experience zero staff turnover in project management and resource consulting positions. PPL attributes this success to targeted recruiting, rigorous screening, realistic job previews, extensive training, competent management and supervision, attractive compensation and benefits, and opportunities for professional development. PPL believes that continuity in project management and staff allows PPL to provide BMS with services of unparalleled quality.

<u>Resource Consultant Roles and Responsibilities</u>

The following is an outline of the roles and responsibilities of the resource consultant in supporting participants with the responsibilities of self direction.

Outreach:

- Assist state agency representatives in explaining Personal Options to prospective participants, family members, representatives, service providers, and others through development, revision and distribution of program materials, and through individual and group presentations, home visits and telephone contacts.
- Explain the roles and responsibilities of self direction in Personal Options to participants and their appointed representatives, including the responsibilities of serving as their own case manager (if applicable) and the responsibilities of being an employer.
- Explain the roles and responsibilities of PPL in providing Financial Management and Resource Consultant services to participants/representatives, including responsibility for payroll processing and payment, and responsibility for tax withholding and reporting.

Participant Enrollment, Orientation, and Training:

- Assist interested and eligible participants to enroll in Personal Options, including completion and submission of enrollment packets, employer packets, and employee packets.
- Enter participant/representative information into automated systems utilized by BMS and PPL for project management and reporting.
- Provide participants/representatives with practical skills training as needed in areas such as: developing the spending plan; recruiting, selecting, hiring, training and supervising employees; and purchasing other goods and services.

Assist Participants to Develop the Spending Plan:

- Assist participants/representatives as needed to develop and revise their individual spending plan, including assessment of their individual service/support needs, scheduling employees, purchasing agency/contractual services, and saving funds for Participant-Directed Goods and Services.
- Assist participants/representatives as needed to submit spending plans to BMS for approval in accordance with established policies, procedures, and timelines.
- Assist participants/representatives to develop the Participant Directed Service Plan as needed and as available.

Assist Participants to Recruit and Retain Employees:

- Assist participants/representatives as needed to identify, recruit, select, hire, train, schedule, manage/supervise, and terminate employees. Collaborate with PPL staff to ensure that all employees have initiated required background checks prior to provision/payment for services.
- Assist participants/representatives as needed to provide mandatory training required of all employees prior to providing paid services. Collaborate with PPL staff to verify that all employees have completed required training prior to provision/payment for services.
- Assist participants/representatives as needed to provide ongoing annual training required of all employees. Collaborate with PPL staff to verify that all employees have completed required ongoing annual training.
- Assist PPL management and staff to develop and maintain a directory of personal assistance services and supports, including a registry/directory of potential workers.

Assist Participants to Purchase Other HCBS Services

- Assist participants/representatives as needed to purchase other HCBS services as applicable.
- Assist participants/representatives as needed to purchase Participant Directed Goods and Services, such as assistive technology, personal emergency response systems, appliances, and home modifications.

Monitoring and Reporting

- Monitor participant health, safety, and welfare through enrollment and initial planning processes, and through frequent contact including, at a minimum, monthly phone contact and six-month face-to-face contact.
- Maintain participant and employee files and records including participant notifications in automated systems.
- Document and report evidence and observation of participant/representative inability to self-direct.
- Report and respond to all participant/representative complaints regarding PPL services using required reporting processes and systems.

- Report and respond to all participant/representative grievances using required reporting processes and systems.
- Report and respond to all simple and critical incidents, including any and all allegations or reports of suspected abuse, neglect, and exploitation.
- Assist participants/representatives as needed to be reevaluated for eligibility for services, request a change in service level, request dual service provision, and request transfer to traditional agency-directed services.

PPL has developed numerous printed materials to support participants in the Aged and Disabled Waiver with the responsibilities of self-direction. PPL is in the process of adapting these materials and processes to support participants enrolled in the Intellectual/Developmental Disabilities Waiver program. If awarded this contract, PPL will develop materials and processes to support members in other HCBS programs. All materials are provided in alternate formats.

PPL provides each participant with a Program and Employer Guide (Appendix A) and Resource Manual (Appendix B) to assist them with the responsibilities of self direction. Copies of these manuals are available upon request. The content of these manuals meet the requirements listed above. PPL has incorporated materials to promote member self-assessment of opportunities for self direction. Based on the member's preference, the resource consultant either sends the Program and Employer Guide and Resource Manual to the participant to review prior to the enrollment visit, or brings the manuals to the enrollment visit.

The resource consultant provides the participant with information on the following, upon request.

- Fair Hearing Process
- Medical Necessity Evaluation Request (MNER)
- Authorization to Release Information
- Durable Medical Equipment Coverage
- Dual Service Provision
- Contact information for the ADRC, Legal Aid, Community Resources, Weatherization Programs, etc.
- Power of Attorney Forms
- PDGS Vendors
- Agency Service Providers
- Olmstead Transition Funds
- Advocacy Organizations
- Physicians Order for Specific Treatment (POST)
- CPR Instructors/Class Schedules
- Caregiver Resources

<u>Customer Service Capabilities, Roles, and Responsibilities</u>

PPL's customer service capabilities are a distinguishing feature of PPL's approach to F/EA and RC services. PPL customer service representatives play a key role assisting the resource consultant in supporting participants with the responsibilities of self direction as explained below.

Customer service representatives perform the following functions:

- Assist the member/employer or their representative with inquiries related to budgeting, employer responsibilities, paperwork, employee background checks and training requirements, and spending/savings reports;
- Assist employees and other service providers with issues related to pay periods, authorized services and rates, timesheet and invoice submission, payment status, tax withholding, garnishments, liens, and levies;
- Assist resource consultants to respond to inquiries received via e-mail;
- Assist program managers with announcement of program changes through mass mailing, outbound calling, and customized messages and call scripts;
- Assist in gathering and providing information and documents related to state audit requests;
- Respond to requests from banks, mortgage companies, the state Medicaid Fraud Unit, and the West Virginia Division of Labor regarding verification of employment, wage and hour data, and details of separation from employment (for unemployment claims);
- Process employee requests for re-issuance of W-2 forms;
- Document contact and assign support tickets to resource consultants or management to inform them of the nature of the contact and any unresolved issues.

PPL verifies the identity of all callers and their authorization to access member/employer and employee or other service provider information. Callers are required to provide: Name; Member or Provider Identification Number; Last Four Digits of Social Security Number; Date of Birth; Address; Phone Number.

PPL's telecommunications systems have propelled PPL to a new level of quality in customer service. PPL's Voice-over-Internet Protocol telecommunications system includes an extremely robust answering service, intelligent call routing system, and configurable automatic call distribution options. This system allows PPL to track inbound calls by type, and direct the caller to the customer service representative best able to assist the caller with their particular issue. PPL directs inquiries regarding the most frequent question: "Did you get my timesheet?" to an automated interactive voice recognition program that informs the caller of the status of receipt and payment. This enhanced feature increases the availability of customer service representatives to spend more time responding to higher-order customer service issues.

PPL maintains an automated voice mail service for calls that exceed the capacity of available operators during regular business hours, and for all calls received after regular business hours. PPL monitors and responds to voice mail throughout the day, and returns all calls within one business day. PPL prioritizes voicemail calls behind inbound calls. They are automatically delivered to representatives when inbound call volumes allow. By interspersing these calls, PPL has seen messages returned to customers less than a minute after they completed the message.

PPL recently deployed a "hold my place" feature allowing callers to leave a message for prompt call-back based on their position in the queue; and a "you again" feature that recognizes repeat calls from the same caller and informs them of their place in line. Although PPL's standard is a return call within one business day, actual statistics indicate the average call is returned within a few hours.

PPL has the ability to place outbound calls to send all participants and/or providers a pre-recorded message to inform them of important program updates, etc. This technology has been successfully used to inform participants of the need to contact their resource consultant when BMS has increased the monthly budget amounts. This technology can also be used to inform direct care workers of the new requirement to submit to a criminal background check requiring fingerprinting.

PPL records all calls received daily. PPL monitors and evaluates call samples from all representatives for quality across 46 elements that define a quality interaction. These reviews provide valuable feedback for coaching staff and guiding future training. Upon request, BMS or its authorized representatives can listen to recorded calls.

PPL has established key performance metrics that enable PPL and BMS to monitor customer service quality on a daily, weekly, quarterly, and annual basis. These metrics include: inbound call volume (number of calls) and average length of call; outbound call volume (number of calls) and average length of call; call service levels (the number and percent of calls answered before going to voicemail and the number of abandoned calls expressed as a percent of total calls received). These performance metrics have helped PPL achieve industry-leading performance by benchmarking customer service activity, including hours of peak demand, and allowing PPL to redirect resources to areas of need. PPL's statistical analysis provides a foundation for innovation to enhance the PPL customer service experience. Reports of current performance metrics are available upon request.

Section 2.4.2: The Vendor should propose a plan to enroll each HCBS member choosing a self-direction option, including the Enrollment Packet to be used, its development, production, distribution, processing, and maintenance. The plan should recognize the Vendors understanding of all required forms by referencing each form within the proposal. The Vendor's proposal should address, but is not limited to, their understanding of the following processes or procedures:

- **A. Collection, processing and maintenance of consent regarding the Government F/EAs use of a Vendor Subagent from every self-direction participant in accordance with Internal Revenue Service (IRS) Proposed Notice 2003-70.**
- **B. Collection, processing and maintenance of all required State and Federal tax forms.**
- **C. Obtaining applicable identification number(s) for each self-direction participant and maintaining copies in the participants file.**
- **D. Retirement of all applicable identification numbers obtained on behalf of the self-directed participant.**
- **E. File Business Registration documents with the appropriate agency.**

PPL has established systems and processes to enroll members of the Aged and Disabled Waiver program who chose self direction. PPL is currently adapting its systems and processes to support members in the Intellectual/Developmental Disabilities Waiver program. If awarded this contract, PPL will adapt its systems and processes to support enrollment of members in other HCBS programs as opportunities for self direction become available.

<u>Plan to Enroll HCBS Members Choosing Self-Directed Option</u>

PPL receives referrals of new members as well as members transferring from traditional agency services. In accordance with BMS policy, every member is presumed to have the ability to self-direct with adequate supports and/or the assistance of a representative. PPL does not screen referrals for suitability for self-direction.

PPL receives referrals from the Administrative Services Organization (ASO) for each HCBS program. In the case of the Aged and Disabled Waiver program, PPL receives referrals from the West Virginia Bureau of Senior Services (BoSS). In the case of the Intellectual/Developmental Disabilities Waiver program, PPL will receive referrals from APS Healthcare. At the time of referral, the ASO must verify that the member is medically and financially eligible for services.

At a minimum the referral must include the following information:

- Referral Type (Initial, Transfer)
- First Name
- Last Name
- County of Residence
- Medicaid Number
- Physical Address
- Mailing Address (if different from physical address)
- Phone
- Gender (Male, Female)
- Referral Date
- Service Level (where applicable)
- Date of Birth
- Social Security Number
- DHS-2 (confirming eligibility for initial members)
- Pre-Admission Screening (confirming service level and needs for assistance)
- Legal Representative (Yes, No)
- Name, Address, and Phone of Legal Representative (if applicable)
- Name, Address, and Phone of Emergency Contact (if other than legal representative)

Upon receipt of referral, PPL contacts the member or their representative to verify the information provided, and to confirm the member's interest in participating in the self-directed option. If there are any issues or discrepancies, PPL notifies the ASO immediately.

PPL creates an electronic participant file in the PPL Web Portal, PPL's secure on-line participant and provider database, service authorization system, and payroll/accounts payable system with a robust rules engine tailored to meet specific program requirements. The participant file includes participant demographic data, participant identification number, service level, legal/non-legal representative, emergency contact, medical and financial eligibility dates, etc. The participant file also includes a checklist of required participant program data and key dates associated with the payment rules engine.

After creating the participant file, PPL assigns a resource consultant to serve the member based on geographic location. The assigned resource consultant contacts the member or their representative to answer any preliminary questions and to schedule the enrollment visit at the member's convenience.

The resource consultant sends the enrollment packet and supporting materials to the participant ahead of time or delivers them to the participant during the enrollment visit. The resource consultant explains the program rules and each required and optional form. The resource consultant assists the participant to complete the required forms. The resource consultant provides each participant with a three-ring binder to maintain important program materials in a convenient single location. Upon returning to the office, the resource consultant documents the enrollment visit and service plan dates in the participant file.

Development, Distribution, Processing, and Maintenance of the Enrollment Packet and Employer Packet

PPL has established systems and processes for development, distribution, processing, and maintenance of enrollment packets, employer packets, and additional forms (see below). PPL pre-populates required tax forms with the participant's name and demographic information to ensure accuracy and to facilitate ease of completion by the participants. PPL is developing packets to support enrollment of members in the Intellectual/Developmental Disabilities Waiver program who chose self direction. If awarded this contract, PPL will develop packets to support enrollment of members in other HCBS programs.

Enrollment Packet

- **Cover Letter** explaining required and optional forms
- **Enrollment Form** to voluntarily enroll in Personal Options
- **Participant Directed Service Plan** (Medicaid service plan)
- **Appointment of Representative Form** appointing a non-legal representative, if desired
- **Notice of Separation from Employment** to report reason and date of termination of employment relationship
- **Incident Report Form** to report simple and critical incidents
- **Grievance Form** to report grievance regarding Personal Options or PPL's services
- **Transfer Request Form** to request transfer to traditional service model

- **Payroll Schedule** indicating pay periods and pay dates
- **Timesheet** to provide to employees to report hours worked
- **Monthly Homemaker Documentation Form** to provide to employees to document service provision
- **Transportation Invoice** to provide to employees to report transportation services

Employer Packet

- **Participant ID Notification Letter** provides program welcome and PPL specific systems generated identification number for PPL billing and authorization purposes
- **Cover Letter** listing participant demographic information for review and confirmation
- **IRS Form SS-4** (Application for Employer Identification Number) informing the IRS that the member will act as employer (Used by PPL to obtain FEIN from the IRS to open state employer accounts and designate all tax deposit and filing responsibility to PPL)
- **West Virginia Office of Business Registration Application** registering member/employer as a business with the West Virginia State Tax Department (Identifies PPL as the mailing address and contact where payroll records are maintained)
- **IRS Form 2678** (Employer Appointment of Agent) informing the IRS that the member/employer authorizes the West Virginia DHHR Bureau for Medical Services to withhold taxes from employees' paychecks and deposit those taxes with the IRS (designates PPL as the subagent)
- **IRS Form 2848** (Power of Attorney and Declaration of Representative) informing the IRS that the member authorizes PPL's CPA to receive and sign the tax forms listed
- **WV Form 2848** (Authorization of Power of Attorney) informing the West Virginia State Tax Department that the member authorizes PPL's CPA to receive and sign the tax forms listed relative to SIT. (Removed SUI)
- **IRS Form 8821** (Tax Information Authorization) authorizing specific PPL and WV DHHS staff as appointees to contact the IRS on the member's behalf and to inspect and/or receive confidential tax information in any office of the IRS for the tax matters regarding income tax withholding and employment taxes
- **West Virginia State Tax Department Electronic Funds Transfer Application** allowing PPL as the member/employer's agent to initiate Automated Clearing House credit transactions that meet West Virginia State Tax Department requirements for withholding and workers compensation severance taxes
- **WV Subagent Consent Form** confirming the member's understanding that the West Virginia Bureau of Medical Services has contracted with PPL as its subagent to perform F/EA tasks on behalf of the Bureau and member in accordance with Section 3504 of the IRS code, Revenue Procedure 80-4 and Notice 2003-70
- **WV Form WV-ARI-001** (Authorization to Release Information) authorizing the West Virginia State Tax Department to release information to PPL regarding the member/employer's state income tax withholding. (Removed SUI)
- **West Virginia Authorization of Unemployment Compensation** authorizes PPL's CPA to act as agent for all unemployment compensation matters.

Additional Forms

- Dual Service Request Form
- Service Level Change Request Form
- Goods and Services Packet (Application for Approval of Goods and Services; Provider Agreement for agency services; IRS Form W-9; Payment Request Form; and, Agency Service Invoice)

The resource consultant delivers the enrollment packet, employer packet, and additional forms to the participant during the enrollment visit. The resource consultant explains the program rules and forms, and assists the participant to complete them. The resource consultant notarizes the required tax forms and submits the packets to PPL's Financial Operations Center for processing. Upon receipt, a payroll specialist reviews the packets for accuracy and completeness. If any data are missing, the payroll specialist assigns a support ticket to the resource consultant to request the information from the participant.

<u>Collection, processing and maintenance of consent regarding the Government F/EAs use of a Vendor Subagent from every self-direction participant in accordance with Internal Revenue Service (IRS) Proposed Notice 2003-70</u>

PPL has established systems to collect, process, and maintain required state and federal tax forms, including: IRS Form 2678 (Employer Appointment of Agent); IRS Form 8821 (Tax Information Authorization); WV Forms 2848 (Power of Attorney for State Income Tax and Power of Attorney for State Unemployment Tax); and, Forms WV ARI-001 (Authorization to Release Information for SIT and SUI).

The PPL Registration Team submits the properly executed IRS Form 2678 along with an "Agent Request Letter", signed by PPL's President to the IRS Service Center in Cincinnati, OH. PPL typically submits batches of IRS Forms 2678 for multiple individuals (up to a maximum of 25) under one Request for IRS Approval Letter. The IRS typically sends written confirmation to PPL via IRS LTR 1997C within 30-60 days. PPL retains a copy of the IRS Approval Letter on file and IRS Form 2678 in each member's file.

PPL completes IRS Form 2678 in such a way that allows PPL to utilize the Bureau's Federal Employer Identification Number (FEIN) for all members, filing in the aggregate, and relieving members of the burden of individual tax filing. PPL has established similar policies, procedures, and internal controls for processing IRS Form 8821, including submitting the form to the IRS, maintaining a copy in the member's file, and revoking the form when PPL no longer represents the member.

<u>Obtaining applicable identification number(s) for each self-direction participant and maintaining copies in the participants file</u>

PPL has established systems and processes for obtaining an FEIN for all members, and maintaining copies of the IRS FEIN notification letter and Form SS-4. The PPL Registration Team faxes the properly executed Form SS-4 to the IRS along with Form 2848 (Power of Attorney). Submitting Form 2848 with Form SS-4 permits PPL to use its mailing address as the mailing address associated with the FEIN. This allows PPL to receive all IRS correspondence associated with the employer tax account and minimizes the member's tax process burden. Upon receipt of the form, the PPL Registration Team enters the FEIN in the required checklist section of the member file. PPL transcribes the FEIN on tax forms in the enrollment packet. PPL retains copies of the FEIN notification letter and Form SS-4 in the file space dedicated to the BMS project. PPL has established similar processes for WV Form 2848, including notarizing the form, submitting the form to the West Virginia State Tax Department, maintaining copies in the member's file, and revoking the form when PPL no longer represents the member.

<u>Retirement of Applicable Identification Numbers Obtained on Behalf of the Participant</u>

Upon receipt of notification of member disenrollment, the resource consultant marks the member as disenrolled in the PPL Web Portal. The payroll specialist completes all final tax deposits and submits a standard letter to the IRS requesting that PPL no longer be the individual's agent under Revenue Procedure 70-6 after four quarters of inactive payroll activity. PPL also identifies in the letter if the individual for whom the FEIN is being retired is deceased.

On an annual basis, the tax team completes Part 2 of Form WV/IT-101A (West Virginia Employer's Annual Return of Income Tax Withheld) for all disenrolled participants, and submits the form to the West Virginia State Tax Department to retire the member's identification number. PPL has developed similar systems and processes to retire the member's State Income Tax Withholding Identification Number.

<u>Filing Business Registration Documents with the Appropriate Agency</u>

PPL files the WV/BUS-APP Business Registration and obtains a State Employer Identification Number from the West Virginia State Tax Department for state income tax withholding, filing, and payment on behalf of each participant. The West Virginia State Tax Department sends PPL a letter and business registration certificate with the member's State Taxpayer Identification Number (typically, the FEIN followed by '001'). Ordinarily, business certificates are valid for two fiscal years (July 1 to June 30), and must be renewed with a $30.00 registration fee. However, due to the nature of the program establishing Medicaid-eligible individuals as employers with the Bureau acting as F/EA, the West Virginia State Tax Department has exempted these employers from the requirement of renewing their registration every two fiscal years. The West Virginia State Tax Department also permits PPL to file the certificate in the member's file rather than requiring the member to display the certificate in their place of business (i.e., the member's home).

Section 2.4.3: The Vendor should propose a plan to enroll direct-care workers as employees of self-direction participants, including the employment packet to be used, its

development, production, processing, and maintenance by the Vendor. The plan should recognize the Vendors understanding of all necessary and required forms, including applications, agreements and consent documents by referencing each form within the proposal. The Vendor's proposal should address, but is not limited to, processes and procedures:

- **A. To execute a "simplified" Medicaid provider agreement with each self-direction participant's direct-care worker.**
- **B. To determine exemptions from filing and paying of Federal Insurance Contributions Act (FICA), and/or Federal Unemployment Tax Act (FUTA) and State Unemployment Tax Act (SUTA) and to maintain relevant documentation in each direct-care worker's file.**
- **C. To ensure proper payroll withholdings are processed.**
- **D. To obtain a signed and dated Employment Agreement with each direct-care worker.**
- **E. To report new hires per West Virginia requirements. (www.newhirereporting.com/wv-newhire/default.asp)**
- **F. To verify direct-care workers' citizenship and alien status.**

<u>Plan to Enroll Direct Care Workers as Employees of Self-Directing Participants</u>

PPL has established systems and processes to enroll employees of self-directing participants enrolled in the Aged and Disabled Waiver program (see below). PPL is currently developing packets to support enrollment of direct care workers in the Intellectual/Developmental Disabilities Waiver program who chose self direction. If awarded this contract, PPL will develop packets to support enrollment of direct care workers in other HCBS programs.

Employee Packet

- **Cover letter** explaining PPL's role as agent of the employer, and required and optional forms
- **Employee Data Form** (personal information and emergency contact information)
- **USCIS Form I-9** (Department of Homeland Security - Employment Eligibility Verification)
- **IRS Form W-4** (Employee's Withholding Allowance Certificate (used to calculate federal income tax withholding)
- **WV Form IT-104** (West Virginia Employee's Withholding Exemption Certificate used to calculate state tax withholding)
- **Medicaid Provider Agreement** (agreement between DHHR-BMS and employee as a provider of Medicaid services)
- **Employment Agreement** (agreement between employer and employee)
- **Tax Exemption Request Form** (permits employee to request certain federal and state tax exemptions based on age, student status, and/or family relationship to employer)
- **Criminal Background Check Instructions** (replaces both the Consent and Request for Criminal Background Check Forms)

- **Pre-Employment Training Verification Form** (verifies pre-employment training; must be submitted with a copy of current CPR and First Aid card)
- **Annual On-going Training Verification Form** (verifies on-going training)
- **Confidentiality Agreement** (acknowledges responsibility to respect participant's privacy and confidentiality of protected health information)
- **Electronic Funds Transfer (EFT) Application** (authorization for direct deposit and notification of pay card option)

PPL also provides the applicant/employee with the following forms to keep and use as needed.

- **Employee Form I-9 Instructions** (how to properly complete the I-9)
- **Personal Assistance/Monthly Homemaker Documentation Form** (used to record service provision)
- **Payroll Schedule** (identifies pay periods and due dates for timesheets)
- **Timesheet Instructions** (to help complete the timesheet)
- **PPL Timesheet** (to report hours worked)
- **Transportation Invoice** (to report transportation services provided)
- **West Virginia Certificate of Non-residence**, to be completed by employees who reside in Kentucky, Maryland, Ohio, Pennsylvania, or Virginia or by an employee who is a military spouse exempt from income tax (Upon receipt of this form, PPL discontinues withholding West Virginia Income Tax for that employee)

PPL provides the participant with an employee packet for each worker they intend to hire. PPL makes materials available through resource consultants or on-line. The applicant submits the completed Employee Packet to the resource consultant, who checks the packet for accuracy and completeness and forwards it to the Financial Operation Center. Upon receipt of an employee packet, PPL creates an electronic provider file in the PPL Web Portal for each direct care worker. The provider file includes provider demographic data, provider identification numbers, etc. The provider file also includes a checklist of required provider credentials (CPR, First Aid, Training, Criminal Background Check, etc.), and key dates. The checklist is associated with a rules engine that prevents payment to providers who are not qualified.

PPL has established policies, procedures, and internal controls for electronic reporting of all new hires to the West Virginia New Hire Reporting Center. The West Virginia New Hire Reporting Center requires all employers to submit new hire reports within 14 days after an employee is hired, re-hired, or returns to work. PPL has created a New Hire Report that identifies all applicable employer and employee data, and creates an electronic data file in accordance with the required reporting format. As required by policy, PPL runs this report every 14 days and submits the report electronically to the West Virginia New Hire Reporting Center.

Section 2.4.4: The Vendor should propose a plan to review and approve all self-directed member spending plans, including the purchase of Participant-Directed Goods and Services (PDGS).

PPL has established systems and processes to review and approve all self-directed member spending plans, including the purchase of PDGS, of self-directing participants enrolled in the Aged and Disabled Waiver program. PPL is currently developing similar systems and processes for the Intellectual/Developmental Disabilities Waiver program. If awarded this contract, PPL will develop similar systems and processes for other HCBS programs as opportunities for self direction become available.

<u>Development, Approval, and Revision of the Service Plan, Spending Plan, and PDGS</u>

For the Aged and Disabled Waiver program, the resource consultant assists the participant to complete the participant directed service plan as needed and requested. During the enrollment visit, the resource consultant reviews the outcome of the participant's self-assessment process (strengths, goals, preferences, risks, and need for assistance with activities of daily living). The resource consultant maintains the original service plan in the participant's file and returns a copy to the participant.

For the Intellectual/Developmental Disabilities Waiver program, PPL assumes that all members will receive agency service coordination, and that the service coordinator will be responsible for assisting the member with development and revision of the participant centered service plan. The resource consultant will be responsible for reviewing, familiarizing themselves with, and maintaining a copy of service plans for self-directing participants as provided to PPL by service coordinators.

For all HCBS programs, the resource consultant assists the participant as needed to complete an individual spending plan. The spending plan specifies the authorized self-directed services, service codes, units, qualified providers, applicable rates, and taxes. The spending plan includes employee-provided services as well as agency or vendor provided services.

An outline of the current process for approval of PDGS for members enrolled in the Aged and Disabled Waiver program is provided below:

1. PPL provides the participant with PDGS purchasing guidelines, exclusions list, and PDGS application and invoice/payment request form;
2. The resource consultant assists the participant to assess the need for PDGS, and identify possible goods and services, as well as potential vendors, prices, etc.;
3. The resource consultant assists the participant to consider other sources of funding for PDGS;
4. The resource consultant assists the participant to revise the spending plan to reflect the desired PDGS and required savings period;
5. The ASO or resource consultant administrator/coordinator reviews and approves the request, depending on if it is an initial request;
6. The resource consultant notifies the participant of approval/denial of the request and assists the participant to modify the request as needed;

7. Upon reaching the required savings goal, the participant submits a PDGS payment request/invoice, along with vendor W-9 (vendor tax identification number), if required;
8. The payroll specialist records the vendor information and processes the request for payment;
9. The participant makes their purchase/payment and retains documentation/receipts.

The resource consultant submits the spending plan to the resource consultant administrator or coordinator for review. The resource consultant administrator or coordinator reviews the service plan for accuracy and completeness, and submits the plan to the ASO for review and approval if required. PPL enters the spending plan into PPL's payroll and accounts payable system as a series of service authorizations, ensuring that the service authorizations do not exceed the eligibility period, individual budget, established rates, and unit/dollar limitations.

For the Aged and Disabled Waiver program, PPL assists the member to revise the service plan and spending plan when the following occur:

- Change in rates and/or individual budget allotment
- Denial or extension of eligibility or prior authorization
- Change in condition and service level based on needs
- Addition/removal of employees and other service providers
- Change in wage rates
- Change in spending or savings plans

Section 2.4.5: The Vendor should propose a plan to process background checks per Bureau policy for each participant's direct-care worker(s), track the findings, maintain the information in each direct care worker's file, provide findings to the RC and notify self-direction participants when the results of a background check do not comply with Bureau policy.

PPL is currently in the process of revising its approach to processing background checks for each participant's direct-care worker(s), tracking the findings, maintaining the information, providing findings to the RC, and notifying participants when the results of a background check do not comply with Bureau policy. PPL's revised approach meets the current requirements for the Aged and Disabled Waiver program and the Intellectual/Developmental Disabilities waiver program.

All applicants are required to initiate the state criminal background check with the State Police, including fingerprinting, prior to providing services for payment. Applicants who have lived out of state in the last five years are also required to have initiated a federal background check with the Federal Bureau of Investigations (FBI). Applicants/employees are responsible for all costs associated with criminal background checks. Current employees will have until March 2012 to initiate the required background check(s).

Applicants are required to obtain a fingerprint card; be fingerprinted; submit the fingerprint card and/or application along with required payment; provide PPL with a copy of the fingerprint card and proof of payment as documentation. For the state background checks, the applicant/employee must provide PPL's name as the "requesting entity" and include a stamped envelope addressed to PPL for PPL to receive the results.

Upon receipt of documentation, the payroll specialist will mark the checkbox, indicating background check "In Process" in the provider's file in the PPL Web Portal. Employees marked as "In Process" are permitted to be paid, pending receipt of the results of the background check(s). The payroll specialist will enter a background check expiration date three years after the date of initiation of the first background check.

Upon receipt of results, the payroll specialist will notify the resource consultant administrator or coordinator of any convictions. If there are no convictions, the payroll specialist will mark the provider file as "Passed". If there are any convictions, the resource consultant administrator or coordinator will mark the provider file as "Passed" or "Failed" based on a review of the convictions relative to the exclusionary convictions list (i.e., barrier crimes). The payroll specialist or administrator/coordinator will notify the resource consultant, who will notify the participant/employer.

Employees must re-initiate the required background check(s) every three years, and submit documentation to PPL. PPL will issue a friendly reminder to employees in advance.

PPL has established systems and processes to query the Office of Inspector General (OIG) database whenever a new employee is hired and on a monthly basis thereafter to comply with State Medicaid Director's Letter (SMDL #09-001), and requirements of BMS regarding the OIG List of Excluded Individuals and Entities. PPL queries the OIG database in electronic fashion and compares the results with all providers in the PPL Web Portal to determine potential matches. PPL then cross-references the information to confirm any positive matches, and marks the provider file as "Failed" in the event of a positive match. As required by SMDL #09-001), PPL will notify BMS of any positive matches (i.e., excluded providers).

Section 2.4.6: The Vendor should propose a plan to verify that the enrollment and employment packets are complete and accurate and copies of the required information are processed and maintained in the Vendor's files prior to authorizing payment to a direct-care worker or other Vendor of service.

The resource consultant submits the enrollment packet and employer packet to PPL's Financial Operations Center for processing. Upon receipt, the payroll specialist assigned to support the program again reviews the content of the packet for accuracy and completeness. If any data are missing, the payroll specialist assigns a support ticket to the resource consultant to place an outbound call to the participant to obtain the required information.

Section 2.4.7: The Vendor should propose a plan to manage employment documentation, payroll, and Federal, State and municipal tax requirements for the direct-care workers of self-direction participants (common-law employers).

PPL manages all employment documentation, payroll, and Federal and State municipal taxes in the provider file for each direct care worker in PPL's Financial Operations Center. The employee submits the employment packet to PPL's Financial Operations Center for processing. Upon receipt, the payroll specialist assigned to support the program again reviews the content of the packet for accuracy and completeness. If any data are missing, the payroll specialist assigns a support ticket to a customer service representative, triggering an outbound call to the employee to obtain the required information.

Section 2.4.8: The Vendor should propose a plan to provide F/EA services with regards to claim submission and payments including a description of how these procedures will assure compliance with the 42 CFR part 447 including, but not limited to the requirements for timely payment to direct-care workers, set forth in 42 C.F.R. § 447.453.1.10.

PPL performs bi-weekly payroll in compliance with current USDOL regulations which require employers to adhere to established payroll periods; and in compliance with West Virginia Wage Payment and Collection Act regulations which require employers to pay employees at least every two weeks, and to pay terminated employees within 72 hours of termination.

PPL has established policies, procedures, and internal controls to comply with applicable sections of CFR 29 regarding prompt submission of Medicaid claims. Under the current contract, PPL requires employees and other service providers to submit timesheets and invoices to PPL within 351 days of the date of service to ensure that PPL can prepare and submit Medicaid claims to Unisys, the Bureau's claims payment agent, within the 365 day timely filing requirement. Following the payroll and accounts payable process described in the next section, PPL prepares and submits Medicaid claims to Unisys, the claims payment agent designated by BMS. PPL generates an invoice for the gross payroll amount for each member broken down by payroll period and month. From that invoice, PPL generates and submits a batch of claims for each member using internally developed software to create the HIPAA compliant X12 837P electronic transaction format file that Unisys accepts. PPL receives back a HIPAA compliant 835 format file which it parses back to an invoice format to determine the adjudication status of claims submitted. On a periodic basis, PPL collaborates with Unisys, BMS, and BoSS to research and resolve denied claims, and refunds BMS in the event of overpayment.

PPL has recently developed a software application that greatly improves PPL's ability to manage and report Medicaid claims, denials, and resubmissions. PPL has implemented this application in West Virginia with positive results.

Section 2.4.9: The Vendor should propose a plan to process the approved payment of direct- care workers, independent contractors and other Vendors of approved goods and services and how relevant documentation will be maintained in each self-direction

participant's file based on the requirements/ regulations. The Vendor's proposal should address processes and procedures that address how the vendor plans:

A. To manage timesheets and documentation of services.
B. To verify Medicaid eligibility prior to authorizing payment to a direct-care worker, independent contractor or other Vendor of approved goods and services.
C. To verify direct-care workers meet minimum training/experience and enrollment requirements per Bureau policy prior to processing payroll.
D. To comply with Federal and State Department of Labor wage and hour rules and within maximum payment caps.
E. To prevent payments in excess of the authorized participants budget or for services not included in the spending plan.
F. To ensure that the amount claimed does not exceed the self-direction participant's approved spending plan and how over billing occurrences will be addressed.
G. To manage Federal Advanced Earned Income Credit (EIC), garnishments, levies and liens for each eligible direct-care worker in an accurate and timely manner.
H. To address stale dated payroll check procedures, stop payments, reissuance of lost checks, compliance with the West Virginia Unclaimed Property Act, and compliance with CFR 42 Part 433 Section 40.

PPL has established systems and processes for administering payroll and accounts payable activity including filing federal and state taxes on behalf of members. These systems and processes have been customized to meet the requirements of BMS and apply to all HCBS programs.

<u>Managing Timesheets and Invoices</u>

Providers are required to submit timesheets and invoices in accordance with the established payroll schedule for each HCBS program. All timesheets must be signed by the participant or their representative. Similarly, all invoices must be approved by the participant or their representative.

PPL can receive timesheets and invoices via mail, fax, or on-line entry into PPL's Web Portal. PPL recommends on-line timesheet/invoice entry as it reduces errors associated with manual data entry, and gives the provider immediate feedback regarding the success or failure of specific timesheet or invoice lines relative to the service authorizations.

PPL payroll specialists verify timesheets and invoices for accuracy and completeness. Payroll specialists issue support tickets for the resource consultant or a customer service representative to research and resolve timesheet discrepancies as needed, including requiring the provider to resubmit a corrected timesheet or invoice.

PPL processes timesheets and invoices for payment in the established payroll cycle. If PPL makes a mistake that would result in delayed payment to the service provider, PPL processes the timesheet/invoice for payment off-cycle (the week in-between regular payroll) to ensure that the provider is paid on time. In the event of an emergency PPL processes timesheets and invoices for overnight payment.

<u>Verification of Member Eligibility</u>

PPL has established systems and processes to verify eligibility of members enrolled in the Aged and Disabled Waiver program. PPL is currently developing similar systems and processes for the Intellectual/Developmental Disabilities Waiver program. If awarded this contract, PPL will develop similar systems and processes for other HCBS programs.

Prior to referral, the ASO must verify that the member is medically and financially eligible. The resource consultant records eligibility start and end dates in the PPL Web Portal. The resource consultant assists the member with their responsibility for maintaining documentation of continued medical and financial eligibility. The resource consultant reinforces this responsibility and the associated dates during monthly contact and six-month face-to-face visits. The member must notify PPL immediately in the event of reduction in service level or loss of financial or medical eligibility.

If the resource consultant anticipates that annual re-evaluation of medical eligibility will not be conducted prior to the member's medical eligibility expiration date due to circumstances beyond the member's control, PPL notifies BMS in advance, and requests an extension/continuation of prior authorization in the MMIS system.

If the member's service level is reduced or eligibility denied, the member must notify PPL if they file an appeal. If the member chooses not to appeal, or the appeal is denied, the resource consultant assists the member to disenroll or to revise the spending plan and service authorizations for the next month as needed.

<u>Verification of Direct Care Worker Minimum Training/Experience and Enrollment Requirements</u>

PPL provides participants and applicants/employees with a comprehensive set of instructional materials that meet the mandatory training requirements for the Aged and Disabled Waiver program (see below).

- Member Health and Welfare
- Direct care Ethics
- First Aid
- Occupational Safety and Health Administration (OSHA) Training
- Abuse, Neglect, and Exploitation
- Mandated Reporting Requirements
- Mandatory Incident Reporting
- Health Information Portability and Accountability Act (HIPAA)

- Fraud Prevention
- Home Safety
- Emergency Planning
- Personal Options Program Tasks
- Employee Do's and Don'ts
- Timesheet Completion and Submission
- Monthly Service Documentation
- Training Assessment

The provider file maintained by PPL includes a checklist of required provider credentials (CPR, First Aid, Training, Criminal Background Check, etc.) and key dates. The checklist is associated with a rules engine that prevents payment to providers who are not qualified. Employees are required to submit documentation that they meet training/experience and enrollment requirements. PPL has established systems and processes for reminding providers of key expiration dates and preventing payment if requirements are not met or expire.

<u>Ensuring Compliance with Federal and State Department of Labor Wage and Hour Rules and Maximum Payment Caps</u>

PPL uses a Tax Reporting and Payment Processing Schedule to ensure that all required tax filings are made per the required periodicity in accordance with applicable laws, regulations, and local/state rules pertaining to household employers of domestic employees. PPL programs its systems to withhold federal and state income tax, FICA, FUTA, and SUTA, unless the employee is exempt. PPL also programs its systems to withhold applicable municipal fees and taxes, such as the city service fees currently applicable in Charleston, Fairmont, Huntington, and Weirton.

PPL stays current with FICA and FUTA regulations pertaining to household employers of domestic employees, including exemptions on the basis of family relationship between the employer and employee, and current wage thresholds. PPL provides employees with a FICA/FUTA exemption form to complete as applicable. PPL programs the annual FUTA withholding threshold (currently $1,700 per year) into its system to ensure that PPL does not remit FUTA payments for members who do not meet the threshold. Additionally, FUTA is not accrued for wages paid to individual employees that exceed the FUTA withholding threshold. Financial Operations managers review a percent of member files and accounts to verify that PPL paid the required FICA and FUTA payments.

PPL files and pays federal taxes in the aggregate for all members using the Bureau's federal employer identification number (FEIN). PPL deposits payment for the employer portion and employee portion of FICA and federal income tax to the IRS using the Bureau's FEIN. The deposit schedule (outlined in 2010 IRS Publication 15, Circular E, Employer's Tax Guide, Section 11), varies depending on deposit amount. PPL deposits as often as next-day using IRS

Form 8109. PPL deposits state income tax to the West Virginia State Tax Department on a monthly basis. PPL maintains electronic and paper records of all deposits.

<u>Preventing Payments in Excess of the Authorized Participant's Budget or for Services not included in the Spending Plan</u>

PPL's service authorization and payroll/accounts payable systems include essential data such as member budgets, service descriptions, service codes, Medicaid rates, wage rates, unit/dollar limits, applicable taxes, etc. When PPL runs payroll, PPL's systems automatically tests each timesheet and invoice line against the payment rules and limits. PPL "pends" or holds payment for any portion of a timesheet or invoice that violates or exceeds the payment rules. The application of this robust logic ensures that PPL only pays providers for authorized services to eligible members provided by qualified providers at current rates as specified by BMS. PPL routinely updates these rates at the direction of BMS.

<u>Ensuring the Amount Claimed Does Not Exceed the Participant's Approved Spending Plan and Addressing Over-Billing</u>

Prior to processing payroll, the payroll specialist tests all timesheets and invoices for payment, producing a pend report identifying all pended timesheet and invoice lines and the reason for pending. PPL uses a collaborative team process to research and resolve pended items. The payroll specialist distributes the report to the resource consultant administrator, resource consultants, payroll specialist, and customer service representative. Staff in each role research and resolve specific pended items assigned to them. PPL clears pended timesheet and invoice lines that can be paid, and denies those that cannot be paid prior to processing final payroll. If PPL learns of mistakes in this process, the payroll specialist makes corrections and adjusts future payments as needed.

<u>Managing Federal Advanced Earned Income Credit (EIC), Garnishments, Levies and Liens for Each Eligible Direct-Care Worker</u>

The Internal Revenue Service (IRS) repealed advance payments of EIC effective December, 31, 2010. Employees are now limited to applying for the EIC at the end of the tax year with their year-end tax filing. As a result, F/EA vendors are no longer responsible for managing the EIC. PPL provides employees with information regarding the EIC so they can pursue the credit on their own consistent with the revised IRS regulations.

PPL has established systems and processes to manage the application of all garnishments, levies, and liens on employee payroll checks in an accurate and timely manner and to maintain the relevant documentation in the employee's file. PPL employs full-time staff specifically for the garnishment process who oversees that payroll garnishments, levies, and liens are properly documented and entered into PPL's systems. Individual codes are defined for withholding and employer paid components of the payroll. The algorithms for payroll codes are sufficiently flexible to apply any algebraic formula to calculate judgments, garnishments, tax levies or related holds on an employee's funds as may be required by local, state or federal laws. PPL processes garnishments, levies, and liens in accordance with the directions received from the garnishing agency. PPL maintains documentation in the employee's file. PPL monitors the accuracy and timelines of the application of garnishments, levies, and liens through sample audits to ensure these payroll adjustments were processed properly.

Addressing Stale-Dated Payroll Checks, Stop Payment Orders, Reissuance of Lost Checks, and Compliance with the West Virginia Unclaimed Property Act and CFR 42 Part 433 Section 40

PPL has established policies, procedures, and internal controls to investigate and resolve instances in which checks have not been cashed. PPL conducts due diligence in accordance with CFR 42 Part 433 Section 40 (Treatment of Un-cashed or Cancelled [voided] Medicaid Checks), as well as the West Virginia Uniform Unclaimed Property Act administered by the West Virginia State Treasurer which acts as custodian of the property on behalf of the owner.

Unclaimed property is defined as any type of personal property on a business' records that is a debt or obligation to someone else which has remained unclaimed for a specified abandonment period. Unclaimed funds for employees are considered unclaimed property because at the time the check was issued, the payee was entitled to the money. The owner does not lose his or her right to the money simply because the check remains un-cashed. In West Virginia, the abandonment period is 180 days after issuance of payment by PPL. PPL submits a list of abandoned/unclaimed property (un-cashed or cancelled/voided checks) to the Bureau on a quarterly basis. PPL refunds unclaimed property to BMS annually.

Section 2.4.10: The Vendor should propose a plan to inform self-direction members of the status of their budgets and spending each month.

PPL has developed a customized spending report to inform members of the Aged and Disabled Waiver program of the status of their budgets and spending activity each month. PPL is in the process of developing a monthly spending report to meet the requirements for the Intellectual/Developmental Disabilities Waiver program. If awarded this contract, PPL will develop spending reports for additional HCBS programs as opportunities for self direction become available.

The monthly spending report shows participant authorization, spending, and savings activity (including employer and employee taxes where applicable) in specific service categories. The report also shows available savings where permitted by program rules. The monthly spending report is a powerful management tool to promote self direction. The report is made available to participants on-line via the PPL Web Portal and can be mailed to participants who prefer that option. Participants review spending and savings activity and contact their resource consultant to make changes in their spending plan as needed.

Section 2.4.11: The Vendor should propose a plan to monitor the quality of services and health and safety including monthly phone contacts and face to face visits with self-direction participants per Bureau policy.

The resource consultant conducts monthly telephone calls and six-month face-to-face visits to ensure participant health and safety, and to assist the participant with the responsibilities of self direction. The resource consultant reviews the service plan and spending plan as well as important dates. For the Aged and Disabled Waiver program, PPL has developed a call script for the monthly calls, and an operational protocol for the face-to-face visits to ensure the resource consultant covers essential content. Copies of these tools are available upon request. If awarded this contract, PPL will develop similar tools for other HCBS programs.

Section 2.4.12: The Vendor should propose a plan for ongoing staff development that promotes the philosophy of self-direction and includes best practices in self-directed services.

PPL has a comprehensive staff development plan that ensures that all staff members receive ongoing training on F/EA and resource consulting services specific to the requirements of BMS, including best practices in the field of self-direction. Highlights of this approach are provided below.

Prior to employment, PPL provides preferred candidates with a realistic job preview to confirm their interest and ability to perform the specific position for which they have applied. For example, candidates for resource consultant positions attend a home visit with a current resource consultant. All staff members assigned to this project also complete required training in the systems, policies, procedures, and internal controls unique to this project. PPL provides extensive training for resource consultants including principles of self direction (see Appendix C). Major topics include:

- Orientation to PCG and PPL
- Personal Options Overview, History and Philosophy
- The Process Overview - Assisting the Participant
- Supporting the Participant
- Monitoring Participant Health, Safety and Welfare
- Orientation to PPL Computer Programs
- Community Resources
- Other Program Elements

PPL also conducts rigorous on-the-job training in the first few weeks and months of employment. Prior to being approved to conduct an enrollment visit independently, each new resource consultant participates in at least two participant enrollment visits with a senior resource consultant providing guidance and direction and verifying the new staff member's ability to perform the required tasks. A senior staff member accompanies the new resource consultant on the first several home visits, providing immediate performance feedback following each enrollment session.

PPL conducts semi-annual training meetings for resource consultants and supports participation in outside training. Recent training topics have included: End of Life in the Health Care Setting, Fall Prevention, Home Visit Safety, Documentation, Community Disaster Preparedness, and Using Mindfulness to Reduce Compassion Fatigue.

Performance Management

PPL and PCG have highly-effective performance management tools including: competency models for all position classifications; detailed position descriptions; annual performance reviews; semi-annual performance check-ins; individual development plans that identify key areas and timelines for professional development. PPL managers incorporate client and customer feedback in the performance management process.

PPL and PCG recently developed an in-house professional development curriculum entitled PCG University. PCG University includes required classes for all employees as well as advanced classes required for promotion. In the first week of employment all staff members complete required courses in corporate compliance, cultural diversity, HIPAA compliance, etc.

PPL disseminates information to staff through a variety of internal channels, including weekly operations meetings, weekly resource consultant meetings, bi-weekly management meetings, brown-bag lunch sessions, and semi-annual management meetings and retreats.

Professional Development

PPL is committed to ongoing professional development. To stay current on best practices in the field of self-direction, PPL uses tools and materials developed by the NRCPDS, including the Self-Direction Handbook, and materials developed by PPL. PPL managers and staff routinely attend and often present at the following state and national conferences and disseminate information throughout PPL.

- International Conference on Self-Determination
- FMS Workshop
- Home and Community Based Services Conference
- West Virginia Chapter of the National Association of Social Workers
- West Virginia Summer Institute on Aging
- Governor's Summit on Aging in West Virginia

Section 2.4.13: The Vendor should propose a plan to provide practical skills training for self-direction participants that address such issues as hiring, managing and terminating direct-care workers, problem solving, and conflict resolution. The proposal should include the curriculum and address development, production, and distribution of materials.

PPL provides members of all HCBS programs with practical skills training in the areas identified above during the enrollment visit and on an as-needed basis afterwards using the Program and Employer Guide and Resource Manual (see Section 2.4.1 and Appendices A and B).

Section 2.4.14: The Vendor should propose a plan to develop a registry of qualified direct-care workers available to self-direction participants. The proposal should include how the registry will be developed, maintained and accessed by the participants.

PPL maintains an accurate and up-to-date registry of qualified direct care workers in the PPL Web Portal. The Web Portal includes provider demographic information, (name, address, contact information, etc.) as well as provider qualifications (eligibility to work in the United States, CPR, first aid, criminal background check status, OIG-LEIE status, etc.). The Web Portal is supplemented with a spreadsheet of workers who have indicated a willingness to work for other participants.

Participants access the registry through their assigned resource consultant. Upon request, the resource consultant searches the database for qualified direct care workers in the participant's county of residence and/or neighboring counties. The resource consultant either contacts possible workers directly or connects them with the participant, with proper consent.

Direct-care workers also initiate requests for additional work, such as when the participant they have been serving has died. In these instances, the resource consultant contacts potential participant/employers to determine their interest in additional employees and to obtain their consent for the direct care worker to contact them directly.

PPL has connected hundreds of participants with eligible direct care workers since 2007.

Section 2.4.15: The Vendor should propose a review plan to reconcile payroll, claim submission and participant spending plans to identify discrepancies and document action taken to resolve any and all discrepancies.

PPL has established systems and processes to review and reconcile payroll, claim submission, and participant spending plans to identify discrepancies and to document action taken to resolve discrepancies. All payroll and accounts payable data, including individual budgets, service authorizations, and payment data are stored in the PPL Web Portal.

PPL utilizes a just-in-time claims submission, reimbursement, and payment cycle for this project. After running internal payroll and accounts payable operations, PPL submits a claim file to the Medicaid Management Information System (MMIS) vendor in standard 837 reporting format. PPL receives a return file (835 Report) that indicates expected payment status. If the return file indicates that PPL will be paid, PPL releases payment to providers. If the return file reveals that the claim will be denied for reasons related to participant eligibility, PPL researches and attempts to resolve the issues prior to releasing payment. PPL will not release payment to providers for unresolved claims issues due to participant ineligibility.

The integrity of this process is dependent upon the maintenance of accurate data in a timely fashion in the MMIS database. Inaccurate data, such as when financial eligibility data are not entered in a timely fashion by the economic service worker, can result in delayed or denied payments to providers and potential disruption of services to participants. PPL cannot be held accountable for these delays, denials, or disruptions.

Section 2.4.16: The Vendor should propose a Quality Management System to ensure that the policies and procedures for each task are performed accurately and within required timeframes.

PPL has implemented internal controls and quality management activities to ensure each required F/EA and Resource Consulting task is performed accurately and within required timeframes. Examples include:

- Ongoing use of participant/employer checklists and employee/provider checklists;
- Bi-Weekly review and reconciliation of pended timesheets and invoices;
- Monthly analysis of member enrollment and eligibility data;
- Monthly analysis of CPR certification reports;
- Monthly review of member budget utilization reports;
- Ongoing analysis of critical incident reports and allegations of Medicaid fraud;
- Quarterly audits of member files;
- Periodic analysis of Medicaid claims;
- Annual tax audits.

PPL established quality monitoring forms for monitoring member health and safety through monthly phone contact and six-month face-to-face visits. PPL also established monitoring forms for quarterly audits of member files. PPL routinely conducts ad-hoc inquiries in response to areas of concern identified by BMS. PPL is prepared to develop similar internal controls and quality management systems for members of the Mental Retardation and Developmental Disabilities Waiver program at the request of BMS.

PPL has comprehensive quality management process regarding payroll and accounts payable activity. Financial Operations performs a monthly paperwork review of 10 participants: Employer, Employee, Criminal Background Check, Timesheet, and Invoices. A pass or fail rate is calculated and the program manager or business analysts addresses corrective actions as required. Quarterly, the resource consultant coordinator audits a sample of participant files and reviews all documents, recommending corrective action as needed. Trends, areas of concern, and necessary changes are identified. Staff is informed weekly of any changes that effect the program. Semi-annually, the resource consultant administrator or coordinator visits each RC home office for a compliance review.

Section 2.4.17: The Vendor should be willing to provide additional services to comply with externally driven changes to BMS programs and requirements, including any state of federal laws, rules and regulations. Services provided by the Vendor could include assistance with policy development impact analysis, requirements definition and testing activities that require substantial subject matter expertise derived from experience in other states, other healthcare organizations or participation in federal activities. Provide implementation support as requested.

PPL is pleased to provide additional services to comply with externally driven changes to BMS programs and requirements, including any state or federal laws, rules and regulations. Services provided by PPL could include assistance with policy development impact analysis, requirement definition and testing activities that require substantial subject matter expertise derived from PPL's experience in other states, other healthcare organizations or participation in federal activities. PPL is pleased to provide implementation support as requested.

Section 2.4.18: The Vendor should propose a work plan that demonstrates their understanding of the scope of services requested in this solicitation.

PPL has proposed a comprehensive work plan that demonstrates understanding of the scope of services requested in this solicitation (see Appendix D). As the incumbent vendor, PPL is fully engaged in implementing the work plan to provide F/EA and RC services for members of the Aged and Disabled Waiver program. PPL has initiated implementation of the work plan for members of the Intellectual/Developmental Disabilities Waiver program. PPL has proposed a preliminary work plan to serve members of other HCBS programs. PPL will modify these work plans as needed.

Section 2.4.19: The Vendor should propose a staffing plan that includes highly skilled team members who bring a breadth and depth of F/EA knowledge, skills and experience with a background in Medicaid. The vendor's proposal should describe how their staffing plan provides the array of skills needed to fulfill the requirements and scope of work in the RFP. The Vendor's proposed staffing plan should include, but not be limited to, the following components:

A. **Organization Chart.**
B. **A description of the roles, responsibilities and skill sets associated with each position on the organization chart.**
C. **Key staff positions identified with named individuals and resumes demonstrating experience with self-direction and best practices for HCBS for each key staff member performing F/EA and RC related work.**
D. **FTE assigned to each key staff indicated.**

An organizational chart for all PPL positions located in West Virginia is provided in Appendix E. PPL will provide additional organizational charts for positions assigned to this project in locations outside of West Virginia at the request of BMS.

PPL's project management and resource consulting staff is uniquely qualified to meet the requirements of this RFP. David Horvath and Sally Burchfiel were instrumental the design and implementation of the self-directed option in the Aged and Disabled Waiver program. David and Sally have become recognized leaders in the field of self-direction, frequently presenting to state and national audiences. Randy Hill joined PPL as a senior program manager in 2011. Randy has extensive experience with the Intellectual/Developmental Disabilities Waiver program, and has played a leadership role in the design of the self-directed option. Together, these three project managers have over 50 years of combined experience in health and human services, including over 10 years of combined experience providing in-state management of F/EA and RC services in West Virginia.

The names, job titles, time commitments, and responsibilities of current employees located in West Virginia are listed below. PPL will provide this information for positions located outside of West Virginia at the request of BMS. Detailed position descriptions for all positions are also available upon request.

Managers and Administrative Staff

- David Horvath, Associate Manager (.25 FTE) - Responsible for providing administrative oversight of F/EA and RC services and supervision of senior managers.

- Sally Burchfiel, Senior Program Manager (1.0 FTE) - Responsible for providing program management of F/EA and RC services to participants in Aged and Disabled Waiver program; guidance and direction regarding additional HCBS programs; supervision of resource consultant coordinator and business analysts; and, management of Morgantown office.

- Randy Hill, Senior Program Manager, (1.0 FTE) – Responsible for providing program management of F/EA and RC services to participants in Intellectual/Developmental Disabilities Waiver program; guidance and direction regarding additional HCBS programs; supervision of resource consultants and business analysts; and, management of Charleston office.

- Radene Hinkle, Resource Consultant Coordinator (1.0 FTE) – Responsible for providing supervision and coordination of resource consultants serving participants in Aged and Disabled Waiver program; quality management of RC services; and, guidance and direction regarding additional HCBS programs.

- Emery Boehm, Business Analyst (1.0 FTE) – Responsible for providing administrative, logistical, and technical support for F/EA and RC services to participants in Intellectual/Developmental Disabilities Waiver program, and guidance and direction regarding additional HCBS programs.

- Nicole Freeman, Business Analyst (1.0 FTE) – Responsible for providing administrative, logistical, and technical support for F/EA and RC services to participants in the Aged and Disabled waiver program, and guidance/direction regarding additional HCBS programs.

Resumes for these key staff members are provided in Appendix F.

Senior Resource Consultants

PPL currently employs the following full-time senior resource consultants (1.0 FTE each) – Responsible for providing RC services to members of the Aged and Disabled Waiver program, and providing guidance and direction to resource consultants.

- Melanie Carte
- Suzanne Hale
- Katharine Randall

Resource Consultants

PPL currently employs the following full-time resource consultants (1.0 FTE each) – Responsible for providing RC services to members of the Aged and Disabled Waiver program.

- Ashley Miller
- Connie Shaffer
- Merena Cline-Elliott
- Marilyn Hanks
- Beverly Sloan
- Beverly Bailey
- Carrie Crites
- Charlotte Whipkey
- Christina Terrell
- Danielle Hamer

Resumes of senior resource consultants and resource consultants will be provided upon request.

Section 2.4.20: Vendor should provide detailed information from three (3) verifiable references detailing evidence of their experience in providing both F/EA and RC services described in this RFP performed in the past five (5) years. References should include a contact name, phone number, email address and the responsible project administrator familiar with the firm's performance.

PPL has provided financial management services in support of self-directed programs since 1999. PPL currently provides financial management services for over 35,000 participants in 20 states and the District of Columbia. PPL has provided financial management services in combination with resource consulting services, also known as support brokerage or program support, since 2006. PPL has furnished the names and contact information of three state clients familiar with PPL's ability to meet the specific requirements of this RFP, along with a description of PPL's work in each of these states (see Appendix G). These references were selected based on the ability of the state program managers to speak directly to PPL's experience performing the scope of work as outlined in this RFP. A brief summary of PPL's work in each of these states is provided below:

- In Colorado, PPL has provided Agency with Choice (AWC) financial management services in combination with program support specialist under contract with the Department of Healthcare Policy and Financing since 2009. PPL currently serves over 1,500 participants. As the single statewide Agency with Choice provider, PPL acts as the common law employer. Participants act as the managing employer. PPL is also responsible for providing skills training and peer support to participants to ensure that they understand the philosophy of consumer direction and are able to recognize and monitor the quality of services.

- In Tennessee, PPL has provided F/EA services and support broker services under contract with the Tennessee Department of Finance and Administration, Division of Intellectual Disabilities Services since 2005. PPL currently provides vendor F/EA services combined with supports broker services for over 400 participants. In addition, PPL currently provides F/EA and support broker services for over 400 participants in "Choices", a self-directed option within in the managed care model administered by TennCare, the state Medicaid program. PPL provides support broker services through a network of qualified subcontractors.

- In Virginia, PPL has provided F/EA services under contract with the Virginia Department of Medical Assistance Services since 2006. PPL acts as a vendor F/EA. PPL currently serves over 9,400 participants in four Medicaid waiver programs and the Money Follows the Person program. Approximately 40% of waiver participants have chosen self-direction.

Attachment B: Mandatory Specification Checklist

Attachment B: Mandatory Specification Checklist

The following mandatory requirements must be met by the Vendor as a part of the submitted proposal. Failure on the part of the Vendor to meet any of the mandatory specifications shall result in the disqualification of the proposal. The terms "must," "will," "shall," "minimum," "maximum," or "is/are required" identify a mandatory item or factor. Decisions regarding compliance with any mandatory requirements shall be at the sole discretion of the Bureau.

The Vendor will:

Section 2.5.1: Comply with requirements listed in Attachment D.

PPL agrees to comply with the Special Terms and Conditions specified in Attachment D.

Section 2.5.2: Maintain an in-state office.

PPL agrees to maintain an in-state office for the life of this contract. PPL has maintained an office in Morgantown, West Virginia since 2007. The current address and toll-free number are provided below:

Public Partnerships, LLC
601-3 East Brockway Avenue, Suite E
Morgantown, WV 26501
1-888-775-9801 (PPL-WV01)

PPL's Morgantown office includes the following:

- Fully accessible to person with disabilities, including accessible parking;
- Reception area, executive offices, computer work stations, conference room, resource library, and secure storage;
- Electronic security system, including exterior door alarms, interior motion detectors, and telephone dispatching of law enforcement officers 24 hours per day; and,
- State-of-the art telecommunications, including automated teller, staff directory, and connectivity to all PPL and PCG offices.

PPL is currently planning to expand its Morgantown office and open an office in Charleston to accommodate the hiring of additional resource consultants to support growth in the Aged and Disabled Waiver program and expansion of self direction to the Intellectual/Developmental Disabilities Waiver program and other HCBS programs.

Section 2.5.3: Provide qualified staff of persons with a minimum of one (1) year experience in supporting individuals in home and community based settings and a bachelors degree in a human service field for instate project management and RC that ensures statewide coverage at a ratio of no more than one (1) RC to every sixty (60) self-direction members.

Four (4) years of relevant work experience is acceptable in lieu of a Bachelor's Degree (as specified in Addendum 1).

All managers and staff currently employed by PPL meet or exceed the education and experience requirements as specified in Addendum 1 (above and attached). The names, job titles, time commitments, and responsibilities of current employees located in West Virginia are provided in Section 2.4.19. Resumes for key staff located in West Virginia are provided (Appendix F). Information for positions located outside of West Virginia is available upon request.

PPL currently employs resource consultants at the ratio of one (1) RC to every seventy-five (75) active members. PPL agrees to increase its resource consulting staffing levels to meet the required ratio of one (1) RC to every sixty (60) active members as specified in this RFP. PPL understands that the role of the resource consultant varies from one HCBS program to another. PPL agrees to maintain this ratio for all HCBS programs.

Section 2.5.4: Comply with all billing standards both Federal and State.

PPL agrees to comply with all billing standards, both federal and state, including federal and state standards requiring timely payment of employee wages and timely filing of Medicaid claims.

Section 2.5.5: Comply with all State and Federal tax laws for all F/EA services.

PPL agrees to comply with all state and federal tax laws and regulations that apply to F/EA services, including regulations issued by the Internal Revenue Service (IRS) and the West Virginia State Tax Department, as well as certain municipalities within the State of West Virginia. PPL also agrees to comply with all applicable state and federal and employment laws and regulations, including laws and regulations issued by the U.S. Department of Labor (USDOL) and the West Virginia Division of Labor.

Section 2.5.6: Have at least two (2) years experience in providing F/EA (either as a Subagent to a Government F/EA, or as a Vendor F/EA) and RC services to Medicaid members. The Vendor shall provide a narrative that demonstrates its experience in providing F/EA services, as the Subagent to a Government F/EA or Vendor F/EA and providing RC services, has experience using the Consumer Directed Module (CDM), has considered all of the requirements and developed an approach that will support the successful implementation of self-directed services in West Virginia.

PPL's experience providing F/EA services as a subagent to government agencies exceeds the mandatory requirements of this RFP. PPL has provided financial management services as the subagent to the Arizona Department of Economic Security, Division of Developmental Disabilities in Arizona since 2004. PPL has provided F/EA services as a subagent to the West Virginia Department of Health and Human Resources since 2007.

PPL's experience providing financial management services in combination with resource consulting services, also known as support brokerage or program support, exceeds the mandatory requirements of this RFP. PPL has provided financial management services in combination with resource consulting services, since 2006. PPL currently provides financial management services in combination with resource consulting services in three states (Colorado, Tennessee, and West Virginia). See Section 2.4.20 and Appendix G for a description of PPL's work and contact information for program managers familiar with PPL's performance.

PPL meets the mandatory requirement of having experience using the CDM. PPL management and resource consulting staff played a lead role in the development and testing of the CDM by the Cash & Counseling National Program Office. Furthermore, PPL is the only national vendor with experience using the CDM as a provider of both financial management and resource consulting services. PPL continues to use an adapted version of the CDM spending plan to support members of the Aged and Disabled Waiver program in West Virginia.

PPL has considered all of the requirements of this RFP and has developed an approach that will support the successful implementation of self-directed services in West Virginia (see vendor response in Section 2.4).

Section 2.5.7: Maintain an auditable system for managing self-direction participant's budgets, payroll processing and related reporting, and claims submission.

PPL agrees to maintain an auditable system for managing participant budgets, processing payroll and accounts payable activity, reporting, and claims submission.

Section 2.5.8: Ensure that all RCs are current West Virginia Notary Publics.

PPL has an established process to ensure that all resource consultants are current West Virginia Notary Publics. As a condition of employment, PPL requires all resource consultants to be residents of West Virginia. PPL requires each resource consultant to obtain their Notary Public certificate within two weeks of employment, prior to conducting any member enrollment that requires notarization of state tax forms. All resource consultants currently employed by PPL meet this mandatory requirement.

Section 2.5.9: Provide timely and accurate reports as requested by the Bureau within seven (7) business days of the request.

PPL agrees to provide timely and accurate reports as requested by the Bureau within seven (7) days of the request. PPL has extensive experience meeting the reporting requirements of BMS, and has developed many standard and custom reports to meet the requirements of this RFP.

Section 2.5.10: Provide the Bureau a copy of the monthly statement from the dedicated payroll bank account within fifteen (15) business days of the request along with any other

financial information that may be necessary for the Bureau to oversee the delivery of F/EA services and to maintain relevant documentation in the Vendor's files.

PPL agrees to provide the Bureau a copy of the monthly statement from the dedicated payroll bank account within fifteen (15) business days of the request, along with any other financial information that may be necessary for the Bureau to oversee the delivery of F/EA services. PPL agrees to maintain relevant documentation in PPL's files. PPL has well established systems and processes to meet this requirement.

Section 2.5.11: Ensure that copies of information and reports are not distributed to other parties without the written permission and direction of the Bureau.

PPL agrees to ensure that copies of information and reports are not distributed to other parties without the written permission and direction of the Bureau.

Section 2.5.12: Perform the F/EA tasks without the use of a subcontractor. The Vendor will be the Subagent to the Bureau and will be wholly responsible for all F/EA and RC activities.

PPL agrees to perform the F/EA tasks without the use of a subcontractor. PPL agrees to act as the Subagent to the Bureau. PPL understands and agrees that it is wholly responsible for all F/EA and RC activities under this contract.

Section 2.5.13: Establish (prior to implementation) and maintain an agency approved Comprehensive West Virginia-specific Government F/EA-Subagent and RC Policies and Procedures Manual within thirty (30) calendar days of the request.

PPL agrees to establish (prior to implementation) and maintain an agency approved Comprehensive West Virginia-specific Government F/EA-Subagent and RC Policies and Procedures Manual within thirty (30) calendar days of the request. PPL currently maintains a policies and procedures manual for the Aged and Disabled Waiver program. PPL is in the process of developing a policies and procedures manual for the Intellectual/Developmental Disabilities Waiver program. PPL will establish and maintain policies and procedures manuals for additional HCBS programs as opportunities for self direction become available.

Section 2.5.14: The Vendors systems and policies must comply with Bureau of Medical Services, Chapter 600, Reimbursement Methodologies, of the West Virginia provider manuals. The Vendor will have thirty (30) calendar days to correct any discrepancies or reimburse the Bureau of overpayments, if any, and detail the credit on the next submitted claim.

PPL understands and agrees that its systems and policies will comply with Bureau of Medical Services, Chapter 600, Reimbursement Methodologies, of the West Virginia provider manuals. PPL understands and agrees that it will have thirty (30) calendar days to correct any discrepancies or reimburse the Bureau of overpayments, if any, and detail the credit on the next submitted claim. PPL understands the potential for BMS to request payment recovery in certain situations as outlined in the response to vendor questions in Addendum 1, and accepts the associated risks of potential payback.

Section 2.5.15: Participate in readiness review if requested by the Bureau.

PPL agrees to participate in readiness review if requested by the Bureau.

Section 2.5.16: Develop a timeline for implementation and revise based on readiness review if needed.

PPL agrees to develop a timeline for implementation and revise based on readiness review if needed.

Section 2.5.17: Operate a call center at minimum 9:00am to 5:00pm (EST) Monday through Friday excluding West Virginia State holidays for self-direction participants and their employees to access needed information concerning their services.

PPL operates a full-service Customer Service Center in Phoenix, AZ with back-up operations in Denver, CO; Richmond, VA; Chelsea, MA. PPL establishes a separate toll-free line for each HCBS program in West Virginia. PPL customer service representatives are available Monday through Friday (except state holidays), between the hours of 9:00am and 6:00pm, Eastern Standard Time. PPL's customer service capabilities are detailed in Section 2.4.1.

Section 2.5.18: Maintain the capacity to receive funds by electronic funds transfer (EFT).

PPL has established systems and processes to receive payment for both administrative invoices and service claims via electronic funds transfer (EFT). PPL establishes a program-specific commercial checking account for each HCBS program. PPL deposits all service funds received in the project-specific checking account. PPL retains records and receipts in its payroll processing system.

Section 2.5.19: Not bill the Bureau in advance for participant directed goods or services.

PPL agrees not to bill the Bureau in advance for participant directed goods or services. PPL adheres to a just-in-time reimbursement cycle with the MMIS vendor. PPL processes accounts payable activity, submits a claim file to the MMIS vendor, and receives claims reimbursement just-in-time prior to releasing funds to service providers.

I certify that the proposal submitted meets or exceeds all the mandatory specifications of this RFP. Additionally, I agree to provide any additional documentation deemed necessary by the Bureau to demonstrate compliance with said mandatory specifications.

Public Partnerships, LLC

Signature

Marc H. Fenton, President

Phone: (617) 426-2026; Fax: (617) 717-0085

Sept. 6, 2011

Date

Attachment C: Cost Sheet

Attachment C: Cost Sheet

Please refer to the cost proposal included in a separate sealed envelope.

Attachment D: Special Terms and Conditions

Attachment D: Special Terms and Conditions

If a vendor's proposal includes proprietary language within the technical proposal, an electronic copy omitting any proprietary language for publishing to the DHHR web-site should be submitted.

Agree that BMS retains ownership of all data, procedures, programs, work papers, and all materials gathered or developed under the contract with West Virginia.

Vendor Debrief: As the evaluation and award process has been described and documented, unsuccessful vendors have the opportunity to request a Debrief. That Debrief will be conducted at BMS facilities, privately, with the requesting vendor, the buyer and appropriate members of the evaluation committee. The vendor's proposal will be discussed, and the evaluation committee scoring and contract award will be explained. This will help vendors understand the process, be more competitive by improving their proposals, and will increase their potential for winning bids.

I certify that I have acknowledged the additional contract provisions contained in Attachment D and that the proposal meets or exceeds all additional requirements as listed.

Public Partnerships, LLC
(Company)

Marc Fenton, President
(Representative Name, Title)

617-426-4026 / 617-426-4632 (fax)
(Contact Phone/Fax Number)

Aug 26, 2011
(Date)

Addendum 1: Acknowledgement

Request for Quotation

State of West Virginia
Department of Health & Human Resources
Office of Purchasing
One Davis Square, Suite 100
Charleston, WV 25301

RFQ NUMBER	PAGE
MED12004	1

ADDRESS CORRESPONDENCE TO ATTENTION OF:
DONNA D. SMITH
304-957-0218

VENDOR:
Public Partnerships, LLC
601-3 East Brockway Avenue, Suite E
Morgantown, WV 26501

SHIP TO:
BUREAU FOR MEDICAL SERVICES
350 CAPITOL STREET, ROOM 251
CHARLESTON, WV 25301-3706

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FUND

BID OPENING DATE: 9/13/11 BID OPENING TIME: 1:30 PM

LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT

ADDENDUM NO. 1

1. TO ANSWER VENDORS QUESTIONS (SEE ATTACHED).

2. TO MODIFY MANDATORY REQUIREMENT IN SECTION 2.5.3:

CHANGE FROM: 2.5.3 Provide qualified staff of persons with a minimum of one (1) year experience in supporting individuals in home and community based settings and a bachelors degree in a human service field for instate project management and RC that ensures statewide coverage at a ratio of no more than one (1) RC to every sixty (60) self-direction members.

CHANGE TO: 2.5.3 Provide qualified staff of persons with a minimum of one (1) year experience in supporting individuals in home and community based settings and a bachelor's degree in a human service field for instate project management and RC that ensures statewide coverage at a ratio of no more than one (1) RC to every sixty (60) self-direction members. Four (4) years of relevant work experience is acceptable in lieu of a Bachelor's Degree.

3. ADDENDUM ACKNOWLEDGEMENT IS ATTACHED. THIS DOCUMENT SHOULD BE SIGNED AND RETURNED WITH YOUR BID. FAILURE TO SIGN AND RETURN MAY RESULT IN DISQUALIFICATION OF YOUR PROPOSAL.

REQUISITION NO.: MED12004

ADDENDUM ACKNOWLEDGEMENT

I HEREBY ACKNOWLEDGE RECEIPT OF THE FOLLOWING CHECKED ADDENDUM(S) AND HAVE MADE THE NECESSARY REVISIONS TO MY PROPOSAL, PLANS AND/OR SPECIFICATION, ETC.

ADDENDUM NO.'S"

NO. 1 X
NO. 2 ____
NO. 3 ____
NO. 4 ____
NO. 5 ____

I UNDERSTAND THAT FAILURE TO CONFIRM THE RECEIPT OF THE ADDENDUM(S) MAY BE CAUSE FOR REJECTION OF PROPOSAL.

SEE REVERSE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE 617-426-2026	DATE 9/6/2011
TITLE President	FEIN 04-368852	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFP, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED "VENDOR"

Request for Quotation

State of West Virginia
Department of Health & Human Resources
Office of Purchasing
One Davis Square, Suite 100
Charleston, WV 25301

RFQ NUMBER	PAGE
MED12004	2

ADDRESS CORRESPONDENCE TO ATTENTION OF:
DONNA D. SMITH
304-957-0218

VENDOR:
Public Partnerships, LLC
601-3 East Brockway Avenue, Suite E
Morgantown, WV 26501

SHIP TO:
BUREAU FOR MEDICAL SERVICES
350 CAPITOL STREET, ROOM 251
CHARLESTON, WV 25301-3706

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FUND

BID OPENING DATE: 9/13/11 BID OPENING TIME: 1:30 PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT

VENDOR MUST CLEARLY UNDERSTAND THAT ANY VERBAL REPRESENTATION MADE OR ASSUMED TO BE MADE DURING ANY ORAL DISCUSSION HELD BETWEEN VENDOR'S REPRESENTATIVES AND ANY STATE PERSONNEL IS NOT BINDING. ONLY THE INFORMATION ISSUED IN WRITING AND ADDED TO THE SPECIFICATIONS BY AN OFFICIAL ADDENDUM IS BINDING.

[signature]
SIGNATURE

Public Partnerships, LLC
COMPANY

Sept. 6, 2011
DATE

END OF ADDENDUM NO. 1

SEE REVERSE FOR TERMS AND CONDITIONS

SIGNATURE		TELEPHONE 617-426-2026	DATE Sept. 6, 2011
TITLE President	FEIN 04-368852		ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFP, INSERT NAME AND ADDRESS IN SAPCE ABOVE LABELED "VENDOR"

Purchasing Affidavit

GENERAL TERMS & CONDITIONS
PURCHASE ORDER/CONTRACT

1. **ACCEPTANCE:** Seller shall be bound by this order and its terms and conditions upon receipt of this order.

2. **APPLICABLE LAW:** The laws of the State of West Virginia and the BMS Purchasing Manual shall govern all rights and duties under the Contract, including without limitation the validity of this Purchase Order/Contract.

3. **NON-FUNDING:** All services performed or goods delivered under BMS Purchase Orders/Contracts are to be continued for the terms of the Purchase Order/Contract, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise available for these services or goods, the Purchase Order/Contract becomes void and of no effect after June 30.

4. **COMPLIANCE:** Seller shall comply with all federal, state and local laws, regulations and ordinance including, but not limited to, the prevailing wage rates of the WV Division of Labor.

5. **MODIFICATIONS:** This writing is the parties' final expression of intent. No modification of this order shall be binding unless agreed to in writing by the Buyer.

6. **ASSIGNMENT:** Neither this Order or any monies due, or to become due hereunder may be assigned by the Seller without the Buyer's consent.

7. **WARRANTY:** The Seller expressly warrants that the goods and/or services covered by this order will: (a) conform to the specifications, drawings, samples or other description furnished or specified by the BUYER; (b) be merchantable and fit for the purpose intended; and/or (c) be free from defect in material and workmanship.

8. **CANCELLATION:** The director of the DHHR Office of Purchasing may cancel any Purchase Order/Contract upon 30 days written notice to the seller.

9. **SHIPPING, BILLING & PRICES:** Prices are those stated in this order. No price increase will be accepted without written authority from the Buyer. All goods or services shall be shipped on or before the date specified in the Order.

10. **LATE PAYMENTS:** Payment may only be made after the delivery of goods or services. Interest may be paid on late payments in accordance with the ***West Virginia Code***.

11. **TAXES:** The State of West Virginia is exempt from the federal and state taxes and will not pay or reimburse such taxes.

12. **RENEWAL:** Any reference to automatic renewal is hereby deleted. The Contract may be renewed only upon contract null and void, and terminate such contract without further order.

13. **BANKRUPTCY:** In the event the vendor/contractor files for bankruptcy protection, the State may deem this contract null and void, and terminate such contract without further order.

14. **HIPAA BUSINESS ASSOCIATE ADDENDUM:** The West Virginia State Government HIPAA Business Associate Addendum (BAA), approved by the Attorney General, is available online at www.state.wv.us/admin/purchase/vrc/hipaa.htm and is hereby made part of the agreement provided that the Agency meets the definition of a Cover Entity (45 CFR § 160.103) and will be disclosing Protected Health Information (45 CFR § 160.103) to the vendor.

15. **CONFIDENTIALITY:** The vendor agrees that he or she will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure in writing or the disclosure is made pursuant to the agency's policies, procedure, and rules.

16. **LICENSING:** Vendors must be licensed and in good standing in accordance with any and all state and local laws and requirement by any state or local agency of West Virginia, including but not limited to, the West Virginia Secretary of State's Office, the West Virginia Insurance Commission, or any other state agency or political subdivision. Furthermore, the vendor much provide all necessary releases to obtain information to enable the Director or spending unit to verify that the vendor is licensed and in good standing with the above entities.

Question	Answer
Section 2.4.2 requires the vendor to *"...propose a plan to enroll each HCBS member choosing a self-direction option..."*. Is the vendor required to conduct individual face to face enrollments for all HCBS programs?	Yes.
Section 2.4.9 (G.) requires the proposal to address how the vendor plans *"To manage Federal Advanced Earned Income Credit (EIC)..."*. The IRS repealed advanced payments of EIC effective December 31, 2010. Employees are now limited to applying for the EIC at the end of the tax year with their year-end tax filing. As a result the F/EA is no longer responsible for managing EIC. Is it sufficient and acceptable for the vendor to provide employees with information regarding the EIC to pursue the credit on their own consistent with the revised IRS regulations?	Yes.
Section 2.4.11 requires the vendor to *"...propose a plan to monitor the quality of services and health and safety including monthly phone contacts and face to face visits with self-direction participants per Bureau policy."* Can BMS confirm the policy in effect regarding the frequency of face to face visits for each HCBS program?	The face to face requirement is every six (6) months for each waiver program.
Section 2.5.3 requires that qualified staff providing resource consulting services have *"...a minimum of one (1) year experience ...and a bachelors degree in a human service field..."*. PPL currently employs a senior resource consultant without a degree. This individual has eight (8) years experience, including four (4) years experience as a resource consultant. This individual is currently pursuing a bachelor's degree. If PPL is the selected vendor, will BMS grant PPL a waiver of the educational requirement to allow PPL to continue to employ this individual?	Section 2.5.3 of the RFP has been modified to read "Provide qualified staff of persons with a minimum of one (1) year experience in supporting individuals in home and community based settings and a bachelor's degree in a human service field for instate project management and RC that ensures statewide coverage at a ratio of no more than one (1) RC to every sixty (60) self-direction members. Four (4) years of relevant work experience is acceptable in lieu of a Bachelor's Degree."

Section 2.5.3 specifies a ratio of *"...no more than one (1) RC to every sixty (60) members."* Is the ratio a cap that the vendor is not to exceed for any resource consultant at any time? Alternatively, will BMS consider an average ratio per RC over a period of time, or an average of all RCs over a period of time? Regardless of the method of calculation, how is the vendor expected to demonstrate compliance with the ratio?	There is no cap on the number of members a single RC can support. The ratio is an average of 1 to 60 at any given time. The ratio is based on total number of RCs to total active members.
Section 2.5.14 states that the vendor's *"...systems and policies must comply with the Bureau of Medical Services, Chapter 600, Reimbursement Methodologies of the West Virginia provider manuals."* Can BMS clarify the specific circumstances (if any) under which the vendor would be subject to potential payback of service claims in accordance with Chapter 600?	The vendor will be responsible to comply with Chapter 600. We would expect the vendor to be subject to payment recovery in situations including, but not necessarily limited to, the following • Payments processed on behalf of a member who was not eligible for the program. • Payment for unqualified employees or vendors • Payment for services not included on an approved spending plan (including PDGS). • Payment amounts exceeding members monthly allotted budget. • Payment for services for unsigned timesheets • Payment for undocumented delivery of PDGS
Can BMS provide an estimate of when the opportunity for self-direction will be extended to members receiving Medicaid State Plan Personal Care services? Does BMS anticipate this to occur during the potential three-year life of the contract?	BMS cannot project an implementation time frame for self-direction in the state plan personal care program.
How many participants are currently active in the program? a. What is the expected monthly growth rate? b. When will the TBI waiver be added? How many participants expected for TBI?	As of July 1, 2010, the ADW Personal Options program had 463 active members. There were 831 active members as of June 30, 2011. 231 new Personal Options cases were opened during the last six (6) months of SFY 2011 for a monthly average of nearly 39 new cases. We would anticipate a similar growth in the program this fiscal year.

	The I/DD waiver self-direction program will begin in October, so there are currently no active self-direction members on the program. There are 4,488 total members enrolled in I/DD waiver. The expectation would be the number of individuals who choose self-direction to be consistent with the national average of 10-15%. BMS will make its final submission of the TBI Waiver application to CMS by November 1, 2011. BMS will begin enrollment in the TBI Waiver program within 30 days after approval of the Waiver application by CMS. The total number of participants for the waiver Year 1 is 75; Year 2 is 100; and Year 3 is 125. The expectation would be the number of individuals who choose self-direction to be consistent with the national average of 10-15%.
What is the average budget size for participants in the program?	Average budgets will vary for each specific waiver program.
What is the average number of direct-care workers employed by program participants?	The average number of individuals employed by ADW self-direction members is 1.28.
Are we correct in understanding that the Bureau expects the Fiscal to start work on October 1? If so, is there any flexibility if a new Fiscal is chosen in order to transition participants and employees?	A reasonable transition period will be negotiated with the previous, new vendor, and BMS. The transition period would be no less than 90 days and no more than 180 days.
What is the current administrative PMPM fee?	The ADW PMPM is currently based on 15% of the member's self-directed budget. The PM/PM rate for the I/DD Waiver self-direction program is currently $216.
Please state the training/experience requirements for the care workers, and note the regulatory citation? This applies to 2.4.3	Please refer to the ADW waiver manual effective September 1, 2011 and the I/DD waiver manual

and 2.4.9.C. in the RFP.	effective October 1, 2011 and the draft TBI waiver application on the BMS website www.dhhr.wv.gov/bms. Training requirements for self-directed direct care workers are included in these documents.
What type of background check does the Bureau require (specific State entity, fingerprint, online, etc.) and where do funds for the background check come from (participant budget, Vendor admin fees, direct-care worker pocket, other)? a. If a specific background check, how much does this cost? b. Do vendors (goods/services) and independent contractors require a background check? c. Is it true that applicants that have not lived in state for 5+ years also require a federal background check? If so, what is cost, who pays, and do vendors and IC have the same?	All the programs will require a fingerprint based criminal background check, a check of the OIG exclusions list, and program specific registry checks. Specific program requirements can be found in policy manuals and waiver applications referenced above on the BMS website www.dhhr.wv.gov/bms. The Direct Care worker is responsible for expenses related to background checks. A. Unclear what vendor is asking. B. No only direct care workers. C. Yes, the employee is responsible for payment.
In verifying Medicaid eligibility, will an authorization from the State for a time period suffice, or must the Vendor check eligibility on a regular basis via website or other method? d. If authorization is NOT enough, how often is eligibility updated? e. If direct-care workers, vendors, or ICs submit invoices for a participant who loses eligibility, what would the Bureau like the Fiscal Vendor to do (labor laws, claims, etc.)?	D. The vendor is responsible for checking continuing eligibility either through BMS's claims processing entity website or other means. Eligibility can change month to month. E. Payments for services provided to ineligible members would not be eligible for reimbursement by Medicaid.
Is there a list of specific reports the Bureau might request? (2.5.9)	Please refer to appendix E-1-IV of the waiver applications for information regarding BMS oversight of the FE/A. Applications may be found on the BMS website www.dhhr.wv.gov/bms.
Number 2.5.12 requires performance of F/EA tasks without	Yes.

subcontract. Does this extend to RC tasks as well?	
Can you provide more details on the differences between required roles of a Case Manager and a Resource Consultant?	Please refer to appendix E of the waiver applications for roles of the resource consultant. Roles of Case Managers can also be found in the Waiver applications. Applications may be found on the BMS website www.dhhr.wv.gov/bms.
Are we correct in assuming that RCs participate in the IDT meetings/contacts as scheduled in the I/DD Waiver Services? If not, what contacts/visits are required? What contacts/visits are required under Aged and Disabled Waiver Services?	RC's are not required to participate in the IDT. Monthly contacts by the RC are required for all programs.
We understand that WV asks for a maximum 1:60 ratio for RCs to participants. How rigid is this limit? Is it flexible if the Vendor is more cost-effective?	Yes, we are requiring a maximum ratio of 1 RC to 60 self-direction members. The ratio is an average of 1 to 60 at any given time. There is no flexibility on this staffing requirement.
Referencing the RFP – 2.5.10: The Vendor is required to submit a monthly statement from a dedicated payroll bank account. Is it permissible to submit a payroll check register that depicts the amount paid to each employee, check number, and pay date?	Yes.

RFQ No. ________________

BUREAU FOR MEDICAL SERVICES

MED PURCHASING AFFIDAVIT

West Virginia Code §5A-3-10a states: No contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and the debt owned is an amount greater than one thousand dollars in the aggregate

DEFINITIONS:
"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Debtor" means any individual, corporation, partnership, association, Limited Liability Company or any other form or business association owing a debt to the state or any of its political subdivisions. "Political subdivision" means any county commission; municipality; county board of education; any instrumentality established by a county or municipality; any separate corporation or instrumentality established by one or more counties or municipalities, as permitted by law; or any public body charged by law with the performance of a government function or whose jurisdiction is coextensive with one or more counties or municipalities. "Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

EXCEPTION: The prohibition of this section does not apply where a vendor has contested any tax administered pursuant to chapter eleven of this code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

Under penalty of law for false swearing ***(West Virginia Code*** §61-5-3), it is hereby certified that the vendor affirms and acknowledges the information in this affidavit and is in compliance with the requirements as stated.

WITNESS THE FOLLOWING SIGNATURE

Vendor's Name: Public Partnerships, LLC

Authorized Signature: [signature] Date: Aug. 26, 2011

State of Massachusetts

County of Suffolk, to-wit:

Taken, subscribed, and sworn to before me this 26th day of AUGUST, 2011

My Commission expires MARCH 11, 2011.

AFFIX SEAL HERE

STUART A. KAUFMAN
MY COMMISSION EXPIRES MAR. 11, 2016
NOTARY PUBLIC
COMMONWEALTH OF MASSACHUSETTS

NOTORY PUBLIC [signature]

Purchasing Affidavit (Revised 12/15/09)

Resident Vendor Preference Certificate of Application

Rev. 09/08

State of West Virginia

VENDOR PREFERENCE CERTIFICATE

Certification and application* is hereby made for Preference in accordance with ***West Virginia Code***, §5A-3-37. (Does not apply to construction contracts). ***West Virginia Code***, §5A-3-37, provides an opportunity for qualifying vendors to request (at the time of bid) preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the ***West Virginia Code***. This certificate for application is to be used to request such preference. The Purchasing Division will make the determination of the Resident Vendor Preference, if applicable.

1. Application is made for 2.5% resident vendor preference for the reason checked:

____ Bidder is an individual resident vendor and has resided continuously in West Virginia for four (4) years immediately preceding the date of this certification; **or,**

____ Bidder is a partnership, association or corporation resident vendor and has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; or 80% of the ownership interest of Bidder is held by another individual, partnership, association or corporation resident vendor who has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; **or,**

____ Bidder is a nonresident vendor which has an affiliate or subsidiary which employs a minimum of one hundred state residents and which has maintained its headquarters or principal place of business within West Virginia continuously for the four (4) years immediately preceding the date of this certification; **or,**

2. Application is made for 2.5% resident vendor preference for the reason checked:

_✓_ Bidder is a resident vendor who certifies that, during the life of the contract, on average at least 75% of the employees working on the project being bid are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; **or,**

3. Application is made for 2.5% resident vendor preference for the reason checked:

____ Bidder is a nonresident vendor employing a minimum of one hundred state residents or is a nonresident vendor with an affiliate or subsidiary which maintains its headquarters or principal place of business within West Virginia employing a minimum of one hundred state residents who certifies that, during the life of the contract, on average at least 75% of the employees or Bidder's affiliate's or subsidiary's employees are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; **or,**

4. Application is made for 5% resident vendor preference for the reason checked:

____ Bidder meets either the requirement of both subdivisions (1) and (2) or subdivision (1) and (3) as stated above; **or,**

5. Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:

____ Bidder is an individual resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard and has resided in West Virginia continuously for the four years immediately preceding the date on which the bid is submitted; **or,**

6. Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:

____ Bidder is a resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard, if, for purposes of producing or distributing the commodities or completing the project which is the subject of the vendor's bid and continuously over the entire term of the project, on average at least seventy-five percent of the vendor's employees are residents of West Virginia who have resided in the state continuously for the two immediately preceding years.

Bidder understands if the Secretary of Revenue determines that a Bidder receiving preference has failed to continue to meet the requirements for such preference, the Secretary may order the Director of Purchasing to: (a) reject the bid; or (b) assess a penalty against such Bidder in an amount not to exceed 5% of the bid amount and that such penalty will be paid to the contracting agency or deducted from any unpaid balance on the contract or purchase order.

By submission of this certificate, Bidder agrees to disclose any reasonably requested information to the Purchasing Division and authorizes the Department of Revenue to disclose to the Director of Purchasing appropriate information verifying that Bidder has paid the required business taxes, provided that such information does not contain the amounts of taxes paid nor any other information deemed by the Tax Commissioner to be confidential.

Under penalty of law for false swearing (West Virginia Code, §61-5-3), Bidder hereby certifies that this certificate is true and accurate in all respects; and that if a contract is issued to Bidder and if anything contained within this certificate changes during the term of the contract, Bidder will notify the Purchasing Division in writing immediately.

Bidder: Public Partnerships, LLC Signed: [signature]

Date: 9/6/2011 Title: President

Check any combination of preference consideration(s) indicated above, which you are entitled to receive.

Appendices

A. Program and Employer Guide

Appendix A

West Virginia Personal Options
Program and Employer Guide - Table of Contents

Monthly Contact
Six- Month Visit and Revision of Service Plan
Annual Medical and Financial Eligibility Assessment

Chapter Nine
Additional Resources
Key Contact Numbers

B. Resource Guide

Appendix B

Personal Options Manual and Resource Guide

Table of Contents

        - Participant Directed Service Plan
        - Spending Plan
    - Checklist
- Spending Plan
    - Approved purchases and prohibited
- Emergency Back-up Plan
    - Back-up list
- Risk Assessment – self- assessment

Selecting, hiring, training and managing services and supports

Selecting
- Who to select- family, friends, agencies
    - Advantages/disadvantages
- Methods of finding personal assistants –
    - Advertising
    - PAS directory
- What to look for in an employee
- Advertising for PAS
- Applications for PAS, screening, interviewing

Hiring
- Job description
- Screening, interviewing and Central Abuse Registry and reference checks
    - Interviewing – General guidelines, qualifications, behaviors and attitudes
    - Interviewing and the law
- Wage options
    - Deciding how much to pay your workers – benefits and using employer/employee agreements

Training
- Orientation
- Skills required before employment- AD Waiver Requirements
- Skills specific to your needs
- Specific areas
    - Personal care
    - Housekeeping
    - Medications
    - Equipment maintenance
    - Health maintenance

Managing Workers
- Communication

- Comparative provider information
- FMS/RC
- Homemaker RN
- Web info
- Peer Support Network
- List of approved goods and services

Ensuring the quality of services and supports you receive through Personal Options

- PES
- Monitoring
- Terminate if desired and return to traditional provider services
- Peer Support Network

Living Well in West Virginia

- Nutrition
- Exercise

Appendix

Personal Options Forms

- Hiring forms
  - Sample Ads for advertising
  - Employee Applications
  - Interview Questions
  - Reference forms
  - Fiscal employer/employee agreements/contract
- Tax forms

Resources

- Glossary of terms
- Peer Support Network
- Traditional Provider Information
- Comparative Provider Information
- Record Keeping charts
- Case management agencies
- LTC insurance
- Transitioning Checklist
- Process timeline for Personal Options

FAQ – Most Commonly Asked Questions about Personal Options.

Glossary

    - Verbal and Non-verbal messages
- Record Keeping
- Performance Evaluation
- Listening
- Managing or Resolving Conflicts
- How to deal with poor performance
- Terminating your worker

Supports for Your Employer Responsibilities

Financial Management Services and Resource Consultant - What supports do they offer?

- Employer supports - FMS – timesheets, report on expenditure of budget, taxes, workers comp, monthly reports, etc
- Resource Consultant
- Monthly Reports
- Working with your FMS and Resource Consultant

Rights, Responsibilities, and Risks

Rights
- Basic Rights and Responsibilities
- Confidentiality
- Due Process
- Grievance and Appeal Process

Responsibilities
- Employer responsibilities – employer related documentation and requirements - FICA, Workers Comp, time sheets, worker training requirements, fiscal responsibilities
- Program requirements - background check of worker, Emergency back-up plan, maintain a safe environment for worker(drug free),
- Requirements- local, state, federal
- Roles and responsibilities of all players – Homemaker RN, PAS, Case manager, RC, FMS
- General Responsibilities

Risks
- Protecting yourself from abuse, neglect
- Negotiated risk agreement, statement of rights and responsibilities

Additional Supports
- Representative

C. Resource Consultant Training Topics

Appendix C

Resource Consultant Training Topics

Orientation to PCG and PPL
- Mission, Vision and Values
- Financial Management
- Support Brokerage (Resource Consulting) – Position Description
- Customer Service
- Contact Information
- Staff Handbook
- Continuing Education

Personal Options Overview, History and Philosophy
- Self-Direction vs. Traditional Agency-Directed Services
- Disability/Aging Etiquette
- Person Centered Philosophy and Practice
- Resource Consulting vs. Case Management
- Medicaid 101
- Medicaid, Aged and Disabled Waiver Policies and Practices
- HIPAA Compliance
- Reasonable Accommodations
- Cultural Competence

The Process Overview - Assisting the Participant
- Enrollment, Orientation and Training
- Planning
  - Assisting with self-assessment
  - Assisting with risk assessment
- Supporting
  - Recruiting, Training and Supervising Employees
  - Developing Employer Skills – Problem Solving and Conflict Resolution
  - Training Requirements of Employees
  - Verification of Timesheet, Invoices and Monthly Documentation
  - Purchasing Other Goods and Services
  - Annual Reevaluation of Medical Eligibility
  - Requesting Service Level Increase
  - Requesting Dual Service Provision
  - Reporting Critical Incidents
  - Responding to Complaints
  - Grievance Process
  - Interpreting Monthly Spending Reports (Family-Friendly Reports)

- Monitoring Participant's Health, Safety and Welfare
  - Monthly Calls
  - Six-month Home Visits
  - Follow-up
- Reviewing Employee Responsibilities
  - Documenting Tasks Completed and Hours Worked
  - Being a Responsive and Responsible Employee
  - Timesheet Accuracy
  - Invoice Accuracy

- Support Tickets
- Incidents
- On-going documentation
- Hospitalizations

Orientation to PPL Computer Programs
- Access to PPL Systems
- PPL WVBMS ADW Web portal
- PEND reports
- Easy Link E-fax
- PPL Network
- Solomon and PPM (Time and Expense Reports)

Community Resources
- Aging & Disability Resource Centers (ADRC)
- Long-Term care Ombudsman
- Nursing Home Transition Guide
- Social Security Benefit Programs (SSI, SSDI)
- West Virginia Department of Health & Human Resources
- West Virginia Division of Rehabilitation
- Alzheimer's Association
- WV Caregivers.org
- West Virginia Advocates (Protection & Advocacy)
- Centers for Independent Living
- Assistive Technology and Home Modifications

Other Program Elements
- Employee Training
- Peer Support Network
- Notary Public
- General Resources (hcbs.org, CMS, Cash & Counseling, National Resource Center for Participant-Directed Services

D. Work Plan

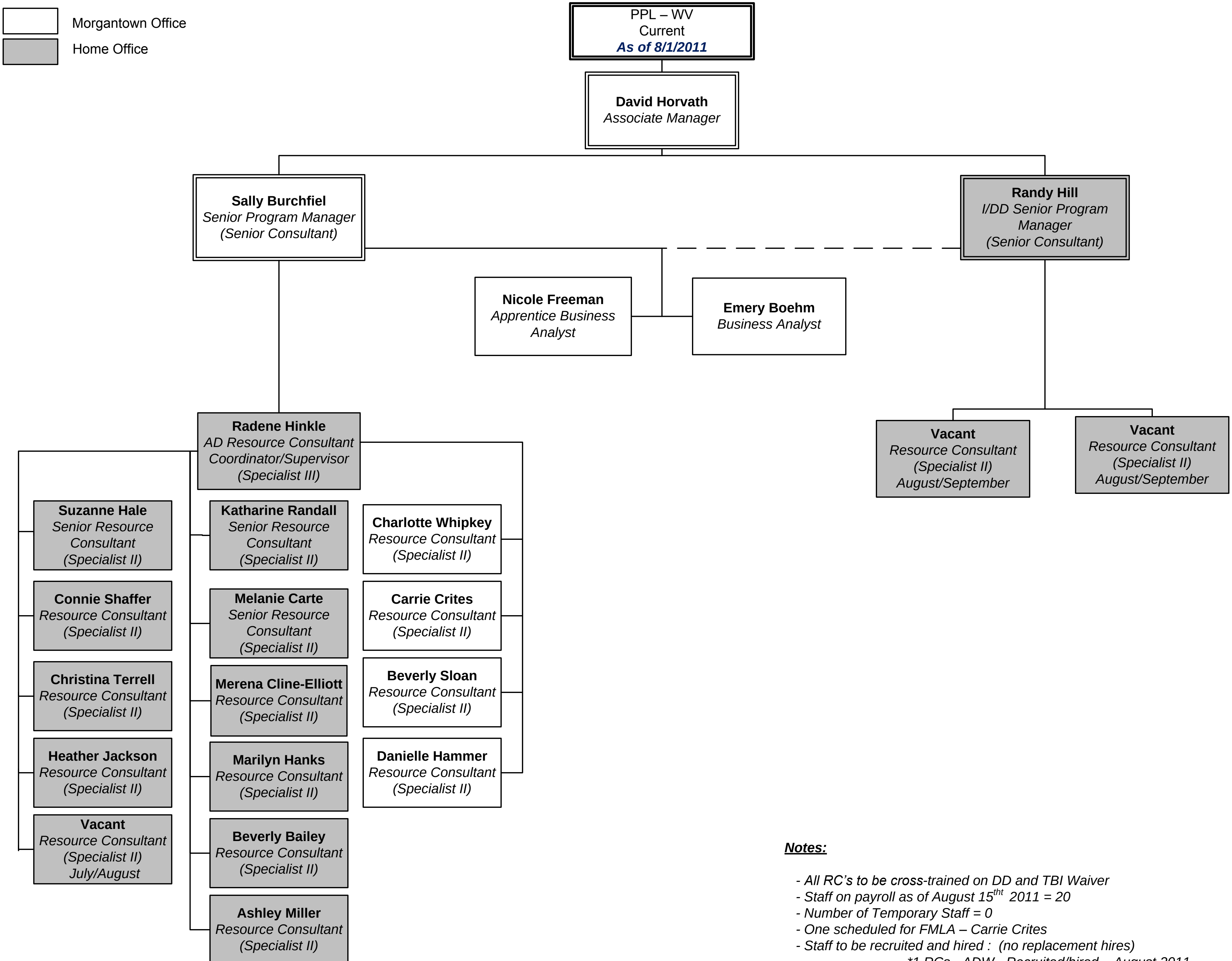
West Virginia Bureau for Medical Services Work Plan

		Responsible Party	PPL Resource	Year 1 Q 1	Year 1 Q 2	Year 1 Q 3 and Onward
Timeline for Implementation						
I.	**Aged and Disabled Waiver Program**					
1	Revise F/EA and Resource Consulting Policies & Procedures Manual to reflect changes in BMS policy (in process)	PPL	Program Manager/ Business Analyst			
2	Revise enrollment packet, employer packet, employee packet, and supporting materials to reflect changes in BMS policy (Completed 8/2011)	PPL	Program Manager/ Business Analyst	X		
3	Recruit and train staff (ongoing)	PPL	Program Manager, RC Coordinator			
4	Enroll participants and service providers (ongoing)	PPL	Resource Consultants			
5	Provide payroll and accounts payable activity (ongoing)	PPL	Financial Operations			
6	Provide customer service (ongoing)	PPL	Customer Service			

		Responsible Party	PPL Resource	Year 1 Q 1	Year 1 Q 2	Year 1 Q 3 and Onward
West Virginia Bureau for Medical Services Work Plan						
Timeline for Implementation						
II.	**Intellectual/Developmental Disabilities Waiver Program**					
1	Engage in 6D Process (Decide, Define, Design, Develop, Demonstrate, Deploy) to meet BMS business requirements and functional specifications for PPL systems to support IDD waiver program (in process)	PPL & BMS	Program Manager/ Business Analyst/ Delivery Manager			
2	Develop F/EA and Resource Consulting Policies and Procedures Manual to reflect BMS policy	PPL	Program Manager/ Business Analyst			
3	Revise enrollment packet, employer packet, employee packet, and supporting materials to reflect BMS policy (in process)	PPL	Program Manager			
4	Participate in statewide education and training sessions (in process)	PPL	Program Manager	X		
5	Participate in readiness review activities and implement corrective action plans to address identified deficiencies as needed	PPL/BMS	Program Manager			
6	Adapt position descriptions and job announcements (completed 8/2011)	PPL	Program Manager	X		
7	Recruit and train staff (initiated)	PPL	Program Manager, RC Coordinator			
8	Enroll participants and service providers (expected to begin October, 2011)	PPL	Resource Consultants			
9	Provide payroll and accounts payable activity (expected to begin October-November, 2011)	PPL	Financial Operations			
10	Provide customer service (ongoing)	PPL	Customer Service			

West Virginia Bureau for Medical Services Work Plan						
		Responsible Party	**PPL Resource**	**Year 1 Q 1**	**Year 1 Q 2**	**Year 1 Q 3 and Onward**
Timeline for Implementation						
III.	**Other HCBS Programs (TBI Waiver, etc.)**	**To Be Determined in Consultation with BMS**				
1	Engage in 6D Process (Decide, Define, Design, Develop, Demonstrate, Deploy) to meet BMS business requirements and functional specifications for PPL systems to support TBI Waiver and other HCBS programs	PPL & BMS	Program Manager/ Business Analyst/Delivery Manager			
2	Develop F/EA and Resource Consulting Policies & Procedures Manual to reflect BMS policy	PPL	Program Manager/ Business Analyst			
3	Revise enrollment packet, employer packet, employee packet, and supporting materials to reflect BMS policy	PPL	Program Manager			
4	Participate in readiness review activities and implement corrective action plans to address identified deficiencies as needed	PPL/BMS	Program Manager			
5	Adapt position descriptions and job announcements	PPL	Program Manager			
6	Recruit and train staff	PPL	Program Manager, RC Coordinator			
7	Enroll participants and service providers	PPL/BMS	Resource Consultants			
8	Provide payroll and accounts payable activity	PPL	Financial Operations			
9	Provide customer service	PPL	Customer Service			
Work plan and timelines subject to negotiation with BMS						

E. Organizational Chart



Notes:

- *All RC's to be cross-trained on DD and TBI Waiver*
- *Staff on payroll as of August 15tht 2011 = 20*
- *Number of Temporary Staff = 0*
- *One scheduled for FMLA – Carrie Crites*
- *Staff to be recruited and hired : (no replacement hires)*
  - **1 RCs - ADW - Recruited/hired – August 2011*
  - **2 RCs – I/DDW – Two recruited/fired – August/Sept. 2011*

F. Resumes of Key Staff

Emery Boehm
Public Partnerships, LLC
Resource Consultant

RELEVANT PROJECT EXPERIENCE

Personal Options – Aged and Disabled Waiver Program, West Virginia Bureau of Medical Services
Resource Consultant
Responsible for providing information, resources and supports to senior citizens and disabled adults that are participants in the Personal Options program, the self-directed module within the WV Medicaid Aged and Disabled Waiver Program. Other responsibilities include sharing information with participants on their role as an employer in a self-directed program, as well as clearly defining the information and resources provided by PPL. Also responsible for enrolling the participant in the program, assisting with creating and managing a monthly budget,as well as hiring, supervising and training of employees. Also responsible for development of Resource Management Plan and Spending Plan, as well as purchase of goods and using funds previously identified in the Spending Plan. Responsible for six-month monitoring visits with participants as well as monthly phone contacts to monitor health and safety. Responsibilities also include assistance with re-evaluation requests, updating Resource Management Plan and Spending Plan as needed, Level of Care change requests, and Dual Service Provision requests. Responsibilities also include enterting data and maintaing in a paper file, as well as in two computer systems (CDM and CCS) participant enrollment forms, tax forms, employee paperwork, spending plan, RMP, and Legal Representative paperwork.

Public Partnerships, LLC
Customer Service Specialist
Contributed to the Customer Service Center under West Virginia, New Mexico, Indiana, Tennessee, and Arizona contracts. Answered all first point of contact correspondence; phone (in-bound and out-bound), email, fax, mail, and in-person questions. Aided and resolved conflicts for clients experiencing escalated issues or concerns. As a CS specialist I served as a support between various operational centers, attending meetings, and communicating minutes to immediate supervisors. Reinforced the Federal Health Information Portability and Accountability Act through development of privacy initiatives for our clients. Produced and communicated financial reports for monthly, quarterly, and fiscal year-end reporting on payroll distribution. Contacted various statewide departments on client's behalf to ensure conflict resolutions are addressed and implemented in a timely manner. Provided general office support; maintaining program files, mass mailings, and photocopying.

PROFESSIONAL BACKGROUND

Northern Arizona University, *Residence Life*
Conference Assistant
Responsible for coordination for conferences events with ranging audiences, from youth to elderly. Delegated room assignments to incoming members as well, advising them of campus rules and regulations. Other responsibilities include: serving as an on-call staff person for emergency and conflict resolution, building maintenance, and guest needs.

<u>EDUCATION</u>

Bachelors of Science - *Community Health.*
Northern Arizona University: 2005-Present

Early Honors Program, *General Studies.*
Alaska Pacific University: 2004-2005

Notary Public for West Virginia

SALLY BURCHFIEL
Public Partnerships, LLC
Senior Program Manager

RELEVANT PROJECT EXPERIENCE

Personal Options Self Directed Program Aged and Disabled Waiver, West Virginia Bureau for Medical Services
Senior Program Manager

Primary responsibilities include program development, implementation and management of PPL's responsibilityfor the Personal Options ADW program. Responsible for hiring, supervision and training of staff. Responsible for monthly and quarterly reports, materials development, process continuity and quality assurance of program implementation.

PROFESSIONAL BACKGROUND

West Virginia University
Center for Excellence in Disabilities
Program Manager
Responsiblefor managing 2 four-year federal projects that created enhancement and systems change in Medicaid services and policies to promote home and community-based services for elders and persons with disabilities. Collaboratively developed the Self-directed waiver program , Personal Options, with WV BMS and WVBoSS. Coordinated interagency and consumer groups to ensure systems change responsiveness to the needs of elders and persons with disabilities. Provided technical assistance in training, grant writing, policy and curriculum development to state and national programs. Developed activities to promote collaboration between diverse groups to address Medicaid practice,

University of Southern Mississsippi
Institute for Disability Studies
Project Coordinator
Responsible for the coordinaion of several federal and state funded research projects. Analyzed systems and policies on statewide family support, School to Work, and Medicaid Service programs. Coordinated southeastern conference on Autism Spectrum Disorder for three years. Co-developed statewide mental health programs in school/community -based programs for students with emotional/ behavioral needs.

Mississippi Department of Education
Office of Special Education
Program Coordinator

Responsible for the development, coordination and management of a comprehensive statewide training program on school-based programming for students with emotional/behavioral needs. Responsible for technical assistance to special education directors, families and agency personnel regarding IDEA and best practice programming for students with disabilities. Facilitated due process mediation.

University of Hawaii
Center for Disability Studies
Coordinator/Researcher/Consultant

Responsible for managing multiple federally funded projects in the area of mental health, special education and transition. Provided training, facilitation and program development to agencies, families,and service providers for restructuring educational programs due to a consent decree. Responsible for developing school/community teams to address curricular and instructional improvement for special education students in Micronesia.

EDUCATION

Postgraduate Coursework: Special Education
University of Hawaii

PostGraduate Courseworrk: Public Administration

Postgraduate Coursework: Educational Leadership
Eastern Michigan University

MA Special Education –Educationally Handicapped/ Emotionally Disabled
Adams State College

BA Anthropology
University of California Santa Cruz

NICOLE A. FREEMAN
Public Partnerships, LLC
Apprentice Business Analyst

RELEVANT PROJECT EXPERIENCE

West Virginia Bureau for Medical Services – Public Partnerships, LLC
November 2010 – Present
Responsible for administrative, operations, and technical support for statewide fiscal employer agent and resource consulting services for West Virginia *Personal Options*, the self-directed service option within the Aged & Disabled Waiver program.

Primary duties include managing program referral and eligibility evaluations data entry;
- Manage, create, send, and monitor medical eligibility notifications to program participants
- Act as a liaison with APS Healthcare: Level of Care changes, Dual Services, and Service Continuations

Perform financial and business operations;
- Review and research of payroll PENDS for employer and employee billings
- Validate, provide quality assurance, and authorize applicable spending plans for participants in collaboration with State Client
- Assist Resource Consultants with Participant Directed Goods & Services approval process
- Provide information and assistance to participants
- Provide user acceptance testing for launch of ADW Portal
- Develop and edit website and new ADW materials

File maintenance, mail management, program office maintenance, expense reports, and human resources support;
- Manage participant, employee and employer documentation materials and files
- Create and send CPR reminder notifications to employees
- Create and distribute employee and employer enrollment binders and packets
- Manage supply orders, maintain inventory
- Assist with new staffing advertisements, schedule potential new staff interviews, respond, and mail follow-up correspondence to applicants

EDUCATION

Bachelor of Arts in English with a Concentration in Professional Writing & Editing, Minor in Communications, West Virginia University, 2010

ACTIVITIES & SKILLS

CHiP Training – PCG training on Business Analyst job skills and duties (2011)

Website Design – Advance Skills of Adobe Photoshop, Adobe DreamWeaver (2009-Present)

Foreign Language – Intermediate Spanish Skills (2007-Present)

Treasurer – DECA, an Association of Marketing Students (2002-2003)

RELATED EMPLOYMENT

Website Designer – Board of Park and Recreation, West Virginia University (2010)

Freelance Editor – Board of Park and Recreation; Recreation Guide, website (2010)

Camp Counselor – Board of Park and Recreation; low-income children (2009)

Lead Camp Counselor – Loudoun County Parks, Recreation & Community Service – Adaptive Rec; special needs children (2006-2008)

PROFESSIONAL REFERENCES

Mr. David Horvath – Public Partnerships, LLC (304) 296-1931

Mrs. Sally Burchfiel – Public Partnerships, LLC (304) 296-1931

Mrs. Marissa Travinski – Board of Park and Recreation (304) 296-8356

Ms. Shayle Cavalli – Loudoun County Parks, Recreation, and Community Service (703) 773-0373

RANDALL K. HILL
Public Partnerships, LLC
Senior Program Manager

RELEVANT PROJECT EXPERIENCE

Personal Options Self Directed Program Intellectual and Developmental Disability (I/DD) Waiver, West Virginia Bureau for Medical Services

Primary responsibilities include program development, implementation and management of PPL's responsibilities for the Personal Options I/DD Waiver program. Responsible for hiring, supervision and training of staff. Responsible for monthly and quarterly reports, materials development, process continuity and quality assurance of program implementation.

PROFESSIONAL BACKGROUND

APS Healthcare
Director of Medicaid Waiver Programs
MR/DD Waiver Program: Responsible for the operational management of West Virginia's MR/DD Waiver Program including: Annual member education & assessment; determination of members' annual individualized budget allocation; prior authorization of services and supports through multi-interface web-based software application; quality improvement activities including on-site provider reviews, coordination of the QI Advisory Council and data collection; reporting on CMS quality assurances; stakeholder education and technical assistance.

Aged and Disabled Waiver Program: Managed processes pertaining to the initial and annual assessment of program member medical eligibility and level of care determination; prior authorization of services; data collection and reporting on CMS quality assurances and stakeholder education and technical assistance.

ResCare
Quality Assurance Coordinator
Responsible for the coordination and support of Corporate Quality Management Systems including Best In Class (BIC) audits, ResCare Quality Way initiatives, and Strategic Planning activities. Assisted in the development and implementation of agency policy and procedures. Very involved in the development, delivery and tracking of staff training. Member of the State-wide Safety Committee as well as the Corporate You're Safe/I'm Safe (Crisis Intervention Training) Steering Committee.

Shawnee Hills, Inc.
Director of Outpatient Services
Administrator of five mental health outpatient clinics located in Charleston and adjacent counties. Responsibilities included the supervision of clinical and support staff, budget development and management, development and implementation of clinic processes for patient flow, documentation, and QA/UR activities.

The National Bank of Commerce
EDP Auditor
Audited the electrical data processing (EDP) functions of the bank and its subsidiaries and assisted with departmental compliance audits. Prepared written reports of audit findings and presented audit results and trends to management staff.

EDUCATION

West Virginia Institute of Technology
B.A. Accounting

Radene Hinkle, LSW
Public Partnerships, LLC
Resource Consultant Coordinator

RELEVANT PROJECT EXPERIENCE

West Virginia Bureau of Medical Services, Personal Options Self Directed Module of the Aged and Disabled Waiver Program
Resource Consultant Coordinator

Activities include the development and implementation of program materials, policies and procedures; and hiring, training and supervision of Resource Consultants. Monitor Resource Consultant responsibilities through completion of Quality Assurance Reports based on file and home office audits. Respond to participant concerns and incident management activities. Assist in Program Launch Activities and other duties as needed to assist program management. Continue to provide all Resource Consultant services to program participants as a Senior Resource Consultant through maintenance of a limited caseload. Maintain certification as a WV Licensed Social Worker and Notary Public.

PROFESSIONAL BACKGROUND

Coordinating Council for Independent Living
Case Manager
Responsible for providing case management services to participants in the traditional part of the Aged & Disabled Waiver Program. Provided services to members in an eight county area through ongoing monitoring of member services, home and safety issues, support systems and need for changes to their Service Coordination Plans. Assisted with advocacy and referral to community agencies as needed to assist members in remaining in their own homes and avoiding nursing home placement.

Mountaineer Home Nursing
Medical Social Worker
Responsible for providing social services to homebound patients receiving skilled nursing care in Southern WV. Duties included making home visits for assessment of needs, advocoacy, referral to community resources and counseling with patient and families to assist them in following their physician's plan of treatment.

Southern WV Regional Health Council/Appalachian OH-9
Medical Social Worker
Provided social services under Medicare guidelines to homebound patients receiving skilled care in a nine county area of southern West Virginia. Worked as part of a multi-disciplinary team including nurses, therapists and nursing assistants and directed by a physician to provide assessment of needs, counseling, education, advocacy and referrals to community agencies. Provided home visitation with patients as well as being responsible or new employee orientation, ethics training, Advance Directives and End of Life Care, and participated in Quality Assurance and Improvement Program. Also responsible for marketing services and community education and outreach. Selected by the West Virginia Council of Home Health Agencies as Social Worker of the Year in 1997 and Appalachian OH-9 Social Worker of the Year for 1993. Provided social service coverage on as needed basis to patients in Primary Care Clinic, Family Planning and Renal Dialysis Units.

Maples Nursing and Personal Care Facility
Director of Social Services and Admissions
Responsible for processing and completion of resident admissions to the facility. Worked as part of a multi-disciplinary team including residents and their families in the treatment planning process. Responsible for community outreach and marketing.

EDUCATION

Bachelor of Social Work
Concord College, Athens WV

Study toward Master of Social Work
Virginia Commonwealth University, Richmond, VA

PUBLIC PARTNERSHIPS

DAVID R. HORVATH
Public Partnerships, LLC
Associate Manager

RELEVANT PROJECT EXPERIENCE

Ohio Department of Health – Third Party Administration
March 2010 – Present
Responsible for administration and oversight of statewide Third Party Administration services for the Ryan White HIV/AIDS Treatment Extension Act of 2009 Part B Program. Primary duties include contract management, personnel management, policy development, quality management, and reporting.

New Jersey Department of Health and Senior Services – Third Party Billing and Fiscal Employer Agent Services
June 2007 – Present
Responsible for administration and oversight of statewide third-party billing and fiscal employer agent services for the *Global Options* Medicaid waiver program and the Jersey Assistance for Community Caregiving (JACC) program. Primary duties include contract management, personnel management, policy development, quality management, and reporting.

West Virginia Bureau for Medical Services – Fiscal Employer Agent Services and Resource Consulting
December 2006 – Present
Responsible for administration and oversight of statewide fiscal employer agent and resource consulting services for West Virginia *Personal Options* the self-directed service option within the Aged & Disabled Waiver program. Primary duties include contract management, local office management, personnel management, policy development, quality management, and reporting.

Upper Potomac Area Agency on Aging – Financial Management Services
October 2008 – June 2009
Responsible for administration and oversight of financial management services for Administration on Aging Community Living Program grant in 15 counties in West Virginia. Primary duties include contract management, personnel management, policy development, quality management, and reporting.

PROFESSIONAL BACKGROUND

West Virginia University
Center for Excellence in Disabilities
2003-2006

<u>Policy Specialist</u>
Responsible for facilitating statewide systems change in Medicaid home and community based services in West Virginia, including assisting in development of self-directed personal assistance services for adults with disabilities and seniors. Responsibilities included coalition building, strategic planning, policy development, grant writing, research, training, and statewide technical assistance.

Greene Arc, Inc.
1997-2002

<u>Executive Director</u>
Chief executive officer of non-profit agency providing county-wide residential, vocational and day treatment services for adults with developmental disabilities in southwestern Pennsylvania. Responsible for administration of licensed behavioral health programs, development of $2.5 million annual budget, and management of licensed personnel and union employees.

Virginia Department of Rehabilitative Services
1992-1997

<u>State Transition Coordinator</u>
Coordinator of school-to-work transition services for secondary education students with disabilities. Primary responsibilities included contract management, grant management, supervision of transition specialists, provision of training and technical assistance, and coordination of statewide transition council.

Woodrow Wilson Rehabilitation Center
1986-1992

<u>Transition Coordinator</u>
Responsible for coordination of vocational evaluation and transition planning for high school students with disabilities, including interdisciplinary team development, transition planning, case management, family relations, vocational evaluation, report writing, data collection and analysis.

DAVID R. HORVATH
Public Partnerships, LLC
Associate Manager

EDUCATION

Doctoral Candidate in Educational Leadership and Policy Studies, West Virginia University

Master of Science in Rehabilitation Counseling and Vocational Evaluation, West Virginia University, 1987

Bachelor of Science in Recreation and Parks Management, West Virginia University, 1985

SELECT PRESENTATIONS

When People Can Choose; What Do They Choose? 2009 International Conference on Self-Determination, David Horvath & Tara Himmel

Changing Attitudes about Self-Direction, 2009 West Virginia Summer Institute on Aging, David Horvath & Sally Burchfiel

SELECT PUBLICATIONS

Horvath, D.R. (2009). Research Brief: *Consumer Satisfaction with Self-Direction in West Virginia Personal Options*. Boston, MA: Public Partnerships, LLC.

Horvath, D.R. (2006). *The Direct Care Workforce: Medicaid Funded Personal Assistance Services in West Virginia.* Morgantown, WV: Center for Excellence in Disabilities at West Virginia University.

Horvath, D.R. (2006). *Survey Reveals Information on Direct Support Workforce.* Developments: Center for Excellence in Disabilities at West Virginia University, 6(1), 1-2.

Horvath, D.R. (2005). *Real Choice Grant Activities Support Olmstead Plan.* Morgantown, WV: Center for Excellence in Disabilities at West Virginia University.

Burchfiel, S., and Horvath, D.R. (2005). *Next Steps: Transition Planning.* Morgantown, WV: Center for Excellence in Disabilities at West Virginia University.

Horvath, D.R. (2004). *Finding Common Ground: Creating Inclusive Communities in West Virginia.* Morgantown, WV: Center for Excellence in Disabilities at West Virginia University.

Horvath, D.R. (1996). Transition planning: Preparing for Tomorrow Today! *OUTLOOK: Learning Disabilities Association of Michigan,* 28(3), 1-4.

Hanwit, J.M., English, T.W., et.al. (1996). *Manual for the Team Builder: A guide for creating peaceful and productive community transition councils.* Norfolk, VA: Virginia Department of Education.

DeMoss, S., and Horvath, D.R. (1992). Integrating academics in vocational assessment, education, and training. *Sixth National Forum on Issues in Vocational Assessment: The Issues Papers.*

Horvath, D.R., and Ashley, J.M. (1992) Implementation of vocational assessment results in transition planning. *Fifth National Forum on Issues in Vocational Assessment: The Issues Papers,* 233-238.

ACTIVITIES & HONORS

Peer Reviewer – Centers for Medicare and Medicaid Services, Real Choice Systems Change for Community Living Grants Program (2004-2006)

Certified Incident Investigator - Pennsylvania Department of Public Welfare (2001)

Administrator of the Year - Virginia Association Vocational Education Special Needs Personnel (1997)

Professional Fellow - Virginia Collaborative Leaders Program, Academy for Educational Development, Institute for Educational Leadership (1997)

Peer Reviewer - United States Department of Education Discretionary Grants Program (1996-2002)

Member – President's Committee on Employment of People with Disabilities (1988-1991)

PUBLIC PARTNERSHIPS

President - Virginia Vocational Evaluation & Work Adjustment Association (1988)

DAVID R. HORVATH
Public Partnerships, LLC
Associate Manager

RELATED EMPLOYMENT

Ski Instructor - Wintergreen Resort (1988-1991)
Youth Mentor - Governor's Summer Youth Institute, Virginia (1987-1989)

Program Director - Camp Kno-Koma for Diabetic Youth, West Virginia (1986)

Waterfront Director - Beacon Lodge Camp for the Blind, Pennsylvania (1985)

PROFESSIONAL REFERENCES

Dr. Joseph M. Ashley – Virginia Department of Rehabilitative Services (804) 662-7000

Dr. Sharon deFur - The College of William and Mary, School of Education (757) 221-2150

Ms. Frances V. Koehler - Koehler Consultation Services (804) 740-4245

Mr. James Strosnider – Monongalia County Health Department (304) 598-5151

Ms. Kathy Trossi – Woodrow Wilson Rehabilitation Center (800) 345-WWRC

G. References

PUBLIC PARTNERSHIPS

STATE OF COLORADO
DEPARTMENT OF HEALTH CARE POLICY AND FINANCING

Consumer-Directed Attendant Support Services (CDASS)

Scope and Objectives:
Public Partnerships, LLC (PPL), a subsidiary of Public Consulting Group, Inc., acts as the Financial Management Services (FMS) organization for consumer-directed Medicaid service delivery options throughout the State of Colorado. PPL engages in both fiscal and personnel services. The fiscal responsibilities include accurately making financial transactions and payroll on behalf of participants, not limited to federal, state, and local taxes and workers' compensation. Additionally, as a personnel service, PPL is responsible for providing skills training to participants to ensure that they understand the philosophy of consumer direction and are able to recognize and monitor the quality of services he/she receives.

PPL acts as an "Agency with Choice", where the Client and/or an authorized representative is designated as the managing employer and PPL, as the FMS, serves as the common law employer of record, allowing clients to have increased flexibility and control when they assume shared responsibility for the hiring and management of employees who provide consumer directed services to them. In addition, PPL ensures all expenditures are in compliance with program rules and budget allocations. PPL provides extensive online capabilities via its web portal, including the creation of monthly allocations by case managers, the submission of timesheets, and reports to track expenditures.

PPL has opened an office in Denver to provider more local and direct supports to the clients they serve in the CDASS program. The current CDASS program serves over 1,500 participants, who utilize over 3,000 employees. The program is expected to grow to over 3,000 participants using over 6,000 employees during the next 3 years.

Anticipated Outcomes:

- Greater self-determination for individuals with disabilities
- Development of new support services, customized supports, and innovative approaches to using community resources
- More efficient management, integrity and accountability of public funds and resources
- Increased efficiency and accessibility of expenditure data
- Establishment of processes and procedures to accommodate substantial program growth

Time Period of Project: December 2009 – Present

Project Team Contacts: The following staff works directly on this engagement:

Will Weddleton	**Gabrielle Steckman**	**April Boehm**
Chief Operating Officer	Senior Program Manager	Mgr, Program Support Specialists
(617) 426-2026	(720) 274-6325	(720) 274-6313

PUBLIC PARTNERSHIPS

<u>Client Contact</u>:

Amy Scangarella
State of Colorado, Department of Health Care Policy & Financing
Long Term Care Contract Manager
1570 Grant Street
Denver, CO 80203-1818
(303) 866-4758 (Phone)
(303) 866-2786 (Fax)
amy.scangarella@state.co.us
colorado.gov/hcpf

PUBLIC PARTNERSHIPS

STATE OF TENNESSEE
DEPARTMENT OF FINANCE AND ADMINISTRATION
DEPARTMENT OF INTELLECTUAL AND DEVELOPMENTAL DISABILITIES

Financial Administration Services/ Support Brokerage Services

Scope and Objectives:
Public Partnerships, LLC (PPL) partnered with The Arc Tennessee (The Arc) to provide Financial Administration Services Supports and Supports Brokerage services required by all participants in the Tennessee Self-Determination Waiver Program (SDWP). PPL pays the participant's worker(s); manages federal taxes and other payroll or benefits related to the employment of the worker(s); reimburse other service providers under the direction of the participant; and track the participant's expenses and self-determination budget. Tennessee SDWP participants who select self-determination with participant management of services must also receive the services of a Supports Broker to help manage the individual budget, recruit workers, discharge other participant service management responsibilities and provide additional assistance as directed by the individual, their conservator/guardian or self-directing other.

Outcomes:

- Grown this program over 350% since PPL took over financial administration in 2006
- Grew by 22% even during 2009, in which the state was unable to accept any new individuals with non-emergency situations from the waiting list to the waiver
- Audited three times annually by TN DIDD with minimal or no negative findings.
- High participant satisfaction: In a 2011 survey, 97% of respondents said they would recommend the program to a friend or family member. 90% of respondents rated their satisfaction with PPL as "good" or "excellent."

Time Period of Project: November 2006 – Present

Project Team Contacts: The following staff works directly on this engagement:

Colleen Fox
Associate Manager
(617) 426-2026

Sarah Winawer-Wetzel
Program Manager
(617) 426-2026

References: The following individual may be contacted to learn more about PPL's work on this project:

Courtney Kelly
Director of Person-Centered Planning
Department of Finance and Administration
Division of Intellectual Disabilities
500 Deaderick Street, Suite 1500
Nashville, TN 37243
Phone: (615) 253-6879
Courtney.Kelly@tn.gov

PUBLIC PARTNERSHIPS

STATE OF TENNESSEE
DEPARTMENT OF FINANCE AND ADMINISTRATION
BUREAU OF TENNCARE

Financial Administration and Supports Brokerage

Scope and Objectives:
TennCare Choices members electing to participate in Consumer Direction serve as the "employer of record" for consumer-directed workers hired to deliver needed care. Assistance is provided to the member/representative in his/her employer role by Public Partnerships. PPL provides two functions on behalf of all members participating in Consumer Direction: 1) Financial Administration functions in the performance of payroll and related tasks; and 2) Supports Brokerage functions to assist the member/representative with other non-administrative employer tasks such as recruiting and training workers.

There are several entities involved in delivering services through the CHOICES Consumer Direction model. These include the member, the Consumer-Directed Worker(s), three Managed Care Organizations, an organization providing Electronic Visit Verification, PPL and TennCare. Five contracts define these relationships: 1) the Contractor Risk Agreement between TennCare and the MCOs; 2) the contract between TennCare and PPL; 3) the Contract between the MCOs and PPL; 4) the Contract between the MCOs and EVV; and, 5) the Service Agreement between the member and the worker. In order to participate in Consumer Direction, members and their workers must agree to use the services of PPL to perform required Financial Administration and Supports Brokerage functions.

PPL provides Financial Administration for CHOICES members participating in consumer direction and subcontracts Supports Brokerage to three agencies. PPL files certain federal tax forms, pays federal income tax withholding, FICA and FUTA taxes, files state income tax withholding and unemployment insurance tax forms and pays the associated taxes and processes payroll based on the eligible services authorized and provided.

The supports brokers assist the member/representative in performing employer functions including but not limited to: developing job descriptions, locating, recruiting, interviewing, scheduling, monitoring and evaluating workers. The supports brokers collaborate with, but do not duplicate, the functions of the member's care coordinator.

Time Period of Project: March 2010 – Present

Project Team Contacts: The following staff members work directly on this engagement:

Colleen Fox
Associate Manager
(617) 426-2026

Kristin Byrd
Program Manager
(615) 983-5314

References: The following individual may be contacted to learn more about PPL's work on this project:

Carolyn Fulgham
Director of Quality and Administration, Elderly and Disabled Services

PUBLIC PARTNERSHIPS

Department of Finance and Administration
Division of Long Term Care
Bureau of TennCare
310 Great Circle Road
Nashville, Tennessee 37243
Phone: 615-507-6671
Carolyn.D.Fulghum@tn.gov

PUBLIC PARTNERSHIPS

COMMONWEALTH of VIRGINIA
DEPARTMENT OF MEDICAL ASSISTANCE SERVICES

Fiscal/Employer Agent Services

Scope and Objectives:
PPL was awarded a contract to provide Consumer-Directed Fiscal/Employer Agent (F/EA) services on behalf of the Commonwealth of Virginia's Department of Medical Assistance Services (DMAS) through their Medicaid-funded Home and Community based waivers in September 2006. This service allows Medicaid recipients in the Aged and Disabled and Developmental Disabilities waivers to serve as common-law employers, responsible for directly hiring, training, supervising and firing their attendants. PPL's scope of work has also increased with the addition of new waivers, including EPSDT and the Children's Mental Health in October 2007, and *Money Follows the Person* (MFP) in July 2008.

To implement the program, PPL leveraged its years of experience implementing and managing Fiscal/Employer Agent services to tailor a custom program that met the unique requirements of VA DMAS. Initially starting with the transfer of nearly 1,400 consumers from an existing VA DMAS program, as of April 2010, the program has grown to where over 9,400 recipients are receiving services through the DMAS consumer directed services program.

Outcomes:
- Provide payroll processing, fiscal intermediary operations, and other consumer directed service functions for individuals receiving services under home and community-based waiver programs;
- Provide ease-of-use to program constituents while maintaining fiscal accountability;
- Support the programs average growth of 100% annually for four years; the consumer direction penetration rate for consumers on the Aged and Disabled waiver is 54%;
- Executed the successful transition of approximately 1,020 consumers enrolled in the MFP Program that transitioned from nursing facilities back into the community;
- Implemented an electronic timesheet to allow providers and attendants to submit and approve timesheets online; now used by about 31% of all program participants.

Time Period of Project: May 2006 – Present

Project Team Contacts: The following staff works directly on this engagement:

Will Weddleton	**Peter Quinn**
Chief Operating Officer	Program Manager
(617) 426-2026	(804) 665-2115

References: The following individuals may be contacted to learn more about PPL's work on this project:
Terry A. Smith
Division Director
Division of Long Term Care Services
Virginia Department of Medical Assistance Services
600 East Broad Street
Richmond, Virginia 23219
Phone: (804) 371-6695
terry.smith@dmas.virginia.gov