



GT Independence Technical Proposal

Self-Directed Financial Management and Counseling Services

State of Arkansas
Department of Human Services (DHS)
Solicitation No. 710 22 0018

215 Broadus Street, Sturgis, MI 49091 | June 2022



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Proposal Signature Page



RESPONSE SIGNATURE PAGE

Type or Print the following information.

PROSPECTIVE CONTRACTOR'S INFORMATION					
Company:	Guardiantrac, LLC d/b/a GT Independence				
Address:	215 Broadus Street				
City:	Sturgis	State:	MI	Zip Code:	49091
Business Designation:	<input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Public Service Corp <input checked="" type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Nonprofit				
Minority and Women Owned Designation*:	<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> American Indian <input type="checkbox"/> Service Disabled Veteran <input type="checkbox"/> African American <input type="checkbox"/> Hispanic American <input type="checkbox"/> Women-Owned <input type="checkbox"/> Asian American <input type="checkbox"/> Pacific Islander American				
	AR Certification #: _____ * See <i>Minority and Women-Owned Business Policy</i>				

PROSPECTIVE CONTRACTOR CONTACT INFORMATION			
Provide contact information to be used for solicitation related matters.			
Contact Person:	Michael Murray	Title:	Chief Relationship Officer
Phone:	336.549.4933	Alternate Phone:	877.659.4500
Email:	mmurray@gtindependence.com		

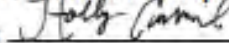
CONFIRMATION OF REDACTED COPY
<input checked="" type="checkbox"/> YES, a redacted copy of submission documents is enclosed. <input type="checkbox"/> NO, a redacted copy of submission documents is <u>not</u> enclosed. I understand a full copy of non-redacted submission documents will be released if requested. <i>Note: If a redacted copy of the submission documents is not provided with Prospective Contractor's response packet, and neither box is checked, a copy of the non-redacted documents, with the exception of financial data (other than pricing), will be released in response to any request made under the Arkansas Freedom of Information Act (FOIA). See Solicitation Terms and Conditions for additional information.</i>

ILLEGAL IMMIGRANT CONFIRMATION
By signing and submitting a response to this <i>Solicitation</i> , a Prospective Contractor agrees and certifies that they do not employ or contract with illegal immigrants and shall not employ or contract with illegal immigrants during the term of a contract awarded as a result of this solicitation.

ISRAEL BOYCOTT RESTRICTION CONFIRMATION
By checking the box below, a Prospective Contractor agrees and certifies that they do not boycott Israel and shall not boycott Israel during the term of a contract awarded as a result of this solicitation. <input checked="" type="checkbox"/> Prospective Contractor does not and shall not boycott Israel.

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

The signature below signifies agreement that any exception that conflicts with a Requirement of this *Solicitation* may cause the Prospective Contractor's response to be rejected.

Authorized Signature:  Title: Chief Executive Officer
 Printed/Typed Name: Holly Carmichael Date: 5/19/2022

All Agreement and Compliance Pages



VENDOR AGREEMENT AND COMPLIANCE

- Any requested exceptions to items in sections 1 – 4 which are NON-mandatory **must** be declared below or as an attachment to this page. Vendor **must** clearly explain the requested exception and should label the request to reference the specific solicitation item number to which the exception applies.
- Exceptions to Requirements **shall** cause the vendor's proposal to be disqualified.

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

Authorized Signature: Holly Carmichael

Use Ink Only.

Printed/Typed Name: Holly Carmichael Date: 5/19/2022

VENDOR AGREEMENT AND COMPLIANCE

- *The Contractor and/or subcontractors, shall not be direct service providers of any Medicaid services. The use of a payroll reporting agent is prohibited.*
- *The Contractor shall provide (in the space below) their current Federal Employer Identification Number (FEIN) by execution of IRS Form SS-4 Application for Employer Identification Number with IRS approval to act as the agent of the Medicaid recipient and to whom the FEIN is registered:* [REDACTED] _____

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

Authorized Signature: *Holly Carmichael*

Use Ink Only.

Printed/Typed Name: Holly Carmichael Date: 5/19/2022

Signed Addenda



State of Arkansas
DEPARTMENT OF HUMAN SERVICES
700 South Main Street
P.O. Box 1437 / Slot W345
Little Rock, AR 72203

ADDENDUM 1

TO: All Addressed Vendors
FROM: Office of Procurement
DATE: May 13, 2022
SUBJECT: 710-22-0018 Self-Directed Financial Management

The following change(s) to the above referenced IFB have been made as designated below:

- Change of specification(s)
 Additional specification(s)
 Change of bid opening date and time
 Cancellation of bid
 Other

OTHER

Page 6, Section 1.8.C.1.d – remove

Page 10, Section 1.20.D.3 - remove

ADDITIONAL SPECIFICATIONS

Page 16, Section 2.5.2.B.5 – Add the following:
Orientation and training may begin as early as forty-five (45) calendar days prior to Go-Live but must be completed no later than seven (7) calendar days before Go-Live.

CHANGE OF SPECIFICATIONS

Page 15, Section 2.3.B – Replace with the following:
Prospective Contractor and subcontractor must have at least two (2) years of experience within the last five (5) years providing the Fiscal Employer Agent model of financial management and counseling services to a population of over three thousand (3,000) Beneficiaries. Performed duties are set forth in Revenue Procedure 70-6 IRS Notice 2003-70 and identified as a designated agent under section 3504 (Acts to be Performed by Agents). With bid submission for verification purposes, Contractor and subcontractor shall provide evidence of experience including, at minimum, a detailed narrative describing experience, letter(s) of recommendation, and two (2) references with contact information.

Page 18, 2.5.4.1 – Replace with the following:
Leadership Team – Oversees the development and the structure needed to fulfill the contract. Members of the team must have the following: • Bachelor's degree • Minimum of five (5) years of experience in Medicaid or Financial Management services • Experience with the transition from one (1) FMS agent to another

Page 39, Section 2.5.19B – Replace with the following:
Contractor's information system must be configurable to interface with the Arkansas Medicaid Management System (MMIS) per Attachment M – Arkansas Medicaid Vendor File Exchange specifications. There is no Prior Authorization request for self-direction. Arkansas self-directed budgets are established to pay out through MMIS monthly, based on the number of days in a month and a Beneficiary/Employer's budget allowance.

The specifications by virtue of this addendum become a permanent addition to the above referenced IFB. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact: Buyer's name, Buyer's email address and phone number.

Holly Carol

Vendor Signature

5/19/2022

Date

Guardiantrac, LLC d/b/a GT Independence
Company

State of Arkansas
DEPARTMENT OF HUMAN SERVICES
700 South Main Street
P.O. Box 1437 / Slot W345
Little Rock, AR 72203

ADDENDUM 2

TO: All Addressed Vendors
FROM: Office of Procurement
DATE: May 18, 2022
SUBJECT: 710-22-0018 Self-Directed Financial Management

The following change(s) to the above referenced IFB have been made as designated below:

- Change of specification(s)
- Additional specification(s)
- Change of bid opening date and time
- Cancellation of bid
- Other

OTHER

Add the revised Official Bid Price Sheet to include updated formulas for calculations.

The specifications by virtue of this addendum become a permanent addition to the above referenced IFB. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact: Buyer's name, Buyer's email address and phone number.



Vendor Signature

Guardiantrac, LLC d/b/a GT Independence

Company

5/19/2022

Date

State of Arkansas
DEPARTMENT OF HUMAN SERVICES
700 South Main Street
P.O. Box 1437 / Slot W345
Little Rock, AR 72203

ADDENDUM 2

TO: All Addressed Vendors
FROM: Office of Procurement
DATE: May 31, 2022
SUBJECT: 710-22-0018 Self-Directed Financial Management

The following change(s) to the above referenced IFB have been made as designated below:

- Change of specification(s)
- Additional specification(s)
- Change of bid opening date and time
- Cancellation of bid
- Other


CHANGE OF BID OPENING DATE AND TIME

Bid submission date has changed to June 10, 2022, at 1:00 CST.
Bid opening date has changed to June 10, 2022, at 2:00 CST.

Added revised price sheet.

The specifications by virtue of this addendum become a permanent addition to the above referenced IFB. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact: Buyer's name, Buyer's email address and phone number.



Vendor Signature

6/1/2022

Date

Guardiantrac, LLC d/b/a GT Independence

Company

E.O. 98-04 Contract Grant and Disclosure Form



Attachment Number A

Action Number _____

CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

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

SUBCONTRACTOR: SUBCONTRACTOR NAME:

 Yes No

IS THIS FOR:

TAXPAYER ID NAME: Guardiantrac, LLC d/b/a GT Independence

Goods? Services? Both?

YOUR LAST NAME: Carmichael

FIRST NAME: Holly

M.I.: A.

ADDRESS: 215 Broadus Street

CITY: Sturgis

STATE: MI

ZIP CODE: 49091

COUNTRY: USA

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

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

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

 None of the above applies**FOR AN ENTITY (BUSINESS) ***

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

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

 None of the above applies

DHS Revision 11/05/2014

Attachment Number _____ A

Action Number _____

Contract and Grant Disclosure and Certification Form

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

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

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

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

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

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

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

Signature Holly Carroll Title Chief Executive Officer Date 5/19/2022

Vendor Contact Person Michael Murray Title Chief Relationship Officer Phone No. (336) 549-4933

Agency use only

Agency Number 0710 Agency Name Department of Human Services Agency Contact Person _____ Contact Phone No. _____ Contract or Grant No. _____

DHS Revision 11/05/2014

Equal Opportunity Policy



I. PURPOSE:

This policy serves to establish GT Independence's guideline for our employees. Final interpretation of the items discussed will be governed by the applicable procedure statements and the Human Resources Department. It shall not be construed to form a contract between our employees and the operating companies of GT Independence. GT Independence reserves the right to alter, rescind, or change any part or section of this Policy unilaterally and without prior notice.

II. APPLICATION:

GT Independence, its operating companies and subsidiaries, are committed to the principle of equal employment opportunity. To this end, GT Independence continually reviews its personnel practices to make certain that they are non-discriminatory in effect as well as intent.

III. REFERENCE:

GT Independence's Employee Handbook.

IV. DEFINITIONS:

EEO is Equal Employment Opportunity.
 AAP is Affirmative Action Plan.

V. POLICY:

Recruit, hire, train and promote qualified individuals in all job categories without regard to race, religion, color, national origin, sex, age, handicap, marital status, military status, or any other basis prohibited by law.

Base all employment decisions on job-related criteria so as to further the principle of equal employment opportunity.

Ensure that promotional decisions are in accord with the principles of equal employment opportunity by imposing only valid requirements for promotional opportunities.

Ensure that all personnel actions, such as, compensation, benefits, transfers, layoffs, returns from layoff, company sponsored training, education, tuition assistance, social and recreational programs will be administered without regard to race, religion, color, national origin, sex, age, disability, marital status, military status or any other basis prohibited by law.

VI. PROCEDURES:

This policy defines GT Independence's Affirmative Action policy for all positions at all locations.

It is the policy of GT Independence to:

Act affirmatively to employ and advance in employment all qualified individuals with disabilities, disabled veterans and Vietnam era veterans at all levels of employment as required by law. This applies to all employment practices, such as, employment, upgrading, transfers, rates of pay, etc.

Refrain from discriminating against any employee or applicant for employment because of physical or mental disability for any position the individual is qualified.

Make reasonable accommodations to the physical or mental limitations of the employee or applicant unless the accommodation would impose an undue hardship on the conduct of business.

Follow all other provisions of Section 503 of the Rehabilitation Act of 1973 and the Vietnam Era Veterans Readjustment Assistance Act of 1974.

Original Approval: 08/23/2013
 Revised:

The overall responsibility of the Affirmative Action Program rests with the Chief Executive Officer of GT Independence, while the day-to-day responsibility resides with the Director of Human Resources. The Director of Human Resources will provide the Chief Executive Officer with periodic evaluations of the program's progress.

- VII. REVIEW RESPONSIBILITY:**
This policy and associated procedures shall be reviewed annually.

Original Approval: 05/23/2013
Revised:

Proposed Subcontractors Form



PROPOSED SUBCONTRACTORS FORM

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

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

Type or Print the following information

Subcontractor's Company Name	Street Address	City, State, ZIP
N/A		

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

Other Documents and/or
Information as may be
expressely required in this
Bid Solicitation





Other

Arkansas Secretary of State
Registration

STATE OF ARKANSAS



John Thurston

ARKANSAS SECRETARY OF STATE

To All to Whom These Presents Shall Come, Greetings:

I, John Thurston, Arkansas Secretary of State of Arkansas, do hereby certify that the following and hereto attached instrument of writing is a true and perfect copy of

Application for Certificate of Registration of For. LLC

of

GUARDIANTRAC, LLC

filed in this office
March 24, 2021

In Testimony Whereof, I have hereunto set my hand and affixed my official Seal. Done at my office in the City of Little Rock, this 24th day of March 2021.


John Thurston
Secretary of State

Online Certificate Authorization Code: 409607605b83bbc77f5
To verify the Authorization Code, visit sos.arkansas.gov





Other

Two Letters of Recommendation/
References

[REDACTED]

May 17, 2022

Holly Carmichael, Chief Executive Officer
GT Independence
215 Broadus St.
Sturgis, MI 49091

RE: Letter of Recommendation/Reference for State of Arkansas RFP

Dear Holly,

I am pleased to provide you with this letter of recommendation and to serve as a reference for your response to the State of Arkansas for their Self-Directed Financial Management and Counseling Services, Solicitation No. 710 22 0018.

GT Independence has worked in partnership with [REDACTED] over the last 13 years, providing financial management services for the nearly 800 individuals in our program who choose to self-direct their services. The consistent and steady growth of both of our organizations during each year of our partnership is clear evidence of the high-quality services we are providing to people with disabilities in [REDACTED]. This includes acting as an agent under IRS regulation 3504, issuing payroll, processing taxes, meeting labor law requirements, following GAAP standards, and enrolling Medicaid beneficiaries into our self-directed program.

The direct line staff at GT have shown themselves to be professional, knowledgeable and courteous to our staff and, most importantly, to the people we serve and their families. The staff's understanding of Self Determination is sound, and they routinely demonstrate a commitment to our mutual goal of providing self-directed supports that assist people in leading active, respected lives as valued members of their community. During the course of our business relationship, GT has assisted us with a number of large-scale projects, including compliance implementations and program changes. Most recently, GT has been a leader in providing an electronic tracking and reporting system for the submission of caregiver time through its portal and EVV app.

We value the high tech, and person-centered, approaches GT takes to assist those we serve in being successful in their roles as employers. We feel the hands-on, in person enrollment process, in which participants are assisted with developing their budgets and understanding their employer duties, is a key benefit of working with GT. But this is just one of the many ways that GT goes above and beyond in its role as our fiscal intermediary.

GT leadership is very knowledgeable on taxes, Department of Labor rules and regulations, and all aspects of financial management services. GT's management staff are always available, prompt and readily respond to any request we may have. We KNOW that GT values us and everything we stand for, not just as a funding source but also as a partner in our mutual quest to improve and empower the lives

of people with disabilities. Our joint commitment to "Self-Determination for ALL" is clearly demonstrated in our day-to-day interactions with GT staff at all levels.

Despite having numerous options for financial management service agencies in [REDACTED], GT has remained over the last 13 years, and continues to remain [REDACTED] our most utilized and appreciated financial intermediary provider and partner. I can be reached at [REDACTED] should more information be helpful in your quest to serve people the wonderful people of Arkansas.

Sincerely,

[REDACTED]

[REDACTED]

May 16, 2022

Holly Carmichael, Chief Executive Officer
GT Independence
215 Broadus St.
Sturgis, MI 49091

RE: Letter of Recommendation/Reference for State of Arkansas RFP

Dear Holly,

I am pleased to provide you with this letter of recommendation and to serve as a reference for your response to the State of Arkansas for Self-Directed Financial Management and Counseling Services, Solicitation No. 710 22 0018.

Since 2009, GT Independence has worked in partnership with [REDACTED] to provide fiscal intermediary services for our nearly 2,400 members who have chosen to participate in the Self-Directed Supports program. This includes acting as an agent under IRS regulation 3504, issuing payroll, processing taxes, meeting labor law requirements, following GAAP standards, and enrolling Medicaid beneficiaries into our self-directed program. GT also provides in-person services to assist our participants with developing their budgets and helping them understand their employer duties, such as finding, managing, training, and dismissing workers.

During this time, we have found the GT staff to be responsive to any issues that arise and proactive in working with systems and people – both our staff and our customers.

GT has been a leader in developing resources that help members to work more easily with the fiscal aspects of self-direction, such as the development of a debit card, a robust online portal for tracking of budgets, and an Electronic Visit Verification app that is easy to use and integrated with GT's other technology offerings.

We have found that GT has been a strong business partner and look forward to our continued association.

I can be reached at [REDACTED] should more information be helpful.

Sincerely,

[REDACTED]

Self-Directed Service Manager

Technical Proposal Response to the
*Information for Evaluation Section of
the Technical Proposal Packet*





E.1

**Transitioning, Project Organization
and Management**

E.1 TRANSITIONING, PROJECT ORGANIZATION AND MANAGEMENT

A. Provide a sample MOU meeting the requirements in Sections 2.5.2 and 2.5.3 of the RFP

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

Please see the sample MOU included as Attachment 1.

Transitioning (2.5.2)

GT has extensive experience implementing transition plans and will ensure all elements contained in 2.5.2 are included in the plan. Frequent and consistent communication with individuals/participants is vital to a successful transition.

In this sample communication timeline below, individuals/participants would receive a minimum of three communications and additional communications where applicable. Upon contract award, GT will work with DHS/DPSQA on a final version of the communication plan and implement the plan within [REDACTED] days after the project launch meeting.

Audience	Communication	Timeframe
All employers currently enrolled	[REDACTED]	[REDACTED]
All employers currently enrolled	[REDACTED]	[REDACTED]
All employers and employees	[REDACTED]	[REDACTED]
All employers and employees	[REDACTED]	[REDACTED]
All employees	[REDACTED]	[REDACTED]
As applicable	[REDACTED]	[REDACTED]
As applicable	[REDACTED]	[REDACTED]
As applicable	[REDACTED]	[REDACTED]
As applicable	[REDACTED]	[REDACTED]
As applicable	[REDACTED]	[REDACTED]

During the transition period, GT will assign a counselor to each program individual/participant to provide in-person orientation and skills training to Individuals/Participants in the home or at a mutually

agreed-upon place in the community. Orientation and skills training will consist of roles and responsibilities of GT and the employer, budget management, and the rights, risks and responsibilities of managing one's own care in self-direction. Counselors will support Individuals/Participants with filling out required forms (including Form 2678), setting up their GT portal and EVV accounts and on the development of an individualized Cash Expenditure Plan (CEP). Participants will receive Information and Assistance (I&A) from a trained counselor upon request, who will educate them on the rights, risks and responsibilities of managing one's own care in self-direction. All training sessions completed by the Individual/Participant are stored in GT's information management system. Training reports can be furnished to DHS upon request.

GT will work with the outgoing FMS and DHS/DPSQA in an accurate and timely manner so the transition of providers does not disrupt services. The implementation phase is designed to be sensitive to the position of the outgoing FMS provider. GT will focus on obtaining all the necessary transfer data up-front to minimize the involvement of the outgoing FMS provider in ongoing transition activities. However, it is critical that the outgoing FMS provider properly support communications and transition activities to ensure that there is no interruption in services for participants.

Upon contract award, GT will establish a transition team comprised of GT staff members and Arkansas contract monitors who meet on a regular basis to monitor the transition and resolve any issues that may arise. Regular meetings and open communication between GT and contract monitors will ensure GT stays informed of any changes in requirements that may occur during the implementation phase so the company can act swiftly and lessen impacts on the project schedule. Additionally, GT's transition team will be responsible for working with DHS/DPSQA to develop an implementation plan timeline with key tasks and completion dates in chronological order to facilitate the actions needed to complete the transition/implementation. The plan will include, but will not be limited to, the following:

- Discovery activities
- Identifying the key planning documents needed for transition/implementation
- Verifying contract requirements
- Identifying the tasks related to integration with EVV system and MMIS
- User Acceptance Testing (UAT) tasks

GT's top priority in any transition is to ensure that payroll services are not interrupted for participants. GT believes that it is important to agree that those tasks that directly impact payroll will be prioritized. GT staff can work through less important issues once the transfer is completed. For example, follow-up on missing non-critical forms can take place after the initial pay dates.

GT has found that there are several best practices to follow when transitioning between FMS vendors:

- Ensure that the uninterrupted flow of payroll remains the top priority; allow noncritical tasks to be deprioritized.
- Make a communication plan up-front so there is no confusion about who is responsible for messaging; also account for the need to deliver communication in multiple formats to reach the entire population being served.
- Identify required data elements from the outgoing vendor and transfer those elements first, so that the outgoing vendor can conclude its role in the transition as early as possible.

In general, the implementation/transition plan will consist of the following tasks listed in the table below. A final version of the transition plan will be developed in conjunction with DHS/DPSQA.

Task	Owner	Completion Date
	GT, DHS	
	GT, DHS	
	DHS	
	Current FMS	
	Current FMS	
	GT, DHS	
	GT	
	DHS	
	GT	
	GT	
	GT	
	GT	
	GT	
	Employers & Employees	
	GT	
	Employers & Employees	
	GT	
	GT	
	GT	
	GT	
	GT	

Project Organization and Management Requirements (2.5.3)

GT has developed a fully integrated proprietary information management system that allows for efficient and accurate processing of the various types of information collected and used in the execution of the company's contractual duties, including managing active and pending employers and retention of employer, employee, payroll, tax, service authorization, eligibility and budget data. GT will seek approval from DHS/DPSQA for its information management systems prior to the rendering of services.

GT has developed many electronic data integrations (EDI) for Medicaid Management Information Systems (MMIS) and will use a similar process in securing an accurate exchange of transactions with the State of Arkansas MMIS, DPSQA and ECRS. The company's in-house IT development team will use companion guides to develop its EDI integration. GT's IT infrastructure team will configure secure FTP accounts that require TLS encryption in its on-premises data center. During the test phase, GT will verify the security, connectivity and accuracy of all file transfers to and from the MMIS, DPSQA and ECRS. GT will use AES-256 to encrypt state data at rest. In addition to the AES algorithm, TLS will be used to secure all file transfers, emails and web API calls. GT will provide all data related to this contract directly to DPSQA upon request and by DPSQA and as required in Attachment C: Performance Based Contracting.

GT has a team of developers who will work with DPSQA to customize the file transfer system to meet the needs of the State of Arkansas. GT follows all laws for HIPAA as they apply to beneficiary/employer privacy rights and protected health information, including EDI 837/835, 270/271, and 834, and continuously monitors for any other requirements within the GT processes.

One element of GT's proprietary information management system is its online portal. Putting tools in the hands of participants and agency partners to assist them in managing public dollars is vital to the success of self-direction. For this reason, GT created a customized, robust online portal to serve all self-direction stakeholders, giving them access to real-time reports and documents, which enhances transparent communication. Through the portal, employers and employees can view and download budget reports, approve employee time, view and download pay stubs, and contact GT customer service. Reports are available in real time and can be customized to meet the needs of Arkansas and its self-direction participants.

GT has also developed a state-of-the-art time collection app that complies with all requirements outlined in the federal 21st Century Cures Act, as well as state requirements. GT's Caregiver App allows for clock-in and clock-out with individual approval at the end of each shift. Each shift captures the six core components of an EVV system. The App is available for download on iPhone or Android devices and is also available in Spanish.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has built and paid for all its current platforms. GT's systems already have the capacity to meet the needs of the State of Arkansas. There will be no additional costs to DHS/DPSQA for use of GT's software platforms. The software GT uses to perform FMS functions is listed below.

Software	Function	Status of use
[REDACTED]	[REDACTED]	Proprietary system developed by GT
[REDACTED]	[REDACTED]	Proprietary system developed by GT
[REDACTED]	[REDACTED]	Proprietary system developed by GT
[REDACTED]	[REDACTED]	Proprietary system developed by GT
[REDACTED]	[REDACTED]	Proprietary system developed by GT
[REDACTED]	[REDACTED]	Call center software already in use
[REDACTED]	[REDACTED]	Payroll software already in use
[REDACTED]	[REDACTED]	Already purchased and in use

[REDACTED]

[REDACTED]

[REDACTED] built in to ensure a great user experience, which includes real-time data reports through GT's user-facing online portal. Through the portal, beneficiaries will receive monthly statements, including expenditure reports and budget information.



B. Propose a mechanism for tracking and verifying Employees' compliance with the background checks and clearances required in the scope of work as part of its technical response.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has extensive experience tracking and verifying employees' compliance with the background checks and clearances required in this scope of work. Upon contract award, GT will create policies and procedures to guide services in Arkansas in order to ensure compliance with all federal, state and local rules and regulations and will also document the minimum requirements for prospective employees in an employee eligibility policy developed in collaboration with and approved by DPSQA. The policy will include the procedures for conducting, tracking and verifying prospective employee background checks.

The background check will meet all requirements, including the following:

- An adult maltreatment and child maltreatment check through the Arkansas Central Registry or another background check entity that provides a national background check if the person is not a resident of the state of Arkansas
- Review of the list of excluded members and entities maintained by the OIG of the U.S. Department of Health and Human Services and the excluded parties list in the SAM maintained by GSA to determine whether the person appears on either of these lists, and if the person appears on one of the lists, GT will:
 - Report the listing to DPSQA immediately and
 - Take the appropriate action to terminate the person if the person is employed in a manner that is not permissible under the applicable federal requirements
- State of residency and federal criminal background checks
- Drug testing as required by the State of Arkansas

If an employee is found not qualified to provide services, GT will collect payment from the employee for any time that was submitted and paid.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has developed a dedicated compliance team to enhance the company's services and drive continuous quality improvements throughout the company. This team focuses on contractual compliance, health and safety requirements for beneficiaries, and adherence to state and federal laws. GT exercises a quality control process on its documents that is specifically tailored to each function it delivers to beneficiaries; this process includes detailed checklists, required signatures and approvals. GT believes this is not just a legal responsibility, but a reflection of the company's core values and a way to ensure that the company is delivering on its promise of providing quality service to the self-direction community.

If a prospective employee does not successfully pass a background investigation requirement, GT's Director of Compliance conducts a second-level review to ensure the correctness of this information. This staff member confirms the prospective employee's ineligibility and then communicates such in writing to the prospective employee and the beneficiary. This documentation is stored electronically for internal and future auditing purposes.

In addition to completing the person-centered enrollment process, GT's processing team visually verifies the Form I-9 Employment Eligibility Verification, Form W-4 Withholding Certificate, forms relating to the employees' preferred payment method, relationship disclosure, job description and employment agreement provided by the employee. All documents undergo a secondary review by a peer to ensure that employees meet the eligibility standards. This required human touchpoint further enhances the integrity of the process to protect the employer and employee, as well as assist DPSQA in meeting compliance requirements aimed at combating fraud, waste and abuse. GT also administers General Services Administration (GSA) and LEIE checks using the OIG's LEIE web search and System for Award Management (SAM) search at the time of hire and monthly thereafter. A copy of the verification is maintained in the employee's electronic file.

C. Describe the Proposed Contractor's process for developing and ensuring backup plans.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.9 M Back Up Plan (Page 26 of the RFP) states:

"M. Back-Up Plan: Upon contract award, the Contractor shall provide support to the Beneficiary/Employer during initial employer enrollment and as needed, in developing a Back-up Plan that adequately identifies how the Beneficiary/Employer shall address situations when a scheduled employee is not available or fails to show up as scheduled. The Beneficiary/Employer shall have primary responsibility for the development of the Back-up Plan. Beneficiary/Employer shall not elect, as part of a Backup Plan, to go without services. Completed back-up forms shall be retained by the contractor, in the beneficiary/employer's file. For further guidance, see the Back Up Plans section in the current Self-Directed Program Manual.

- 1. The Back-up Plan must include the names and telephone numbers of contacts for alternate care, the order in which each shall be notified if multiple alternatives are listed, and the services to be provided by each contact. Back-up Plan contacts may include paid and unpaid supports; however, it is the responsibility of the Beneficiary/Employer to secure paid (as well as unpaid) Back-Up Plan contacts who are willing and available to serve in this capacity.*
- 2. All persons noted in the Back-up Plan shall be contacted by the Beneficiary/Employer to determine their willingness and availability to serve as back-up contacts.*
- 3. The Contractor shall include all backup workers for each Beneficiary/Employer, the contact number for each backup worker, and if the backup worker is registered as a paid caregiver monthly. Each Beneficiary/Employer must have at least one (1) backup worker appointed as a paid or an unpaid informal worker. Multiple backup workers are encouraged."*

GT develops a backup plan for every beneficiary upon enrollment. This plan includes both paid and natural supports and lists their names and contact information. GT will ensure that all individuals listed in the backup plan are contacted by the beneficiary/employer to determine their willingness and availability to serve as an emergency support. GT will ensure that any paid employees who are listed on the emergency plan are enrolled and meet eligibility and background check requirements. GT will ensure at least one backup worker is identified for each beneficiary, at a minimum.

In an emergency situation in which neither regular employees nor backups are available, GT is able to support employers in finding short-term care. When an employer calls customer service to request emergency care, GT will engage its Arkansas enrollment to help them obtain employee services to meet their needs.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

Employers are also given access to GT's proprietary recruiting database, the Caregiver Link, through the portal. Caregiver Link includes a list of credentialed vendors and providers and provides access to prescreened employees for employers who are recruiting. Employers can review a caregiver's training, certification, background check dates, languages spoken and contact information. All program participants will have access to this directory.



Relevant Attachments for E.1

- Attachment 1 – Sample MOU (Pages 186-188)
- Attachment 2 – Sample Employee Eligibility Policy (Page 189)
- Attachment 3 – Staying Up to Date with State and Federal Agencies (Pages 190-194)
- Attachment 4 – Sample Back-Up Plan Worker Agreement (Page 195)



E.2

| Staffing

E.2 STAFFING

A. Prospective Contractor must provide Prospective Contractor's proposed job description and minimum qualifications, as defined under Operations Team, for the contract manager as part of its technical response to this RFP.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

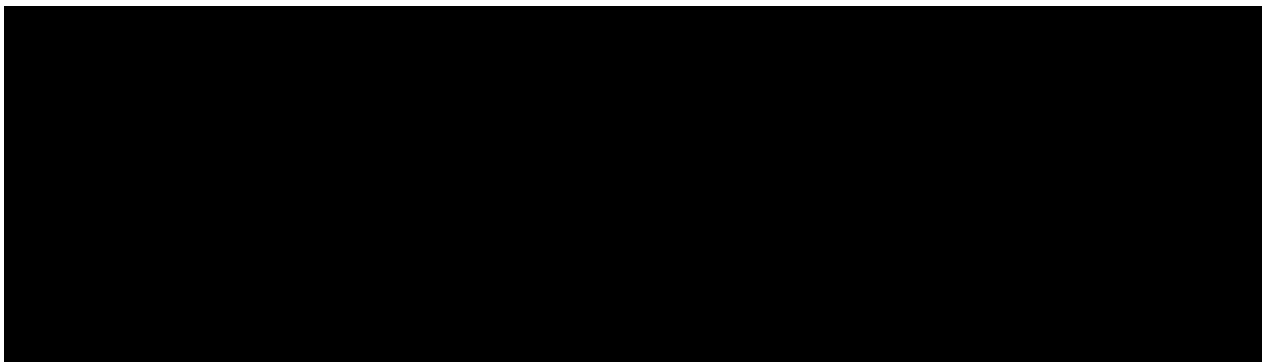
GT's Director of Operations will serve as the Contract Manager for the Arkansas contract. Minimum qualifications for the Director of Operations include the following:

- At least five years of experience relevant to the work performed.
- Knowledgebase in supervision, business management, and leadership.
- Excellent written and oral communication skills.
- Extensive experience in working on complex projects with critical thinking and problem solving.
- Excellent organizational and administrative skills with demonstrated ability to work towards and meet deadlines by planning and organizing.
- Demonstrate the ability to balance work pressure with time management skills.
- Demonstrate ability to build positive relationships and communicate with people of diverse backgrounds and abilities.
- Experience in working, initiating, and maintaining highly effective team.
- Competent in the use of Microsoft Office programs and the Internet.

The required education for this position is a bachelor's degree in business, human services or related field or equivalent work experience. A job description for this position is included as Attachment 5.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.



B. Provide a detailed organizational chart meeting the requirements in this section and including all key personnel proposed for this contract. Technical proposal shall also include resumes for all members of Contractor's Leadership, Operations, and Enrollment Teams.

Affirmation of GT's Ability to Meet Arkansas' Needs:

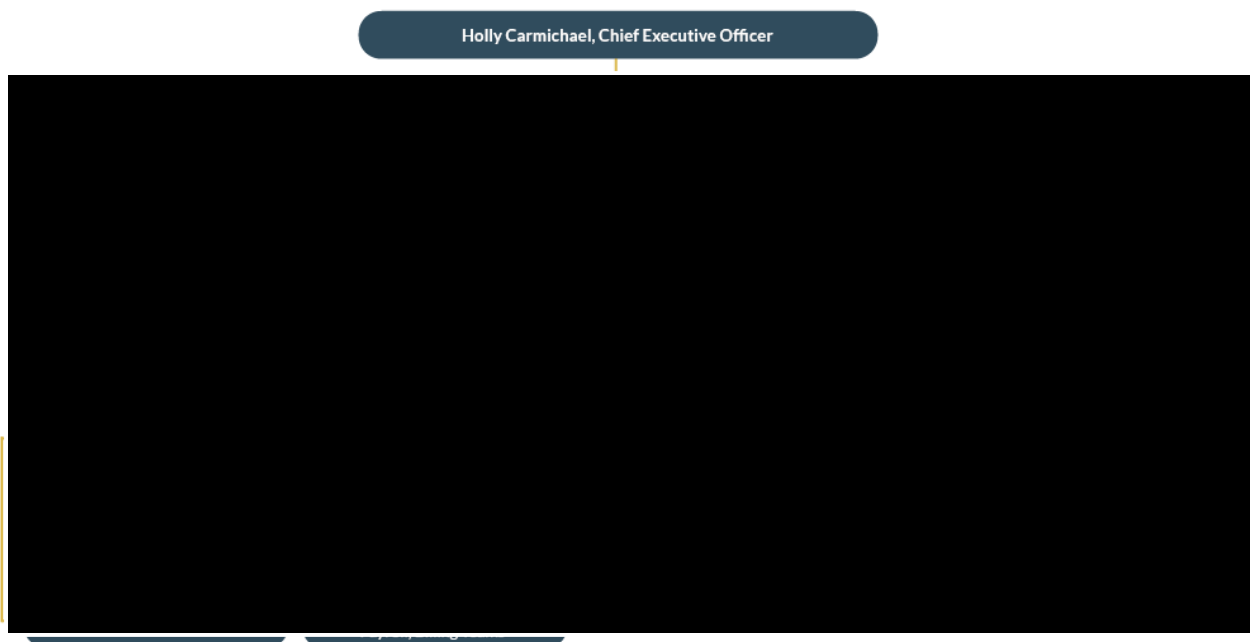
The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

The staff members GT proposes to deploy in the execution of this contract have considerable experience working with individuals with disabilities, as well as individuals who are aging and are self-directing their services. In addition to the technical skills they bring to their roles, GT staff members are deeply committed to self-determination and person-centered thinking and understand how important it is for

individuals to be connected and have valued roles in their communities. This connection to the values of the company is woven into the execution of the work at all levels of the company.

The staff members who will be involved in implementing this contract have been thoughtfully chosen both for their experience providing FMS and for their experience starting new programs that required significant collaboration with a contractor and the transition of a large number of participants from an existing provider. These are strong competencies of GT as a company and are particular strengths of the individuals chosen to be part of this contract.

The following organizational chart identifies GT’s key personnel, senior managers and other staff who will be assigned to work on this contract (dark blue boxes). The org chart is condensed to represent GT’s overall organizational structure at a high level.

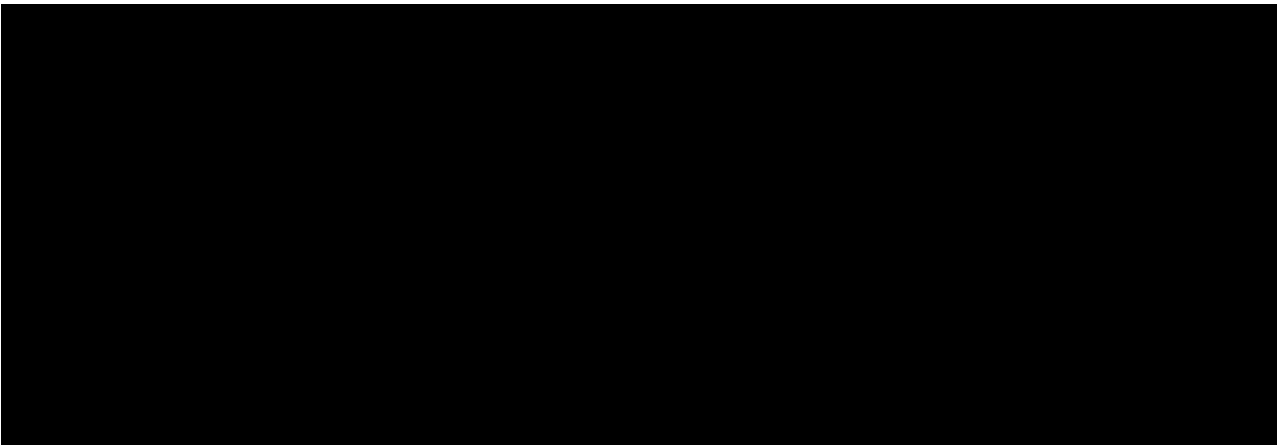
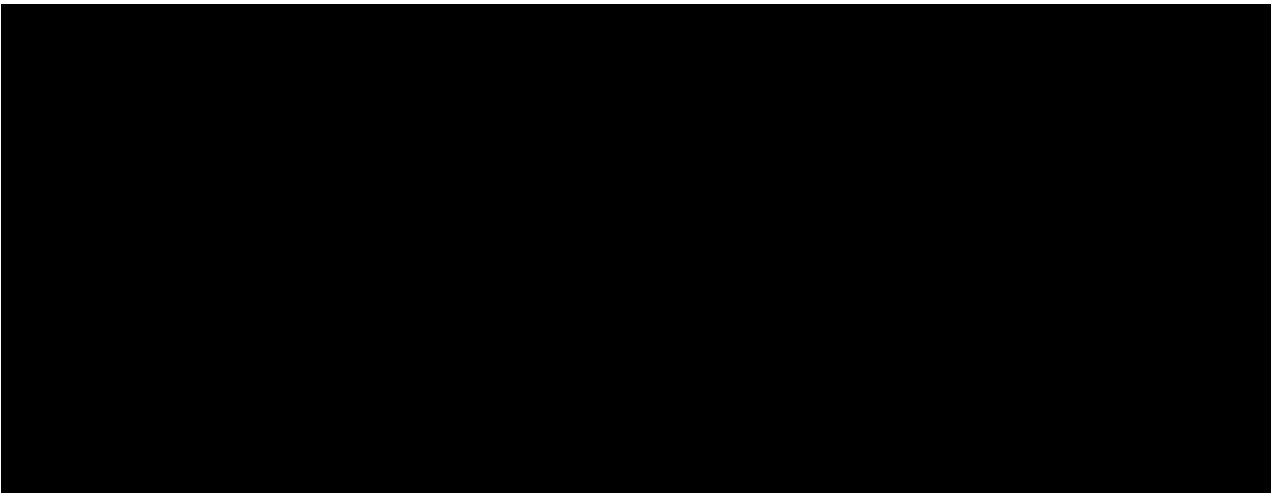
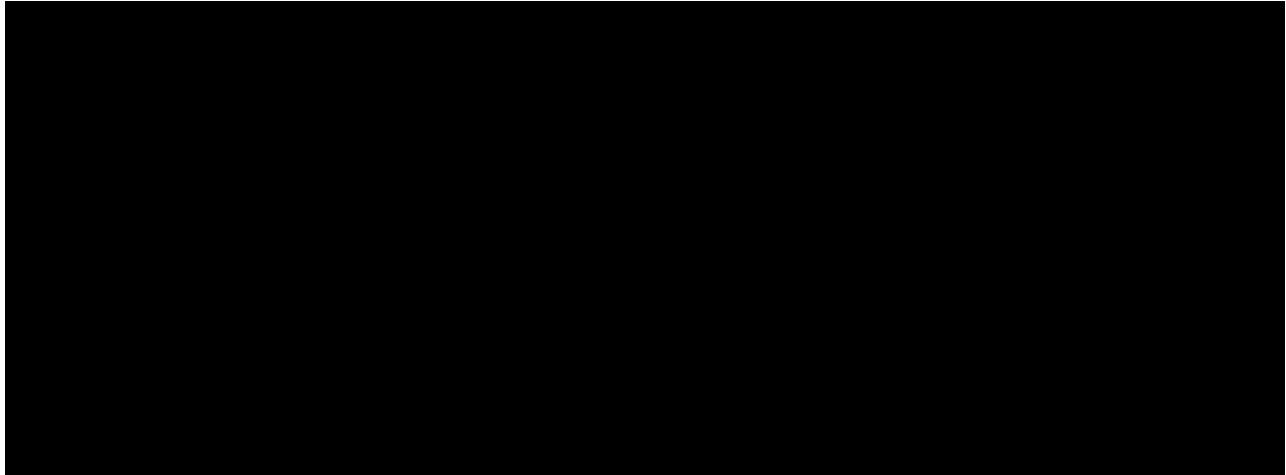


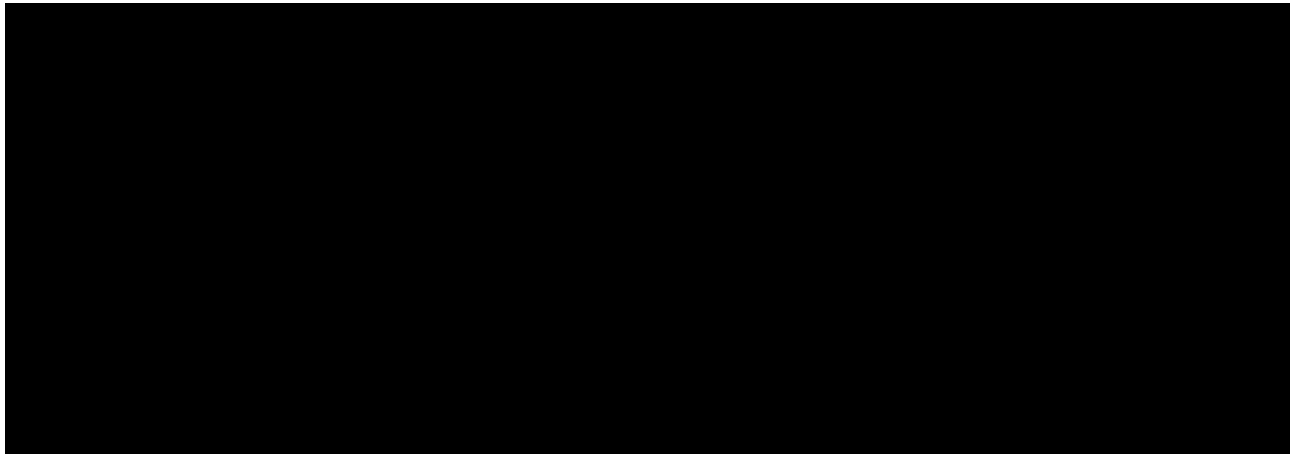
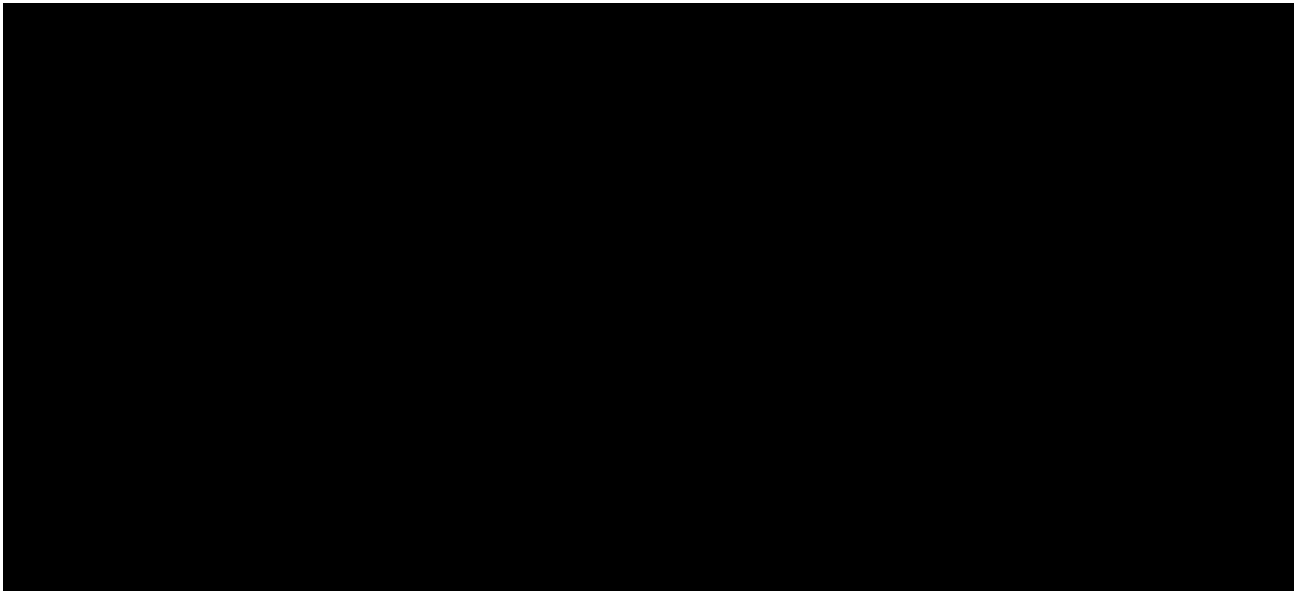
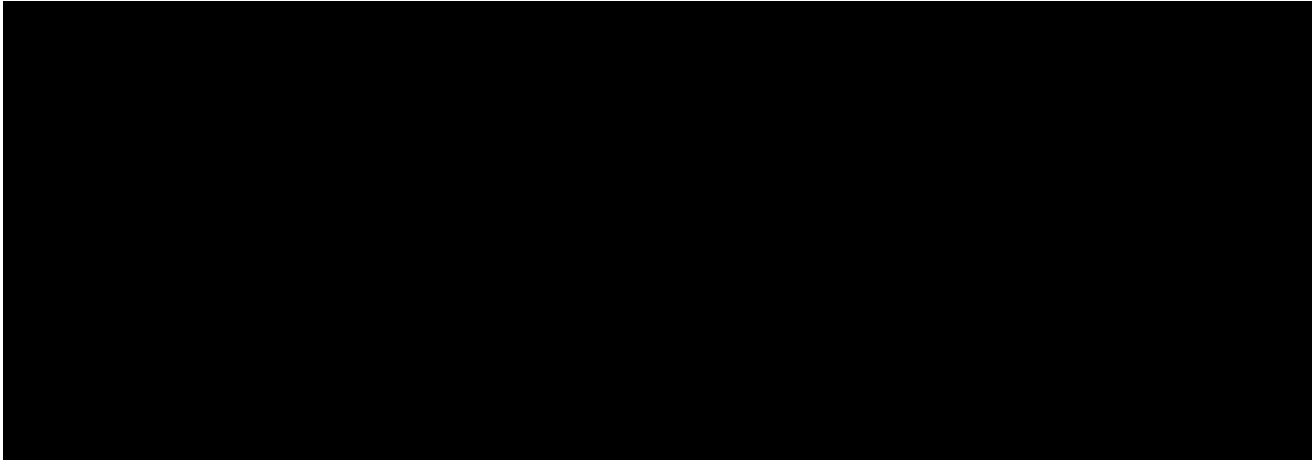
Key Personnel

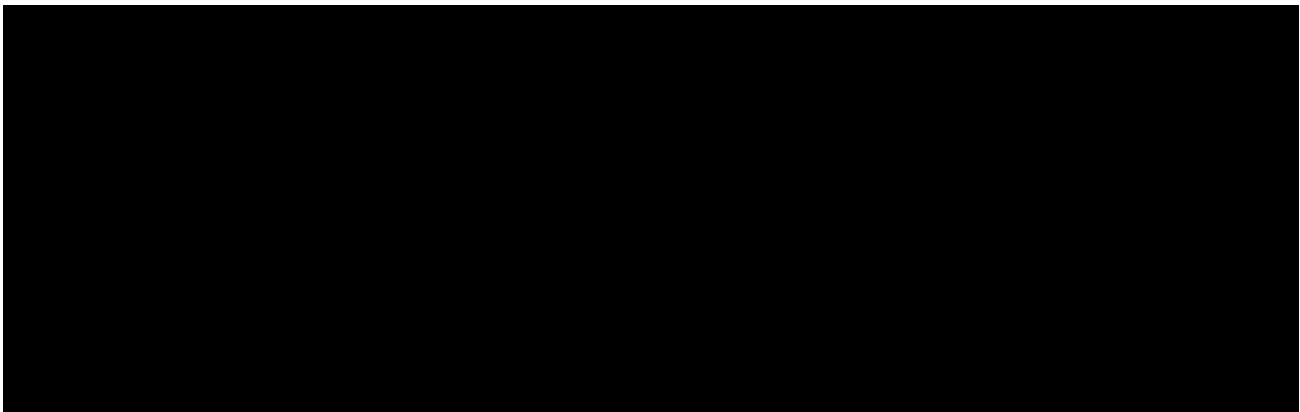
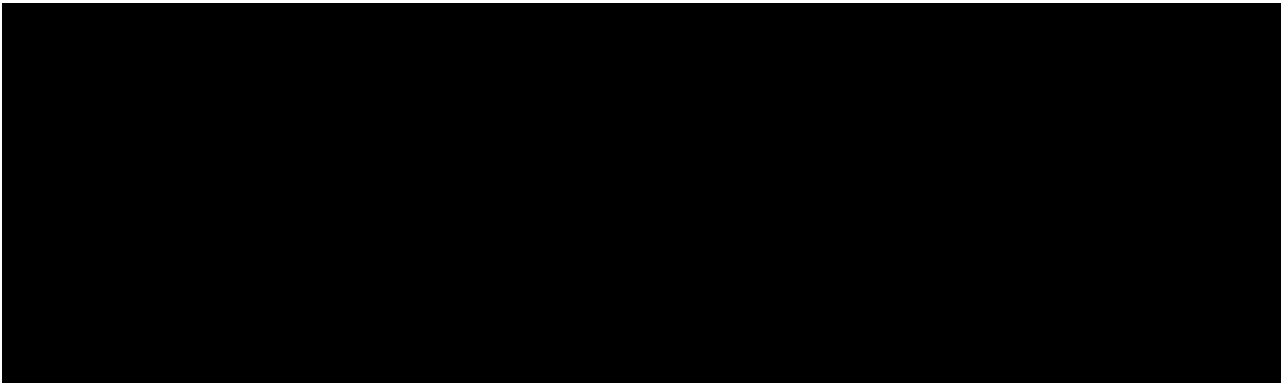
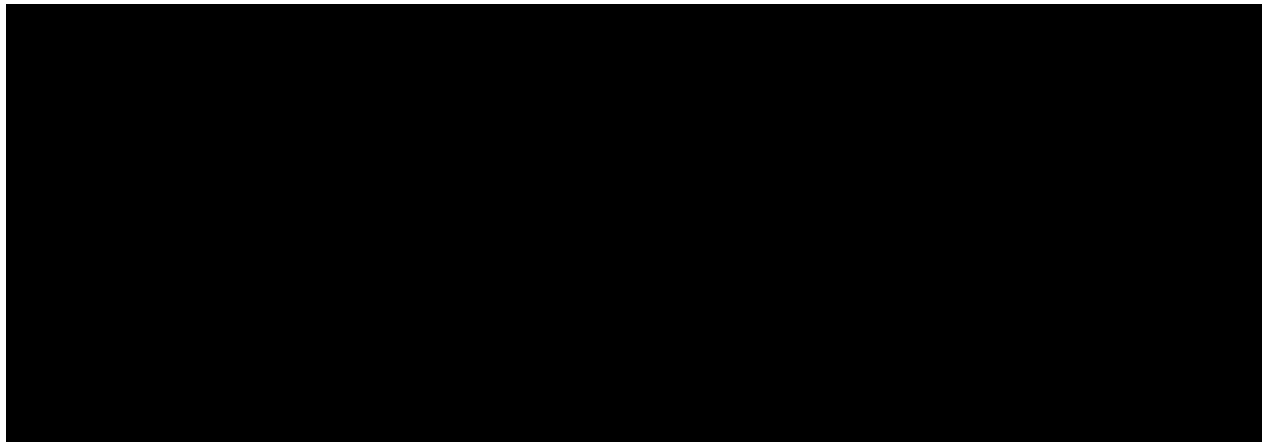
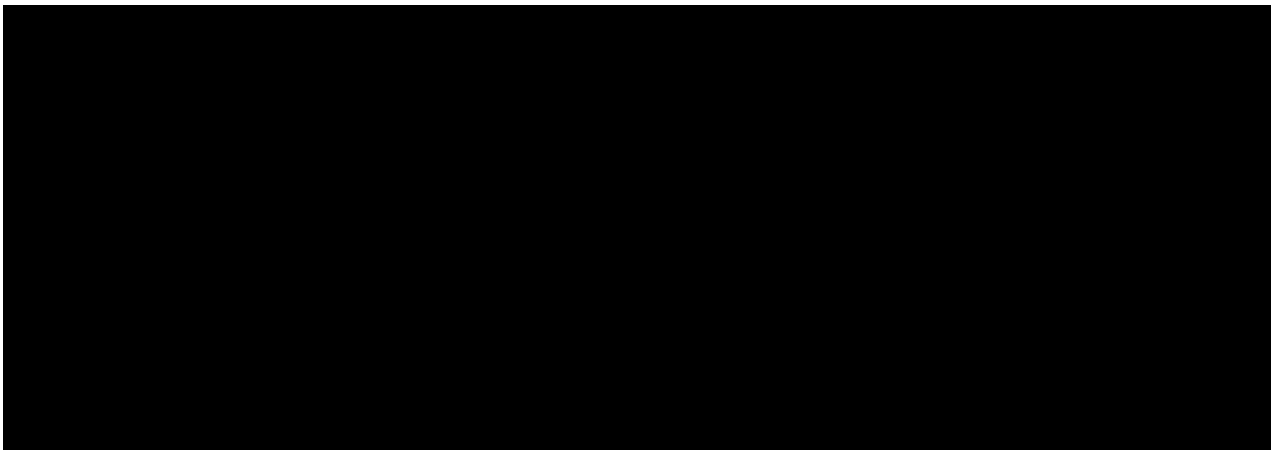


Holly Carmichael
Chief Executive Officer

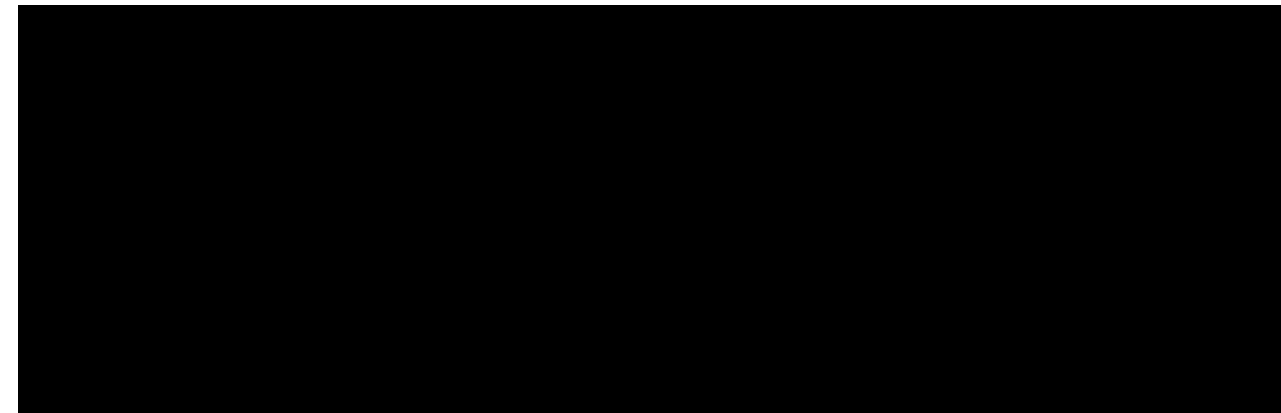
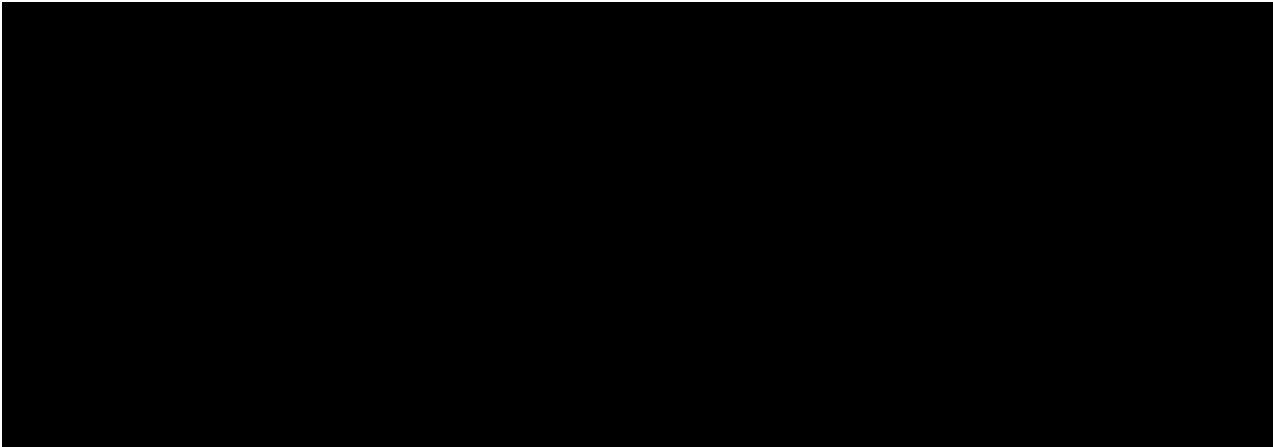
As Chief Executive Officer of GT, Holly Carmichael has developed successful service offerings, including Fiscal Intermediary and support broker programs. An advocate for self-direction and inclusion, Holly serves on several boards, including those of Maggie’s PMM2-CDG (Congenital Disorders of Glycosylation) Cure LLC, a group named after her tenacious daughter and created to find a cure for this rare disease, and CDG CARE. She is also a founding member of the Sturgis Friends of Education, a member of the Applied Self-Direction Government Policy Executive Think Tank and a member of the Congress Elementary School Playground Planning Committee.







Ashlee's current responsibilities include support management, system administration, network administration and [REDACTED] auditing.



Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT is the third-largest FMS in the country, with over 200 individual contracts of various sizes across 16 states. The company employs over 450 total staff. Over the course of GT's 18 years, the company has consistently grown an average of 20% year-over-year, demonstrating the ability to expand self-directed services while maintaining consistently high service levels.

C. Describe the Proposed Contractor's experience in self-directed services. Include, at minimum, the following: years of experience, names of similar programs or services provided, number of participants, contracts, states served, and provide a list of all external certifications obtained by the organization.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT is a private, family owned and operated, limited liability corporation that has been providing and billing for financial management services (FMS) since 2004.

GT's mission is to **help people live a life of their choosing, regardless of age or ability**. In 2004, the Carmichael family founded GT after personally experiencing the rewards and challenges of helping a family member navigate his own self-directed services. This has driven the company's approach to services since day one. The core values of self-determination, professionalism, integrity, community,

excellence, and respect are at the foundation of each service element. With this commitment to the company's values, GT has grown to deliver FMS in 16 states across the country. GT's service offerings include the core features of customer service, enrollment, payroll, billing, tax and accounting, reporting, and quality control and compliance, all provided within the context of a person-centered, values-driven approach.

Our Values

- **Self-determination.** We believe that people get the most from their in-home supports when they can hire (and fire) their support providers.
- **Integrity.** We believe in "doing the right thing" above all.
- **Community.** We believe that individuals and the community benefit most when everyone is included with equal rights and participation.
- **Professionalism.** We believe that we must constantly achieve the highest standard of quality in our work. Each of us commits to collaboration, continuous improvement, responsiveness and flexibility.
- **Respect.** We believe that we must be culturally humble, seeking to examine our individual beliefs and honoring each other's cultural values.
- **Excellence.** We believe we must constantly question our methods in search of better ways to do our work.

Above all, we value our ability to serve and support people in their community.

GT Works Within

15 1915(c)
waivers

5 1915(b)
waivers

4 1115
demonstration waivers

1915(k), 1915(j), VDS
Veterans HCBS programs
and state plan services

The tables below identify the state agencies, government jurisdictions and organizations for which GT is currently providing services, years of service, number of participants and number of contracts.

Program Name	Years of Service
[REDACTED]	[REDACTED]

Program Name	Years of Service
[REDACTED]	[REDACTED]

Program Name	Years of Service
[REDACTED]	[REDACTED]

Program Name	Years of Service
[REDACTED]	[REDACTED]

Program Name	Years of Service
[REDACTED]	[REDACTED]

[Redacted]

Program Name

Years of Service

[Redacted]

[Redacted]

Program Name

Years of Service

[Redacted]

[Redacted]

Program Name

Years of Service

[Redacted]

[Redacted]

[Redacted]

Program Name

Years of Service

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Program Name

Years of Service

[Redacted]

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Program Name

Years of Service

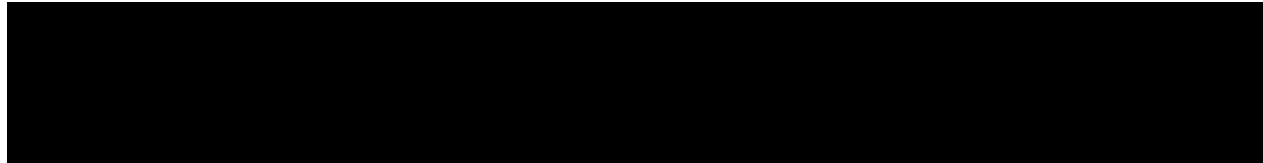
[Redacted]

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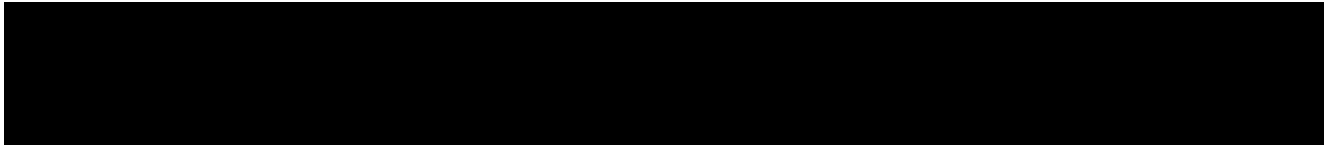
Program Name

Years of Service

[Redacted]



Program Name	Years of Service
[Redacted]	[Redacted]



Program Name	Years of Service
[Redacted]	[Redacted]



Program Name	Years of Service
[Redacted]	[Redacted]

The following tables demonstrate GT’s experience providing FMS services for the years 2015-2021.

GT Data (2015-2021)

Average number of unique employers served per year	[Redacted]
Average number of unique employees paid per year	[Redacted]
Average number of timesheets processed per payroll period	[Redacted]
Average amount of payroll processed per year	[Redacted]

Average Number of FTEs Employed by GT Per Year by Function (2015-2021)

	2015	2016	2017	2018	2019	2020	2021
Executive							
Operations <i>Functions: Enrollment, Processing, Customer Service, Payroll & Billing</i>							
Relationship <i>Functions: Business Development, Government Relations, Corporate Social Responsibility & Marketing</i>							
IT <i>Functions: Engineering, Data, Infrastructure, and Security</i>							
Administration <i>Functions: Accounting, Finance, Compliance, Quality, HR, Learning & Development, Diversity & Inclusion, Employee Engagement, Professional Development & Language Assistance</i>							
Total Internal Staff							
Direct Care Workers (Agency With Choice)							

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

For Arkansas, GT will utilize its extensive knowledge of FMS, its proprietary technology platforms and its commitment to outstanding customer service to deliver services that maximize the decision-making authority of participants. As the only FMS in the country that is both [REDACTED] ([REDACTED]) Alliance and Commission on Accreditation of Rehabilitation Facilities (CARF) certified, GT can offer the State of Arkansas a program that is unmatched by any other FMS.



Relevant Attachments for E.2

- Attachment 5 – Director of Operations (Contract Manager) Job Description (Pages 196-197)
- Attachment 6 – Holly Carmichael Resume (Pages 198-199)
- Attachment 7 – [REDACTED] Resume (Pages 200-202)
- Attachment 8 – [REDACTED] Resume (Pages 203-204)
- Attachment 9 – [REDACTED] Resume (Pages 205-206)
- Attachment 10 – [REDACTED] Resume (Pages 207-208)
- Attachment 11 – [REDACTED] Resume (Pages 209-210)
- Attachment 12 – [REDACTED] Resume (Pages 211-212)
- Attachment 13 – [REDACTED] Resume (Pages 213-216)

- Attachment 14 – [REDACTED] Resume (Page 217)
- Attachment 15 – [REDACTED] Resume (Pages 218-223)
- Attachment 16 – [REDACTED] Resume (Pages 224-226)
- Attachment 17 – [REDACTED] Resume (Pages 227-229)
- Attachment 18 – [REDACTED] Resume (Page 230)



E.3

| **Work Plan**

E.3 WORK PLAN

Provide a comprehensive Work Plan that demonstrates the Proposed Contractor’s strategy to meet the requirements of the RFP. The Work Plan must include, at a minimum, the following:

A. Operational policies, procedures, processes and internal controls.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

To meet the operational policies, procedures, processes and internal controls listed within the RFP, GT will first develop a set of policies and procedures specific to this Arkansas contract and include these policies and procedures within the company’s Policy and Procedure Manual. GT’s Policy and Procedure Manual defines the company’s operations as a financial management service. The Executive Management Team is responsible for reviewing, approving and ensuring policy compliance, as a whole, while the Compliance Department is responsible for the oversight and maintenance of the manual. GT’s Director of Compliance ensures there is periodic monitoring and reviewing of all policies and procedures and conducts an annual review for adequacy and effectiveness. The manual is amended as necessary to respond to changing laws, regulations and contractual agreements. Department managers are responsible for communicating and implementing the policy or procedure within their departments. The Director of Compliance publishes the policy or procedure in GT’s Policy and Procedure Manual on the intranet, which is available to all employees.


GT’s Policy and Procedure Manual contains seven chapters, each with numerous subsections. The manual serves as the authoritative source for all major functions, tasks, guidelines and protocols of the company. The manual contains a chapter dedicated to state-specific policies and procedures. The policies and procedures developed specifically for this Arkansas contract would be included within Chapter 7 of the manual.

Chapter	Name
1	
2	
3	
4	
5	
6	
7	

Chapter 6 – Financial Management Services – contains the policies and procedures guiding GT’s activities as a financial management service, including enrollment and processing; customer service; payroll; billing and accounting/finance; compliance/auditing; and administration. The chart below shows the policies and procedures contained in each subsection of Chapter 6.

6.1 Enrollment & Processing

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6.4 Billing & Accounting/Finance

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6.2 Customer Service

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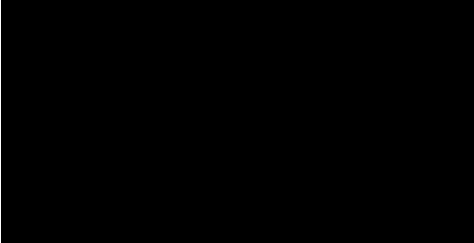
6.5 Compliance/Auditing

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6.3 Payroll

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6.6 Administration

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-



In addition to GT’s robust set of policies and procedures to ensure quality assurance, the company also has an internal auditing function that reviews compliance requirements for any given program against files and data present. GT maintains a separation of duties between its quality and operations functions, with duties related to quality falling under the leadership of [REDACTED], Chief Administration Officer, and duties related to operations falling under the leadership of [REDACTED], Chief Operating Officer. Each team is composed of separate staff with discrete job duties related to their functions within the company. This offers internal checks and balances to ensure the highest levels of quality are maintained.

Even with this separation of quality and operations functions, GT works hard to instill a culture of quality throughout the entire company. For example, within operations, GT has implemented a peer review process on its documents. When one staff member finishes enrollment processing, another staff member peer reviews the documents to ensure accuracy and completeness.

As part of this contract, GT will also establish a Self-Direction Advisory Panel to assist the company in meeting its contractual obligations. This advisory panel, made up of participants and stakeholders, will be involved in the company's quality improvement efforts. GT has established advisory panels in multiple states to ensure the participant voice is heard and that quality of services is directed by those who use it. The development and engagement of the advisory panel is crucial to ensuring GT's services consistently meet the needs of its local customers.

GT also stays up to date on federal and state regulation and/or operations changes through its participation with Applied Self-Direction and other industry organizations. Regulation and/or operations changes are incorporated into GT's policies and procedures.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

To further ensure quality services, GT is accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF), an international independent nonprofit organization that advances the quality of health and human service providers and ensures high-quality and compliant services. GT met and surpassed over 1,200 standards to earn the full three-year reaccreditation in November 2021. GT has maintained CARF accreditation since 2013.



As the only FMS in the country that is both [REDACTED] and CARF certified, GT can offer the state of Arkansas a program that is unmatched by any other FMS.

B. An implementation plan including a sequential list of tasks. For each task, identify the number of days required to complete the task, personnel for each team proposed to perform the task, and the number of work hours for each person.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT's implementation plan will consist of the following categories of tasks:

- Contracting – negotiating and executing a contract between the State and GT;
- Program Policies and Procedures – GT develops and seeks approval from DHS/DPSQA on the policies, processes, procedures and internal controls that will guide the program;
- System Configuration – set up and testing of all systems to ensure a smooth transition of files and program data between GT, the State and aggregators;
- Communications – development and approval of a communication plan to notify participants of the change in FMS;
- Transition Enrollments – transition of all data from outgoing FMS;
- Day-to-Day Operations – receiving new referrals and management of staff;
- Program Development – ongoing weekly meetings between GT and the State to ensure all parties stay on track and the State is satisfied with GT's work.

The table below includes the categories, tasks, timeline, persons responsible and estimated staff time for all implementation activities.

Contracting			
Tasks	Days to Complete Tasks	Staff Assigned to Tasks	Hours Required
<ul style="list-style-type: none"> 			1-3 hours per week 3-9 hours total

Program Policies and Procedures			
Tasks	Days to Complete Tasks	Staff Assigned to Tasks	Hours Required
<ul style="list-style-type: none"> 			3-5 hours per week 12-20 hours total

Systems Configurations			
Tasks	Days to Complete Tasks	Staff Assigned to Tasks	Hours Required
<ul style="list-style-type: none"> 			3-5 hours per week 12-20 hours total

Communications

Tasks	Days to Complete Tasks	Staff Assigned to Tasks	Hours Required
<ul style="list-style-type: none">			3-5 hours per week 24-64 hours total

Transition Enrollments

Tasks	Days to Complete Tasks	Staff Assigned to Tasks	Hours Required
<ul style="list-style-type: none">			3-5 hours per week 24-64 hours total

Day-to-Day Operations

Tasks	Days to Complete Tasks	Staff Assigned to Tasks	Hours Required
<ul style="list-style-type: none">			25-30 hours per week 200-240 hours total

Program Development

Tasks	Days to Complete Tasks	Staff Assigned to Tasks	Hours Required
			2-3 hours per week 24-36 hours total

Upon contract award, GT will work with DHS/DPSQA on a final implementation plan timeline.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has a wealth of experience completing large transitions while ensuring services rendered to participants and payments to employees are handled without disruption. The staff members selected for this contract have considerable experience starting new programs requiring collaboration with a contractor and the transition of a large number of participants from an existing provider.

C. Describe the proposed approach how the Prospective Contractor will ensure all requirements set forth in the RFP are met. This should include how the Prospective Contractor will track, monitor, and manage the contract and deviations.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT's approach to contract monitoring is multifaceted and includes quality control processes, internal auditing and daily review of performance/operational metrics.

Quality Control Processes

For each contract, GT completes a business implementation process, which addresses all required contract elements, including applicable program rules, manuals, laws, contracting, referral and enrollment processes, utilization management, employer eligibility, employer-directed employee eligibility, claims workflow, data file exchanges, reporting requirements, and quality indicators. Contract requirements are further disseminated into business rules, which provide an accessible library of contract-level rules and serve as the roadmap for each program.

GT exercises a quality control process on all its documents that is specifically tailored to each function delivered to participants. This includes detailed checklists, required signatures and approvals. GT also conducts continuous quality improvement and quality checks to ensure that service levels are

maintained and comply with quality assurance as outlined by DHS/DPSQA. GT's compliance team meets monthly to evaluate contractual compliance and adherence to state and federal laws. GT has numerous reports that monitor quality assurance and performance, which are reviewed by GT leadership and the appropriate committees on a routine basis. Changes are made to address areas of concern.

Internal Auditing

Over its 18 years of service, GT has completed its own internal audits as well as participated in state and federal audits. Elevating the company's processes to include internal auditing has allowed GT to create efficiencies, conduct proactive continuous quality improvement and increase state agency partners' overall satisfaction.

GT's robust internal auditing function that reviews compliance requirements for a given program against the files and data present. This includes auditing service documentation, invoicing and billing verifying that service documentation supports Medicaid claims data. As part of the company's business implementation function, it will note DHS/DPSQA's compliance requirements along with laws and regulations that apply in Arkansas. Files can be submitted to DHS/DPSQA electronically, if requested.

The internal auditing process includes a review of pre- and post-employment document requirements for self-directed employees. The company applies controls to this process through the use of checklists, peer reviews, supervisor signoffs, account reconciliations and operational metrics. In addition, GT's operational teams verify employee eligibility and "Do Not Pay" status prior to issuing payroll. For each employer, GT maintains a list of active and terminated employees. This level of sophistication within GT's record system allows for a dynamic review of all eligible and ineligible employees to proactively avoid situations that may be fraudulent, such as a terminated employee submitting time after their termination date.

Daily Operational Metrics

GT holds itself to an extremely high standard and maintains a robust set of operational metrics to ensure the company is exceeding its contracted requirements and service level agreements, as well as living up to its brand promises. Operational metrics are analyzed daily as part of the company's continuous quality improvement initiative. The type of metrics GT collects and reviews daily include: enrollments, including monthly new enrollments and the percentage of new enrollments using EVV; processing, including the percentage of new participants completing their new hire paperwork through ██████████ and employee eligibility compliance; customer service, including average speed of answer, call abandoned rate, first call resolution and open issue age; payroll accuracy, including error rate and percentage using electronic timesheets; billing, including collections percentage and unbilled percentage; operational efficiency, including the number of active participants to operational staff.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT is certified by the Commission on Accreditation of Rehabilitation Facilities (CARF), an international independent nonprofit organization that advances the quality of health and human service providers and ensures high-quality and compliant service. GT met and surpassed over 1,200 standards to earn the full three-year reaccreditation in November 2021. GT has maintained CARF accreditation since 2013 and is the only CARF-accredited national FMS provider.

D. Describe the Prospective Contractor’s approach to user acceptance testing.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has an extensive testing process. This process includes a series of unit testing and load testing. The agile process is used to oversee GT’s approach to testing.

GT technology staff regularly perform tests on file servers and backup data to ensure the accuracy of backup data and to test the disaster recovery/emergency preparedness response to a potential data event. GT has a testing schedule that includes weekly, monthly and biannual testing, as outlined in the Disaster Recovery and Emergency Preparedness Plan. GT will supply DHS/DPSQA with testing results on an annual basis, or upon request, and will include any shortcomings and/or enhancements made to maintain contract requirements. Below is GT’s Plan Testing and Maintenance schedule for all systems:

Plan Testing and Maintenance

This plan will need to be tested on a periodic basis to discover errors and omissions and will need to be maintained to address them. At a minimum, the following critical pieces to DR plan will be tested on a schedule.

Core Function	Frequency
Headquarters Facility Generator	
Server & Data Replication	
Backup Archives	
Full Plan Test	

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT takes the security and storage of protected health information seriously and has received [redacted] certification, which is the gold standard for IT security. GT’s data and record systems are maintained by a highly qualified team of developers and systems analysts. GT provides industry-leading security, ease of use and uptime for system users.

GT has a robust disaster response and emergency preparedness plan to enable the company to respond to natural disasters, fires and pandemics, as well as incidents affecting data storage and recovery. The plan includes a detailed chain of communication and command. GT’s headquarters and innovative data center have redundant power provided by batteries and a natural gas generator. GT utilizes alternate data centers, which are 100 miles from the primary operations site, for redundancy and to provide highly available systems. The company’s call center and other systems automatically scale for increased load and failover as needed. GT uses multiple forms of backups and replication to ensure data recovery. Backups and failover systems are tested frequently, and the company continues to enhance its disaster recovery and business continuity plans.

Systems are maintained to allow GT to return to full operations within 24 hours in the event of a data emergency. This recovery time is possible thanks to the company’s redundant hardware hosts for the virtual environment, along with high-availability configurations, off-site backups and redundant

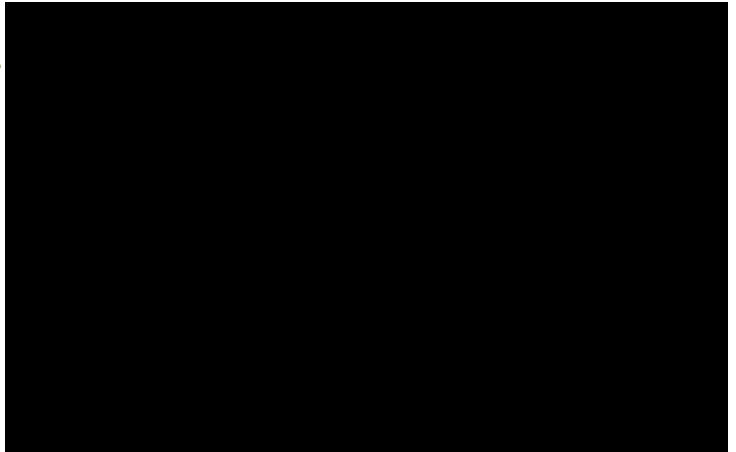
replication of servers. GT has a sophisticated approach, with the use of all electronic files, allowing the company to swiftly resume work in the event of a disaster. GT's duplicative system ensures that only 35 seconds of data will be lost.

E. Describe the approach to system support including the product release schedule, the future product roadmap, and how future releases will be implemented, including testing and training.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has developed a fully integrated proprietary information management system that allows for efficient and accurate processing of the various types of information collected and used in the execution of the company's contractual duties, including managing active and pending employers and retention of employer, employee, payroll, tax, service authorization, eligibility and budget data. GT will seek approval from DHS/DPSQA for its information management systems prior to the rendering of services.



GT has built and paid for all its current platforms. GT's systems already have the capacity to meet the needs of the State of Arkansas. There will be no additional costs to DHS/DPSQA for use of GT's software platforms. The software GT uses to perform FMS functions is listed below.

Software	Function	Status of use
[Redacted]	[Redacted]	Proprietary system developed by GT
[Redacted]	[Redacted]	Proprietary system developed by GT
[Redacted]	[Redacted]	Proprietary system developed by GT
[Redacted]	[Redacted]	Proprietary system developed by GT
[Redacted]	[Redacted]	Proprietary system developed by GT
[Redacted]	[Redacted]	Call center software already in use
[Redacted]	[Redacted]	Payroll software already in use
[Redacted]	[Redacted]	Already purchased and in use

[Redacted]
 [Redacted]
 [Redacted]
 [Redacted]
 [Redacted]

[Redacted] GT's platform has performance monitoring built in to ensure a great user experience, which includes real-time data reports through GT's user-facing online portal. Through the portal, beneficiaries will receive monthly statements, including expenditure reports and budget information.



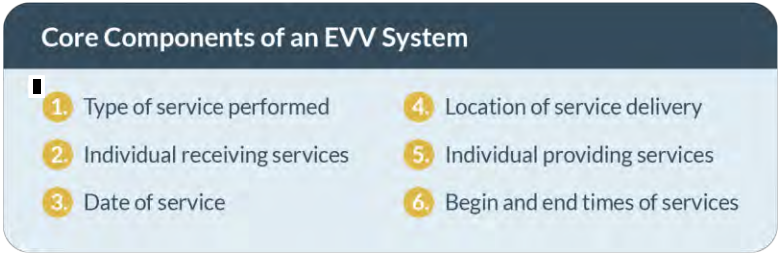
F. Describe the Proposed Contractor's EVV mobile applications including a description of functionality and support.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT will use its own EVV-Compliant Caregiver App for this program. This solution offers leading-edge online service documentation through the company's own web-based timekeeping EVV-compliant mobile application, which allows for seamless integration of EVV-compliant service documentation and reporting.

GT's state-of-the-art, award-winning Caregiver App was specifically designed for self-directed services and holds the highest mobile app ratings among similar applications. The Caregiver App captures the six core components of an EVV system. It communicates directly with GT's payroll system, which provides internal controls to ensure that only eligible employees are paid for services rendered.



The Caregiver App is tightly integrated with GT's other proprietary information systems, including its online portal and fiscal management system, which means GT's IT team can troubleshoot and problem solve without any impact to the employer and employee. The Caregiver App automatically uploads into GT's data system and is sophisticated in its ability to monitor incoming data to track participant status and other participant-related information. From there, GT is able to create a variety of reports for employers, employees and state agency staff. GT stores reports in the portal, which allows real-time access to data for state agency staff. This access also provides the ability to download information into Excel documents and the manipulation of data to draw additional conclusions.

The Caregiver App allows GT to capture relevant service data that is EVV compliant and to leverage the data in a way that is responsible and provides insight to stakeholders. Below are some of the unique features and reporting capabilities of the Caregiver App:

- **EVV Shift Details** – This report includes all the details of shifts, including differences between reported time worked and the GPS clock-in and clock-out time captured. [REDACTED]

[REDACTED] Flags include a yellow, orange and red color code based on the potential concern an activity may bring. Some potential flags include [REDACTED]

[REDACTED] A shift may be flagged for multiple reasons.

- **Manual Shifts** – Manual shifts are created when an individual does not clock in and out at the beginning and end of a shift but instead creates a shift manually by inputting relevant shift details, such as the date, start and stop time, and service provided. It's a feature that is necessary to include to ensure that participants who forget to clock in have an option to record their time worked for payment.
- **Clocked Out Early** – Clocking out early is flagged when an individual clocks out for a shift but alters their reported shift end time to be later than 15 minutes after the present time. This could be concerning if someone is not finishing their shift, however, it should be noted that this could also indicate a training issue or an employee who is frequently forgetting to clock out and deciding to do so earlier in the shift so that they remember. This report looks at an overall agency percentage and individual employer/employee relationship percentages so that

Flag	Flag Yellow	Flag Orange	Flag Red
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

stakeholders can identify and address trends. This report does not include manual shifts in its calculations.

- **Provider Question Responses** – This report taps into the invaluable information direct support professionals have about the participant served. GT utilized this unique feature during the COVID-19 pandemic. Partnering with the State of Maine on this pilot, GT asked participants two targeted questions through the app, one about COVID-19 symptoms and the other about access to food and supplies. Based on the responses, the State took action to make health-related referrals for any person who indicated COVID-19 symptoms and to increase access to food and supplies for those indicating this need. This feature is flexible and can be configured to ask any yes or no questions to an employee about the employer or themselves. Responses gathered can be reported in real time.

The app is designed to work in any location, ensuring that participants have the ability to be actively engaged in their communities. For rural or limited-service areas, the app can capture all service elements without data connectivity and store the information on the device in a secure encrypted format. When connectivity via data or Wi-Fi is restored, the service data are synced automatically with GT’s systems for payment.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

[Redacted]

[Redacted]

[Redacted]

G. Describe how the proposed system will store, receive and transmit data to the state agency system.

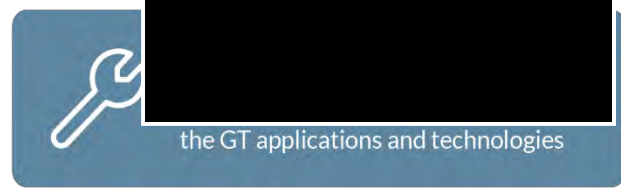
Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has developed many EDI integrations for MMIS and will use a similar process in securing an accurate exchange of transactions with the state of Arkansas. The company’s in-house IT development team will use the companion guides to develop its EDI integration. GT’s IT infrastructure team will provision accounts that require multiple layers of security, including TLS encryption. During the test phase, GT will verify the security, connectivity and accuracy of all file transfers to and from the MMIS. GT will use AES-

256 to encrypt state data at rest. In addition to the AES algorithm, TLS 1.2 or higher will be used to secure all file transfers, emails and web API calls.

GT has over [REDACTED] who design and integrate all GT applications and technologies. This team will work with the DPSQA to customize the file transfer system. GT has extensive experience with 837s and 835s. Additionally, the company has worked with multiple national and local aggregators to successfully transmit EVV and claims data. Also, GT can make any reports approved by DHS/DPSQA available through the portal.



GT complies with all HIPAA requirements. The company has systems in place as well as written policies, procedures, and internal controls that govern record management and meet all state, federal, HIPAA, and HITECH requirements. The company follows all laws for HIPAA as they apply to beneficiary/ employer privacy rights and protected health information, including EDI 837/835, 270/271, and 834, and continuously monitors for any other requirements within the GT processes.

GT employs 256-bit encryption on all electronically transmitted health information to ensure that HIPAA-compliant security levels are met and exceeded when information is transferred by email and other electronic transfer methods.

The company uses firewalls and network access protection, including VPNs, to control access to data. GT blocks authentication to systems from outside the United States. To gain access to GT networks, the user must have approved access and have a source address location within the United States.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT's commitment to high quality extends to the company's data systems. This includes obtaining H [REDACTED] [REDACTED] encompasses compliance with ISO/IEC 27000-series, HIPAA, National Institute of Standards and Technology (NIST) and Health Information Technology for Economic and Clinical Health (HITECH) standards. [REDACTED] [REDACTED] encompasses the following domains:

- Access control
- Audit logging and monitoring
- Business continuity and disaster recovery
- Configuration management
- Data protection and privacy
- Education, training and awareness
- Endpoint protection
- Incident management
- Information protection
- Mobile device security
- Network protection
- Password management
- Physical and environmental security
- Portable media security
- Risk management
- Third-party assurance
- Transmission protection
- Vulnerability management
- Wireless security

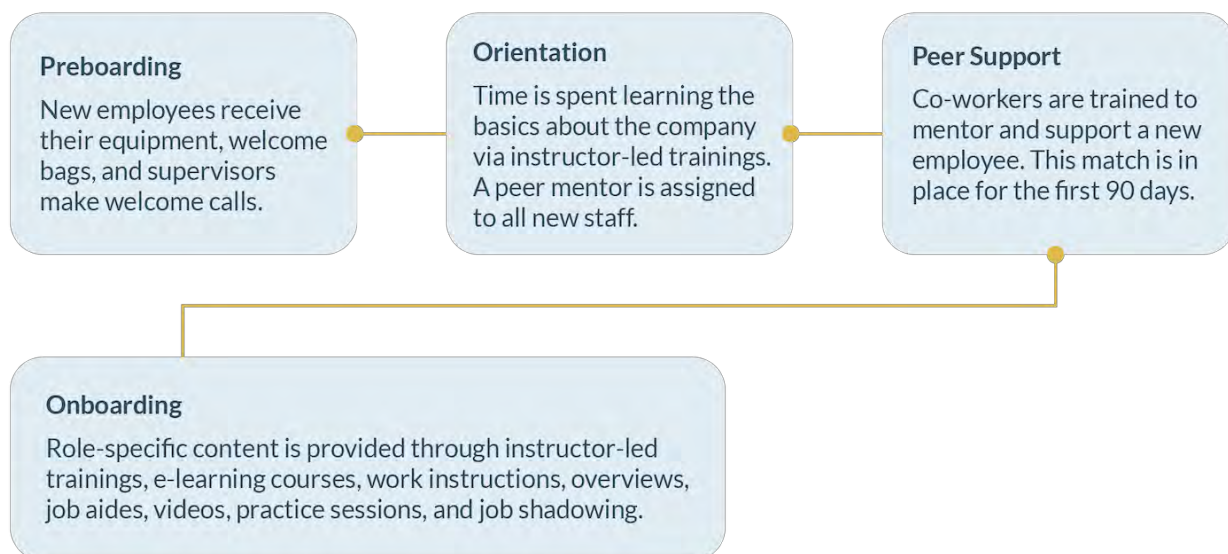
H. Describe your customer service and enrollment team’s processes, methods and training of staff.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

A well trained, skilled workforce is critical to GT’s success. Training and development are focused on the learning, training, and support of the initial and ongoing knowledge and skill acquisition of staff at all levels of the company. It is critical that systems are in place to consistently onboard staff across the company in a manner that ensures that staff are competent, confident, and contributing to their teams at the conclusion of their onboarding process, as well as having paths for continued growth throughout their tenure at GT. The goal is to increase job performance and engagement, decrease staff turnover, and provide the ability for the company’s capacity for scalability.

GT’s training curriculum for new staff consists of the following elements:



Orientation, onboarding, and ongoing staff development is supported by a knowledge base of more than 500 materials available on GT’s intranet, catalogued and maintained by the Learning and Development Team. In addition, many of these materials are linked to curricula within GT’s learning

management system. Staff have access to career pathing and ongoing development of competencies and skill building.

Staff hired to bilingual roles are required to take both a written and verbal competency test to determine their level of competency. In addition, staff are provided support through an internal multi-lingual advisory group that shares tips and tricks for translating the industry jargon associated with self-direction and financial management services.

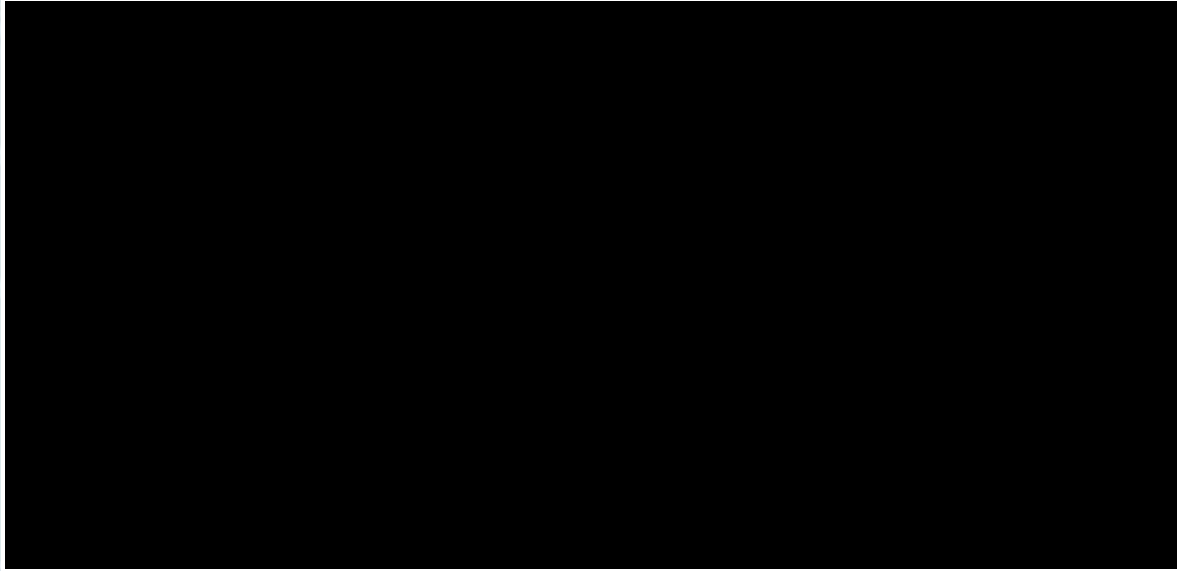
The following is a list of required courses for all GT staff.

<p>Orientation</p> 	<p>Compliance Courses</p> <ul style="list-style-type: none"> ● Limited English Proficiency Services ● Cultural Humility ● Compliance Matters ● Fraud, Waste, and Abuse ● Health & Safety: Illness & Infection Prevention, Natural Disasters, Workplace Incident Reporting and Workplace Safety ● HIPAA: Privacy and Security ● Recipient Rights ● Person Centered Thinking
<p>General Courses</p> 	
<p>Information Technology Security Courses</p> <ul style="list-style-type: none"> ● Cybersecurity Awareness – Parts 1, 2, 3 and 4 ● Cybersecurity Phishing Attacks 	<p>Management Courses</p> 
<p>Personnel Courses</p> <ul style="list-style-type: none"> ● Employee Handbook ● Harassment 	

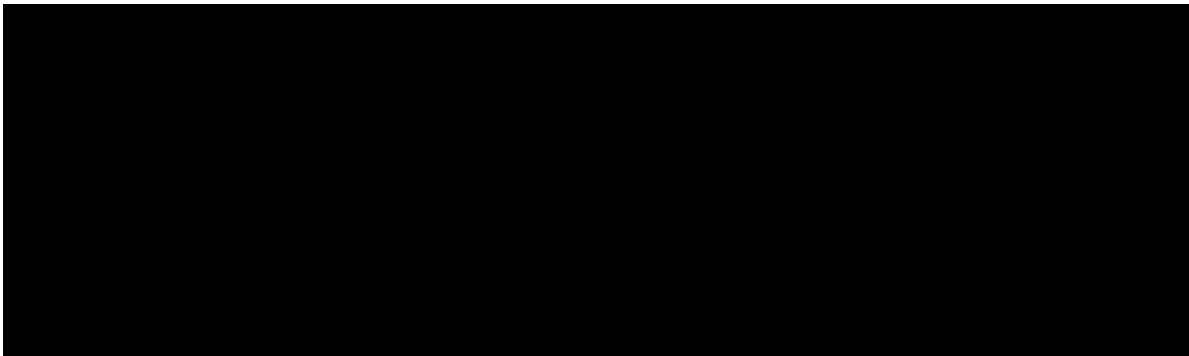
For GT’s operations and customer service staff (called Self-Determination Support Specialists), after completing the initial orientation, training over the next 90 days delves deep into operations topics, which include GT programs and processes, customer service, navigation of the billing system, payroll system and EVV system.

The tables below demonstrate GT’s operations training requirements by job title.

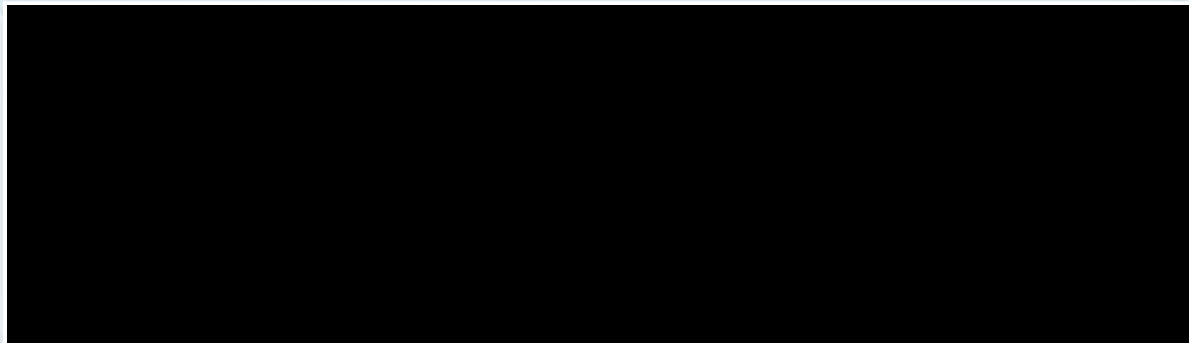
Self-Determination Support Specialist 1



Self-Determination Support Specialist 2



Self-Determination Support Specialist 3





Each operations staff member, or Self-Determination Support Specialist (SDSS), is provided with call scripts to promote consistent communication for the Arkansas program and staff have access to a knowledgebase of topics and resources in GT's intranet. To ensure quality, each SDSS has their skills and competency evaluated at 30 days and again at 90 days before interacting with and providing services to customers. The learning management system documents the completion of all training. Supervisors have access to each staff member's file and can run analytics through the system to ensure the quality of each person's work.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

In May 2021, GT received the national Great Place to Work award and was named one of the country's Best and Brightest Companies. Over the past two years, GT has averaged a 27% turnover rate, which compares favorably with the national turnover rate of 30-45% for call centers.





E.4

**Readiness, Training and
Implementation**

E.4 READINESS, TRAINING AND IMPLEMENTATION

A. Provide a detailed training plan for executing the requirements specified in section 2.5.7.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.7 Readiness, Training and Implementation Requirements, D. Training (Page 27 of the RFP) states:

"Within seven (7) calendar days from the date the State authorizes the Contractor to proceed with services, the Contractor shall provide training to the state agency and any other entities deemed appropriate by DHS, either through in-person training or virtual training to include coverage of forms, documents, online information portal, EVV system, and information necessary to set up accounts for the individuals for payments to be processed to the employees of the individuals. Contractor shall provide background check support training to clients and providers. The Contractor shall be responsible for all training materials necessary for the trainings provided."

GT believes that for an employer and employee to be successful with self-directed services, they must both have appropriate education and training. GT will offer customized trainings for all stakeholders within seven (7) calendar days from the date the State authorizes GT to proceed with services. Training will include coverage of forms and documents, the company's proprietary systems (e.g., portal and EVV system), and information to set up accounts for individuals for payments to be processed to their employees. GT has extensive experience conducting trainings to a variety of stakeholders and can deliver trainings either in-person or virtually. GT has developed a specific training guide for agency staff and will utilize this to train DHS staff on the use of the EVV system and portal. GT believes that the trainings provided to DHS staff on the use of GT's processes and proprietary systems will ensure thorough understanding of the company's assets.

This customized training begins at the enrollment meeting and will include training for the beneficiary/employer and for employees, addressing their respective roles as an employer and employee; understanding the role of the fiscal employment agent; understanding and completion of the Cash Expenditure Plan (CEP); program rules; training for prevention and reporting of abuse, neglect, and exploitation; training for prevention and reporting of Medicaid fraud; and also, for employers, selecting employees who meet the necessary qualifications, techniques for the successful management of employees and backup planning. Appropriate support will be provided to ensure an individualized approach to training that is attentive to cultural diversity and learning style. GT will ensure that beneficiaries and employees understand the materials presented and have the opportunity to ask questions. GT delivers training in multiple formats and tests for competency as training is completed. Additionally, GT offers face-to-face training, video training, online training through the GT portal, written training and ongoing phone support on these same training topics.

Through its employment eligibility requirements, GT outlines what training is required in order to provide services. This allows GT to confirm that necessary employee training has been completed before the employee is paid for providing services. In addition, GT has the flexibility to add additional training requirements if the beneficiary desires additional training for their employees. GT's robust system flags employees who have not completed required training. The customer service team follows up with flagged employees until training requirements have been met. Beneficiaries, employees and the state

have access to view the status of employee eligibility items, including training, through GT’s secure portal.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT founded the company based on a person-centered approach that includes person-centered enrollment meetings, as well as the GT portal for direct access to real-time reporting [REDACTED]

[REDACTED]

The company believes strongly that the training provided during these meetings provides a solid foundation for individuals to be successful in self-directing their services. Feedback from individuals and stakeholders has supported this. In addition, GT has provided a survey in the employer enrollment packet seeking feedback from individuals on the effectiveness of the training and their sense of preparedness moving forward. GT’s overall enrollment survey scores average 97.29% in all areas.

GT’s customer service associates are also available to assist program participants and DHS staff with any questions or issues that arise while using the EVV system.

B. Describe the Prospective Contractor’s approach to providing orientation and skills training on using Contractor’s automated interface system for individual/designated representatives and DHS contacts as part of its technical response to this RFP.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT’s company philosophy mirrors the philosophy and practice of self-directed services in Arkansas. It is at the core of self-determination to empower beneficiaries and give them more freedom in managing their services and supports. This approach allows beneficiaries to direct which services and supports they receive, when those services are delivered, who delivers them, and how they are delivered. During the enrollment process and skills training, GT provides education and training to the beneficiary/employer related to their duties of managing their employees, including recruiting, hiring, training, scheduling, managing and firing. This training also includes education about employer and employee roles and responsibilities. A job description and employment agreement are developed by the employer and signed by both the employer and the employee during the enrollment meeting in order to demonstrate understanding and confirmation of these job roles and the resulting agreement.

GT’s Caregiver App allows the employer to review and approve all services provided by the employee. This feature helps solidify and secure the employer’s role in directing their employee services. GT has developed and implemented multiple forms of support for ongoing training related to complete and

compliant submission of service documentation. The Caregiver App features tutorials that offer support to employer and employees. These tutorials address topics such as clocking in and clocking out, on-the-spot shift approvals and bulk shift approvals, shift status at a glance, submitting service tasks and notes, and providing an attestation for submitted time through the form of a signature. Additionally, GT offers face-to-face training, video training, written training and ongoing phone support on these same training topics.

GT was founded on the idea of person-centered financial management services and has enrolled and provided skills training focused on understanding and executing the employer role to more than 25,000 beneficiaries and their employees.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has developed customized training programs and even has tools built into its system to track training compliance as well as verify this compliance before issuing pay to an employee. Out of this great need for training and resources related to self-direction, GT has developed a library of tools and resources, which are available in the Resources and Tools section of the GT website. This section of the website includes self-direction resources, access to the GT portal, links to GT's Caregiver App, and a link to access GT's Disability Garrison Podcast. Please visit gtindependence.com/resources-and-tools/ to see this resource.



Relevant Attachments for E.4

- Attachment 19 – Sample EOR Training Checklist (Pages 231-233)
- Attachment 20 – Sample Training Attestation Form (Page 234)



E.5

| Enrollment

E.5 ENROLLMENT

A. Describe the process of enrolling individuals in the self-directed program.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT will draw on its deep history of supporting beneficiaries to implement an enrollment process and develop a customized training program for the Arkansas self-directed programs.

The enrollment process begins with GT's receipt of the referral. GT then establishes the beneficiary in GT's account system and denotes the account as pending. Within one business day, the GT enrollment team reaches out to the beneficiary or surrogate employer to schedule and coordinate a meeting with the employer and employees. During the meeting, GT verifies the eligibility of all employees, explains and executes all documents, and provides training to both the employer and employees.

GT completes each new enrollment within five to seven business days from the receipt of the referral unless there is a delay due to the beneficiary/employer being unavailable or unresponsive. In addition, the processing team provides an additional layer of review on all new enrollment forms to ensure quality and a timely start date.

GT has a well-established referral workflow to ensure all aspects of the person-centered enrollment process are completed in an accurate and timely manner, as is demonstrated below:



Successful enrollment, training and support are key to beneficiaries' ability to fully exercise their employer and budget authority. During the enrollment process and skills training, GT provides education and training to the beneficiary/employer related to their duties of managing their employees, including recruiting, hiring, training, scheduling, managing, and firing. This training also includes education about employer and employee roles and responsibilities. Job descriptions and employment agreements are developed by the beneficiary and signed by both the employer and the employees during the enrollment meeting to demonstrate understanding and confirmation of these job roles and the resulting agreements. At the enrollment meeting, the employer and employees also receive training on how to use the Caregiver App and the GT portal.

GT was founded on the idea of person-centered financial management services and has enrolled and provided skills training focused on understanding and executing the employer role to more than 25,000 beneficiaries and their employees.

GT provides a survey in the employer enrollment packet seeking feedback from employers on the effectiveness of the training and their sense of preparedness moving forward. GT's overall enrollment

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has developed a dedicated compliance team to enhance services and drive continuous quality improvements throughout the company. This team focuses on contractual compliance, health and safety requirements for beneficiaries, and adherence to state and federal laws. GT exercises a quality control process on its documents that is specifically tailored to each function it delivers to beneficiaries; this process includes detailed checklists, required signatures, and approvals. GT believes this is not just a legal responsibility, but a reflection of the company's core values and a way to ensure that GT is delivering on its promise of providing quality service to the self-direction community.

Upon contract award, GT will work with DHS/DPSQA to clearly document employee eligibility requirements, including any required background checks and List of Excluded Individuals/Entities (LEIE) checks. If a person does not successfully pass a background investigation requirement, GT's Director of Compliance conducts a second-level review to ensure the correctness of this information. This staff member confirms the employee's ineligibility and then communicates such in writing to the individual and the beneficiary. This documentation is stored electronically for internal and future auditing purposes.

In addition to completing the enrollment process, the GT processing team visually verifies the Form I-9 Employment Eligibility Verification, Form W-4 Withholding Certificate, forms relating to the employees' preferred payment method, relationship disclosure, job description and employment agreement provided by the employee. All documents undergo a secondary review by a peer to ensure that employees meet the eligibility standards. This required human touchpoint further enhances the integrity of the process to protect the beneficiary and employee as well as assist DPSQA in meeting compliance requirements aimed at combating fraud, waste, and abuse.

B. Provide a sample Beneficiary/Employer enrollment packet as part of its technical response meeting the requirements in section 2.5.9.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP. 2.5.9 G within Enrollment Requirements (Page 24 of the RFP) states:

"The Contractor shall develop a Beneficiary/Employer enrollment packet that contains the following information regarding financial management services and operations without limitation:

1. *General information about the Contractor and the enrollment process/directions;*
2. *Hours of operation;*
3. *Contact information;*
4. *Roles and responsibilities of the Beneficiary, Employer, and the Fiscal Employment Agent;*
5. *Federal and state forms the employer must complete, sign and return, including:*
 - a. *IRS Forms:*
 - i. *SS-4, Application for Employer Identification Number;*
 - ii. *2678, Employer/Payer Appointment of Agent*

iii. 8821, Tax Information Authorization

6. Beneficiary Intake form;
7. Designation of Surrogate Employer form; and
8. Other applicable consent and agreement forms.”

GT believes that a positive person-centered enrollment experience is the foundation to developing a relationship and building trust with a new beneficiary/employer. One aspect of GT’s person-centered enrollment experience is the hands-on completion of employer and employee paperwork contained in the Beneficiary/Employer Enrollment Packet.

For the Arkansas contract, GT will develop an enrollment packet that contains all forms, agreements and supporting documentation required in the RFP and will seek approval from the DHS prior to the go-live date. During this approval process, GT’s implementation team will collaborate with DHS to ensure the required elements are present. After the package is approved, GT will integrate the packet into the company’s e-enrollment system.

Included as Attachment 21 is a sample Beneficiary/Employer Enrollment Packet for the State of Arkansas and contains sample documents broken down into the following sections:

- Employer Responsibilities and Enrollment Forms
- Employer Tax Forms
- User Guides and Training Materials
- Notice of Privacy Practices and Grievance Policy

GT will collaborate with DHS on a final version of the package upon contract award.

Employer Responsibilities and Enrollment Forms

GT’s Beneficiary/Employer Enrollment Packet contains documents that define the roles and responsibilities of the FMS and the employer, as well as forms that collect all necessary employer information. GT’s contact information, including the company’s toll-free number, fax, and customer service email address, are on the bottom of every form to ensure employers always have the information easily at hand. The packet contains the following sample documents that will be customized for Arkansas upon contract award:

- **Fiscal Intermediary Agreement** – This agreement defines the roles and responsibilities of all parties, including GT as the fiscal intermediary and the employer.
- **Person Served Information Form** – This form collects the employer’s legal name, address, phone number, social security number and other pertinent contact information.
- **Self-Determination Appointment of Representative Form** – The employer has the option of designating a guardian, family member or other supporter to help with their employer responsibilities. This form collects that representative’s name and contact information.
- **Email Consent Form** – Sending health information by email contains risks. This form allows the employer to consent to or opt out of submitting or receiving health information by email.
- **Self-Determination Employment Agreement Form** – Signed by both the beneficiary/employer and employee, this form ensures the employee agrees to GT’s terms for providing safe, respectful and competent care to the employer. It also asks the employee to agree to the compensation terms.
- **Job Description** – The beneficiary/employer and employee are asked to sign this form agreeing to the job duties and functions listed in the document.

- **Back-Up Worker Form and Instructions** – Each enrollment packet includes a back-up plan to address service care continuity and ensure health and safety needs are met. In addition, beneficiaries/employers are provided with access to the Caregiver Link, which includes a list of credentialed caregivers and vendors. Beneficiaries/employers can review a caregiver’s training, certification, background check dates, languages spoken and contact information. This is a great resource to assist beneficiaries with filling their authorized hours of care as well as creating a sustainable back-up plan.
- **Training Attestation Form** – GT has developed a variety of different trainings that are available to stakeholders via GT Tools on the company’s website. Topics include, but are not limited to, HIPAA; basic first aid; CPR/AED; FAST stroke assessment; reporting fraud, waste or abuse; good nutrition; housekeeping; meal planning and preparation; interpersonal skills; cultural differences; behavioral support needs and a host of other relevant topics. A sample training list for employers and employees is contained in the packet. Upon contract award, GT will work with DHS/DPSQA to develop an appropriate list of trainings for beneficiaries/employers and employees. Beneficiaries and employees are required to sign and submit to GT the Training Attestation Form documenting the trainings they completed and the date.

Employer Tax Forms

Tax forms can be confusing and overwhelming. During the in-person enrollment meetings, GT counselors assist employers in understanding and completing all required forms, including forms to establish the participant as an employer. This section contains the following federal and state tax forms for the employer:

Federal Forms

- **SS-4, Application for Employer Identification Number** – GT establishes a Federal Employer Identification Number (FEIN) for each employer the company represents. During the person-centered enrollment process, a GT counselor executes IRS Form SS-4, Application for Employer Identification Number. Within five days of enrollment, GT’s processing team submits and obtains the individual FEIN for each employer as a “home care service recipient.”
- **Form 2678, Employer/Payer Appointment of Agent** – GT is an approved fiscal/employer agent included in Section 3504 of the IRS Code, IRS Revenue Procedure 70-6 and Revenue Procedure 2013-39. Each electronic enrollment packet contains a pre-populated IRS Form 2678, Employer/Payer Appointment of Agent, for the employer to sign. A GT processing specialist then files the form with the IRS.
- **Form 8821, Tax Information Authorization** – Form 8821 authorizes the IRS to disclose the employer’s confidential tax information to GT. This form comes pre-populated in the enrollment package.

State of Arkansas Forms

- **AR-1R** – To register as an employer in the State of Arkansas, employers are required to complete a Business Tax Registration Form.
- **DWS-AR-201** – This form, from the Arkansas Department of Workforce Services, allows GT to process unemployment tax on behalf of the employer.
- **State of Arkansas Power of Attorney** – This form gives GT the authority to fill out and submit state forms on behalf of the employer.

User Guides and Training Materials for GT's Technology Systems

To support employers with utilizing GT's proprietary technology systems, including the Caregiver App and web portal, GT includes information flyers and user guides in the enrollment packet. Training materials have been developed specifically for beneficiaries/employers who will be hiring and managing their own caregivers. Enrollment packet materials provide information on GT's technology systems, instructions on how to create a user account and where to find additional training resources. These resources are designed to supplement the personal training beneficiaries receive during the person-centered enrollment meetings with a GT counselor.

Notice of Privacy Practices and Grievance Policy

In each employer package, GT includes a detailed Notice of Privacy Practices document to inform the employer about their rights and what information may be used or shared. Additionally, GT's Grievance Policy instructs employers on how to file a grievance or complaint if they suspect fraud, waste, abuse, neglect or a rights violation. The document provides a summary of GT's internal process for reviewing and investigating grievances once filed and directs the employer to additional trainings and videos created by GT to assist them in filing a grievance. Employers are required to sign an acknowledgement that they have read and understand both the Notice of Privacy Practices and Grievance Policy documents.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

Embracing technology has proven to be an effective way to remove barriers to self-determination. GT's proprietary [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

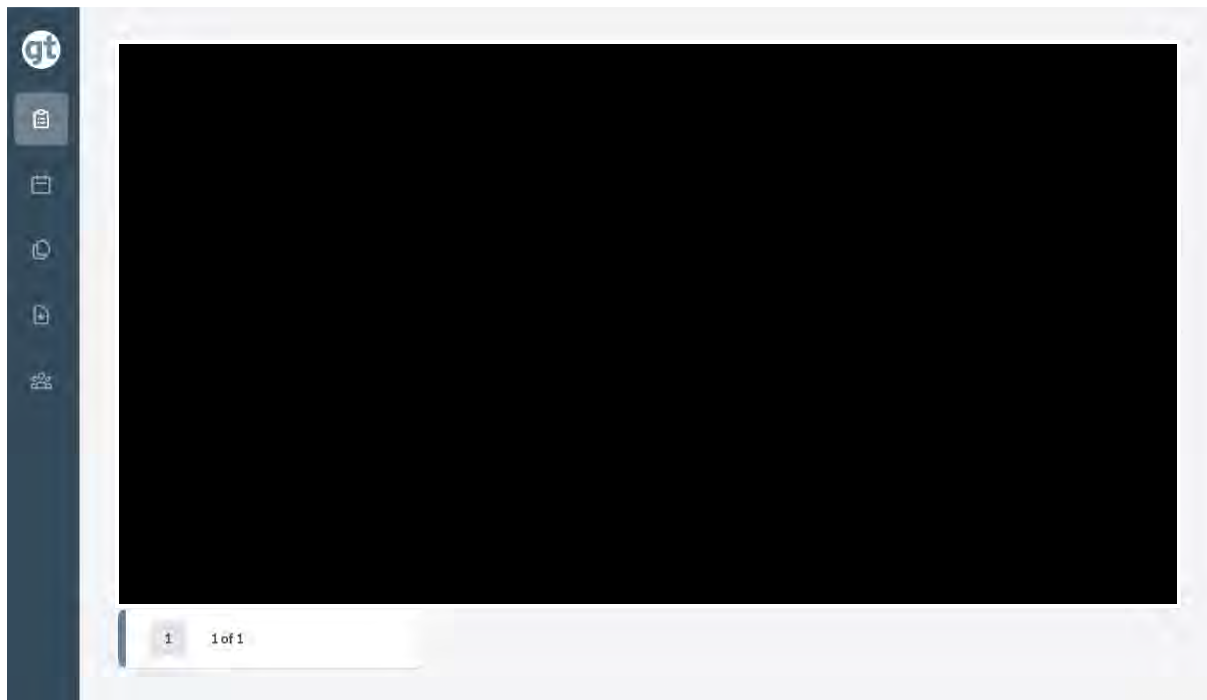
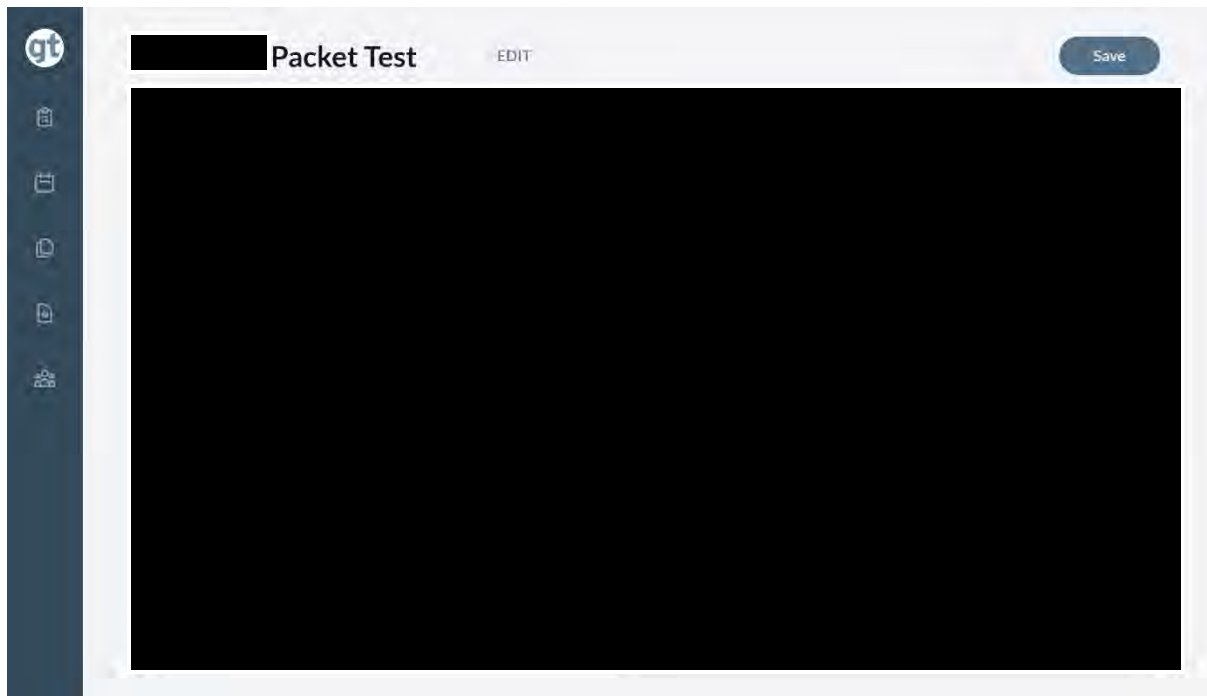
[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]



C. Provide a sample employee employment packet as part of its technical response meeting the specifications in 2.5.9 G, H, F.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

Please see the section immediately preceding for GT's response to 2.5.9 G.

2.5.9 F and H within Enrollment Requirements (Page 24 of the RFP) state:

“F. The Contractor shall receive notice solely from DHS of a Beneficiary approved for self-directed services. DHS will notify the Contractor of any updates to such information (e.g., new Beneficiary/Employers, changes in authorized budget changes, termination of individual services, etc.) throughout the effective period of the contract. Upon the Contractor’s receipt of notice from DHS of Beneficiaries approved for self-directed services and budget authorizations, the Contractor shall assist the Beneficiary in completing their enrollment requirements and ensure that the individual’s enrollment packet is timely and correctly completed. The Contractor shall understand and agree that DHS is not responsible for assisting in the completion of the enrollment packet or reviewing/approving the completed enrollment packet.

- 1. Prior to a Beneficiary/Employer participating in the self-directed services model, the Contractor shall provide initial and continued trainings regarding the topics required by DHS, which shall include without limitation:
 - a. Understanding the role of Beneficiary/Employer in the Self-Direction Management Service model, as applicable;*
 - b. Understanding the role of the FEA, as applicable;*
 - c. Understanding and completion of the Cash Expenditure Plan (CEP);*
 - d. Selecting Employees who meet qualifications (as specified in employee qualification section);*
 - e. Training, including abuse, neglect and exploitation prevention and reporting;*
 - f. Being an employer, evaluating Employee performance, and managing Employees;*
 - g. Medicaid fraud and abuse prevention and reporting;*
 - h. Using the Contractor’s Timekeeping System, including the required use of Electronic Visit Verification (EVV) set up and ongoing support for Employers and Employee(s) and the role of the Beneficiary/Employers in ensuring Employee’s proper use of the Timekeeping system;*
 - i. The responsibility of verifying Employee’s time for accurate and timely payroll;*
 - j. Using the Contractor’s web portal;*
 - k. Scheduling Employees and Back-up Planning; and*
 - l. Assessing and certifying the Employer is equipped to Self-Direct services effectively based on training provided.**
- 2. The Contractor shall make trainings available with a person-centered approach, specific to the Beneficiary/Employer via (1) online web-based, (2) telephone, and (3) face-to-face at a location mutually agreed upon between the Contractor and the individual if the first two options are not feasible. Group training sessions can be held with multiple Beneficiaries/Employers when training topics are operational in nature and do not risk HIPAA exposure.
 - a. Person Centered Planning events may be held in any setting so long as the chosen people are able to be present and attend in that format (i.e., virtual meeting, conference phone call, in-person). While beneficiaries may not request additional people for every communication or contact with the contractor, any communication or contact should be rescheduled to include the additional people upon a request from the beneficiary.*
 - b. The Contractor must conduct a face-to-face home visit, with the Beneficiary/Representative present, at least once per year to discuss budget based on annual reevaluation. During home visits the contractor shall evaluate health, safety, and well-being of the beneficiary and provide counseling to address beneficiary/representative’s concerns. The contractor shall document visits and identify potential risks or concerns detected during the home visit. Upon identification of a potential risk or concern during the home visit, the Contractor shall immediately file a**

report with Adult Protective Services (APS) and/or Child Protective Services (CPS). The Contractor shall notify and complete a form provided by DHS/DPSQA, within twenty-four (24) hours of filing a report.

- c. Some individuals may require retraining by the Contractor as needed.*
- 3. The Contractor shall ensure that the individual completes the required enrollment paperwork and training within sixty (60) calendar days after the date of referral notice from the State.*
- 4. The Contractor shall report on or before the 28th day, to DHS, any employer enrollment expected to take longer than sixty (60) calendar days. The Contractor shall immediately report to DHS any extenuating circumstances that arise after the 58th calendar day. The report must specify, in detail, the basis for the expected delay. DHS, in its sole discretion, may impose sanctions on the Contractor for failure to report as required or failure to enroll an employer within the mandatory timeframe.*
- 5. The Contractor shall immediately notify DHS/DPSQA if, at any time for any reason, the client is unable to participate in the self-directed program.”*

“H. The Contractor shall develop an employment package for Employer’s employees including, but not limited to, the following:

- 1. General information about the Contractor and the enrollment process/directions;*
- 2. Employment application;*
- 3. Federal and state forms and instructions, such as:*
 - a. IRS Form W-4;*
 - b. AR4EC – State of Arkansas Employee’s Withholding Exemption Certificate; and*
 - c. USCIS Form I-9.*
- 4. Agreements and informed consent documents to enroll Employees into the Contractor’s system;*
- 5. Worker Information and Qualification Form;*
- 6. Employee Responsibilities and Attestation Form; and*
- 7. A Personal Identification Number (PIN), commonly referred to as a provider number, is required for all caregivers who will be using EVV for personal care, attendant care, and respite services and must be enrolled with Arkansas Medicaid prior to providing services. Upon enrollment, the caregiver will receive a PIN.*
- 8. The Contractor must verify that the provider/employee has obtained a Medicaid provider ID prior to being paid. Each provider/employee should receive documentation when ID numbers are assigned and activated. Medical provider ID numbers must be retained in the Contractor’s system.”*

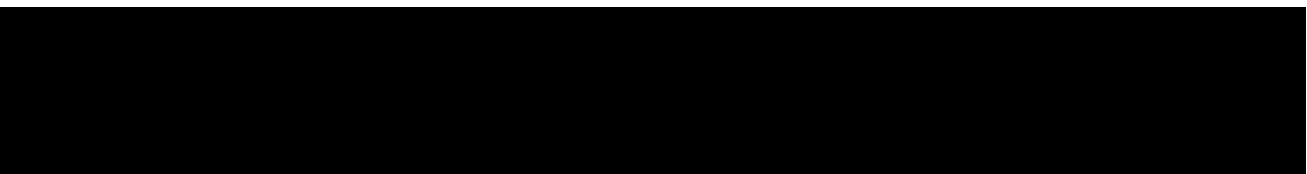
In affirmation of 2.5.9 F1, GT understands that notice of a beneficiary approved for self-directed services will come solely from DHS. Upon receipt of notice from DHS of beneficiaries approved for self-directed services and budget authorizations, GT will contact the beneficiary to set up a time for a person-centered enrollment meeting. GT understands and agrees that DHS is not responsible for assisting in the completion of the enrollment packet or reviewing/approving the completed enrollment packet.

GT will develop a customized training suite for the beneficiary/employer and employees addressing all the requirement of the State of Arkansas. GT believes that for an employer and employee to be successful with self-directed services, they must both have appropriate education and training. This

customized training begins at the enrollment meeting and will include, but not be limited to, the following:

- Training for the beneficiary/employer and for employees, addressing their respective roles as an employer and employee within the Self-Direction Management Service model;
- Understanding the role of the fiscal employment agent;
- Understanding and completion of the Cash Expenditure Plan (CEP);
- Qualifications for employees and the selection process;
- Training for prevention and reporting of abuse, neglect, and exploitation, as well as reporting procedures;
- Techniques for the successful management of employees and evaluating employee performance;
- Training for prevention and reporting of Medicaid fraud, as well as reporting procedures;
- Using GT's Caregiver App for recording and submitting service documentation, including setting up an account, where to go for ongoing support and the role of the beneficiary/employer in ensuring employee's proper use of the system;
- The responsibility of verifying employee's time for accurate and timely payroll;
- Using GT's online portal, including setting up an account and how to locate and read reports (including monthly budget reports);
- Scheduling employees and back-up planning; and
- Assessing and certifying the employer is equipped to self-direct services effectively based on training provided.

Appropriate support will be provided to ensure an individualized approach to training that is attentive to cultural diversity and learning style. GT will ensure that beneficiaries (and their designated representatives, if applicable) and employees understand the materials presented and have the opportunity to ask questions. GT delivers training in multiple formats and tests for competency as training is completed.



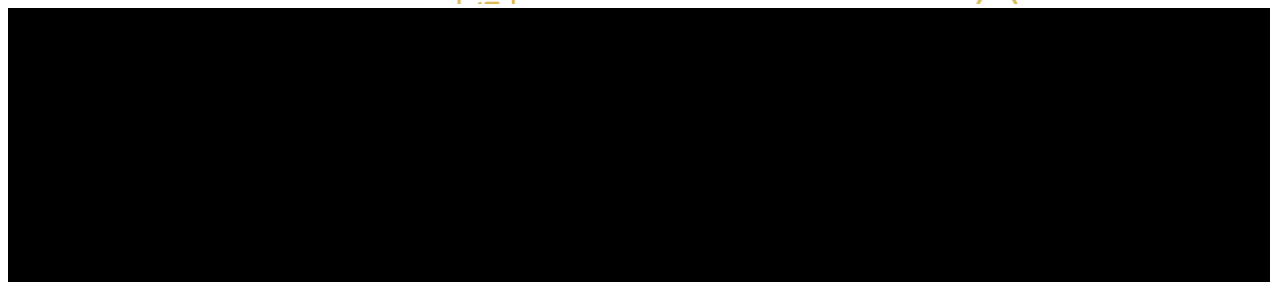
In affirmation of 2.5.9 F2, GT has the capacity to develop and deliver a customized training suite in a number of different formats to ensure beneficiaries can participate in a method that is most comfortable for them. GT offers video training, online training through the portal, written training, face-to-face training at a location mutually agreed upon between GT and the individual, as well as ongoing phone support on these same training topics. Training for the Arkansas program will be divided into modules that can be completed in one session. A training suite can have a few modules or many, depending on how intensive the program requirements are. Modules will include an agenda and objectives for the module, practical exercises to aid in retention, handouts to be kept by the trainee, and an evaluation of the module. GT will make group training sessions available and focus on operational topics so as not to risk HIPAA exposure. The company can also provide Person Centered Planning Events

in any setting (i.e., virtual meeting, conference call, in person) as long as the individuals are able to be present and attend in that format.

GT will conduct a face-to-face home visit with the beneficiary and/or representative at least once a year to discuss their budget based on their annual reevaluation. During the home visit, GT's counselor will evaluate the health, safety and well-being of the beneficiary and provide any counseling to address beneficiary and/or representative's concerns. The content of all visit will be documented, along with potential risks or concerns detected during the home visit. GT staff members are trained in the completion of written incident reports whenever they become aware of an issue that impacts the health, safety or welfare of a beneficiary, such as in the event that an employee is not providing the services for which they are submitting service documentation. Incident reports are immediately provided to GT's Compliance Director, who will report the issue to DHS/DPSQA and begin an investigation. If the incident is determined to be critical, all appropriate contacts will be made, such as to Adult Protective Services, Child Protective Services or law enforcement, as applicable. Counselors will also provide retraining to the beneficiary as needed during the home visit.

In affirmation of 2.5.9 F3, F4 and F5, GT will ensure that the individual completes the required enrollment paperwork and training within sixty (60) calendar days after the date of referral notice from the State. On or before the 28th day, GT will report to DHS any employer enrollment expected to take longer than sixty (60) calendar days and will immediately report to DHS any extenuating circumstances that arise after the 58th calendar day. The report will document the basis for the expected delay. GT will also immediately notify DHS/DPSQA if, at any time and for any reason, the client is unable to participate in the self-directed program.

GT's counselors understand that providing a quality person-centered enrollment process is critical to building a relationship with a new employer. GT's enrollment team completes each new enrollment within [REDACTED] on average. Once completed, forms are automatically pulled into GT's secure file management system and formatted electronically with the required signatures, along with the supporting documents required by law for employability. GT uses a sophisticated and secure document management software system with permission-based access to store all participant documents. These documents include participant records, budget(s), purchase orders and requests, authorization records, FEIN application, and state and federal tax forms. All documents are stored electronically in the participant's file. The document management software used by GT was recently awarded the Quality Innovation Award from the Finnish Quality Association.



GT's processing team provides quality oversight of all new enrollment forms to ensure accuracy of completion and a timely start of services. A customer service associate calls the employer within three to five days of enrollment completion to ensure the employer is satisfied with the service and to answer any questions. Operations Managers provide oversight and monitor any packet documents that are more than three business days old. GT ensures that files are accurate, protected and stored electronically, while confirming the current employability status of all employees.

In affirmation of 2.5.9 H, GT's person-centered enrollment experience also includes developing a relationship with the beneficiary's employee. Employees who have been identified prior to the in-person enrollment meeting are invited to attend so they can receive hands-on training from a GT counselor with the beneficiary, while also completing required forms at the same time.

In addition to developing a Beneficiary/Employer Enrollment Packet, GT also compiles and pre-populates enrollment forms for employees. As with the Beneficiary/Employer Enrollment Packet, GT will develop an employee enrollment packet that contains all forms, agreements and supporting documentation required in the RFP and will seek approval from the DHS prior to the go-live date. Included as Attachment 22 is a sample Employee Enrollment Packet for the State of Arkansas and contains sample documents broken down into the following sections:

- Employee Information Forms
- Employee Tax Forms
- User Guides and Training Materials
- Instructions on Obtaining a Personal Identification Number

GT will collaborate with DHS on a final version of the packet upon contract award.

Employee Information Forms

GT's employee information forms contain the following sample documents that will be customized for Arkansas upon contract award:

- **Employee Packet Information and Instruction Sheet** – This cover sheet serves as a guide on the documents contained in the package. It explains each document to the employee and ensures they complete all the required forms. GT will work with DHS upon contract award to customize this information and instruction sheet for all the required elements of the Employee Enrollment Packet.
- **Provider Information Form** – This form collects the employee's legal name, address, phone number, social security number and other pertinent contact information.
- **Employment Application** – The Employment Application collects the employee's education and employment background.
- **Criminal Record and/or Driving Record Consent Form** – GT asks for the employee's length of current residence, previous residence, authorization to obtain and consent to release criminal history/driving record and if the employee has a valid driver's license.
- **Relationship Disclosure Form** – The information on this form is used to determine the eligibility of a relative or legal guardian before they are approved to provide employee services and whether the employees may be exempt from paying FICA, FUTA and SUTA taxes.
- **Live-In Form** – When the employer and employee live at the same address, a Live-In form is required. This form helps GT determine if the employee is exempt from overtime and from federal income tax.

- **Self-Determination Employment Agreement** – This form ensure the employee agrees to GT’s terms for providing safe, respectful and competent care to the employer. It also asks the employee to agree to the compensation terms.
- **Job Description** – The beneficiary/employer and employee are asked to sign this form agreeing to the job duties and functions listed in the document.
- **Medicaid Provider Agreement** – This agreement explains the requirements the employee has as a Medicaid provider and to ensure consent with 42 USC 1902 (a)(27).
- **Preferred Payment Method Form** – The employee has the option of selecting how they would like to get paid, either from a pay card or by direct deposit.
- **Caregiver Link Application** – Caregiver Link is GT’s proprietary recruiting database. The tool provides access to prescreened employees for employers who are recruiting. Employees can opt to have GT post their information and work preferences to the directory for employers to view.

Employee Tax Forms

During in-person enrollment meetings, GT counselors assist employees in understanding and completing all required forms, including tax forms. This section contains the following federal and state tax forms for the employee:

- **W-4, Employee’s Withholding Certificate** – This form is required by all employees to determine their exemptions for federal income tax.
- **AR4EC State of Arkansas Employee’s Withholding Exemption Certificate** – This state form is filed with the employer and allows the employee to claim withholdings.
- **USCIS Form I-9, Employment Eligibility Verification** – This form, from the US Department of Homeland Security, documents the citizenship status and right to work of the employee.

User Guides and Training Materials for GT’s Technology Systems

To support employees with utilizing GT’s proprietary technology systems, including the Caregiver App and web portal, GT includes information flyers and user guides in the enrollment packet. Training materials have been developed specifically for employees who will be entering and tracking their work time through the App. Enrollment packet materials provide information on GT’s technology systems, instructions on how to create a user account and where to find additional training resources. These resources are designed to supplement the personal training employees receive during the person-centered enrollment meetings with a GT counselor.

Instructions on Obtaining a Personal Identification Number

GT will work with DHS to develop a user guide for employees on obtaining a Medicaid provider PIN through Arkansas’ online system. A Practitioner Identification Number Request Form from the state will be included in the packet. To ensure employees have obtained a PIN prior to being paid, GT will add a field in its employee enrollment form that asks for the PIN. This will be a required field and prospective employees will not be able to begin providing services until this information has been obtained by GT.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.





Relevant Attachments for E.5

- Attachment 21 – Sample Beneficiary/Employer Enrollment Packet (Pages 235-272)
- Attachment 22 – Sample Employee Enrollment Packet (Pages 273-305)



E.6

| **Data Access and Maintenance**

E.6 DATA ACCESS AND MAINTENANCE

A. Describe the proposed web-based portal, or a comparable mechanism, meeting the requirements of Section 2.5.3 to store service documentation and monthly summaries for the Beneficiaries/Employers, including the ability to upload service documentation and monthly summaries to the Contractor’s system. The proposed mechanism must be accessible to DHS for the purposes of reviewing service documentation and monthly summaries.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.3 Project Organization and Management Requirements (Page 17 of the RFP) states:

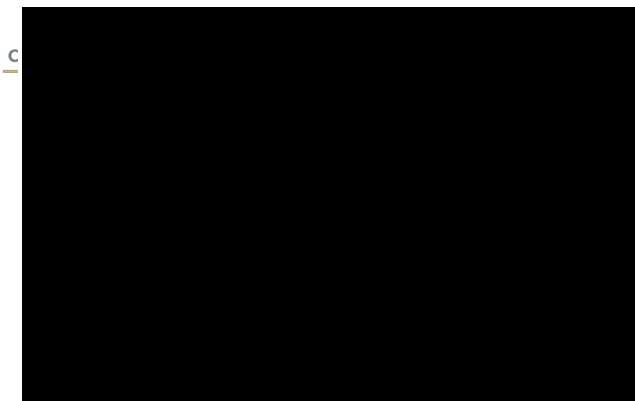
“A. The Contractor shall create and maintain a quality management system supported through an integrated data system to manage active and pending populations. The system must be approved by DHS/DPSQA prior to rendering of services.

- 1. The Contractor must have a robust software system with capability to store, transmit and receive data from the Arkansas DHS Medicaid Management Information System (MMIS), DPSQA and Employment Clearance Registry System (ECRS) data. The Contractor shall provide all data related to this contract directly to the Division of Provider Services and Quality Assurance (DPSQA) upon request by DPSQA and as required in Attachment C: Performance Based Contracting.*
- 2. Contractor must provide a web-based portal, or a comparable mechanism, to provide state agency access to reports, dashboards and other data.*

B. Contractor’s EVV system must integrate with the State’s EVV system and meet the State’s third-party certification criteria (See Section 2.5.18 Electronic Visit Verification System).

- 1. The software system must be web-based and must not require any software installation at the user sites, other than security certificates and browser plug-ins/controls.*
- 2. Security controls must maintain system backups per industry standards.”*

In affirmation of 2.5.3 A.1, GT has developed a fully integrated proprietary information management system that allows for efficient and accurate processing of the various types of information collected and used in the execution of the company’s contractual duties, including managing active and pending employers and retention of employer, employee, payroll, tax, service authorization, eligibility and budget data. GT will seek approval from DHS/DPSQA for its information management systems prior to the rendering of services.



GT has developed many electronic data integrations (EDI) for Medicaid Management Information Systems (MMIS) and will use a similar process in securing an accurate exchange of transactions with the State of Arkansas MMIS, DPSQA and ECRS. The company’s in-house IT development team will use companion guides to develop its EDI integration. GT’s IT infrastructure team will configure secure FTP accounts that require TLS encryption in its on-premises data center. During the test phase, GT will verify the security, connectivity and accuracy of all file transfers to and from the MMIS, DPSQA and ECRS. GT

will use AES-256 to encrypt state data at rest. In addition to the AES algorithm, TLS will be used to secure all file transfers, emails and web API calls. GT will provide all data related to this contract directly to DPSQA upon request and by DPSQA and as required in Attachment C: Performance Based Contracting.

GT has a team of developers who will work with DPSQA to customize the file transfer system to meet the needs of the State of Arkansas. GT has an enhanced system that has a high level of security and offers a portal with access to real-time reporting. GT follows all laws for HIPAA as they apply to beneficiary/employer privacy rights and protected health information, including EDI 837/835, 270/271, and 834, and continuously monitors for any other requirements within the GT processes.

In affirmation of 2.5.3 A.2, one element of GT’s proprietary information management system is its online portal. Putting tools in the hands of participants and agency partners to assist them in managing public dollars is vital to the success of self-direction. For this reason, GT created a customized, robust online portal to serve all self-direction stakeholders, giving them access to real-time reports and documents, which enhances transparent communication. Through the portal, employers and employees can view and download budget reports, approve employee time, view and download pay stubs, and contact GT customer service. Reports are available in real time and can be customized to meet the needs of Arkansas and its self-direction participants.

Real-time
 GT offers real-time access to documents and reports.

The following table lists the different features of GT’s portal as well as the capabilities of each user.

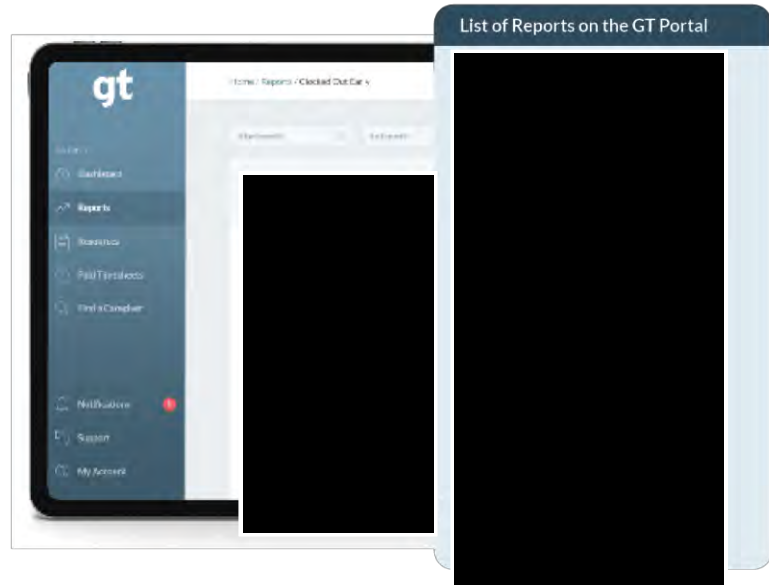
Portal Features	Employer	Employee	Case Managers	Department Staff
[REDACTED]	X	X	X	X
[REDACTED]	X	X	X	X
[REDACTED]	X	X		
[REDACTED]	X		X	X
[REDACTED]	X	X	X	X
[REDACTED]	X	X	X	X
[REDACTED]	X	X	X	X
[REDACTED]			X	X
[REDACTED]	X	X	X	X
[REDACTED]			X	X

GT will provide access to a permission-based three-factor authenticated portal account through which the beneficiary or the surrogate may review service documentation, forms and budget information.

Employees of the beneficiary will be able to access their own records, such as pay stubs and W-2s, through the portal. Arkansas contract monitors will be able to access the web portal to obtain beneficiary information. GT will leverage its systems to meet the monitoring, service and contract requirements of the State of Arkansas.

Through the company's internal IT development team, GT can customize reports and offer both standard delivery of reports and access to real-time data through the web portal. GT will work directly with

DPSQA to develop a customized suite of reports that will be available electronically through the portal, or in other formats as required by DPSQA. Types of applicable reports include the following:



Employee Training Reports: GT's information system can verify that all beneficiary eligibility requirements and training requirements have been met before allowing initiation of services or payment to a potential employee. The implementation team will set up the information system based on the employee eligibility policy. Counselors will inform beneficiaries that the employee cannot begin work until all employee eligibility criteria have been met. GT will notify the beneficiary (and/or their surrogate), the employee and Arkansas contract monitors of expiring training requirements. In addition, the compliance team will run regular data integrity reports to identify employees who have not completed requirements. Operations team members will reach out to employees who have open items.

Payroll Reports: GT's systems will import authorizations, track payments, track utilization of beneficiaries' services against authorizations, report on the status of the beneficiaries' utilization against the authorization, and identify any issues such as overutilization or overtime. A payroll report will be provided to the beneficiary and the contract monitors. The payroll report will include the type of program/waiver; number of hours the beneficiary has available for the prior authorization period; number of hours used; number of hours remaining for use; hours worked by employee; check date, amount, and number; taxes by employee; and any vendor payments. Operations managers will monitor key performance indicators to ensure that GT is issuing accurate and timely payments. GT will customize the reports available via the web portal to show payroll information for employees (pay stubs) and beneficiaries (utilization reports).

Error Reports: GT has procedures and internal controls to ensure that payroll payments are accurately issued by the promised date and to resolve documentation issues within the pay cycle. GT error reports will include delayed payments, with information related to the beneficiary, services and cause, along with a corrective action plan, if applicable. GT is almost always able to obtain corrected service data in

time for payday. The operations team tracks requests for payment outside the pay cycle very closely and works hard to minimize their occurrence.

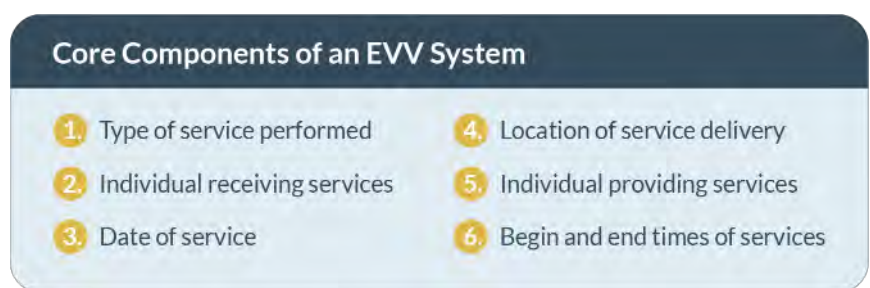
Beneficiary Reports: Supervisors will compare enrollment checklists to management reports in GT’s system to verify timely completion of enrollment activities. The reports provided will cover current and archived listings of beneficiaries and employees and will include enrollment and termination dates, programs/waivers, addresses, telephone numbers, and social security numbers. The report transmission will be encrypted and meet HIPAA standards.

Monthly and Historical Reports: Budget reporting keeps beneficiaries/employers informed of utilization and spending and helps give them the ability to control and manage their service units and/or dollars. Management reporting ensures performance of key elements required in financial administration. GT will develop management reports as required in the contract and will work with Arkansas contract monitors to determine the best method to transmit the reports. GT will integrate regular production of the reports into company business rules.

Data Integrity: GT has a data integrity function as a final check that continually monitors information and data submitted into its system. The data integrity specialist performs ongoing checks and reviews to ensure that data are entered accurately and that information is processed according to GT’s internal checklists and workflows. The company is also integrating its document management system’s workflows as an internal control to ensure quality in these processes.

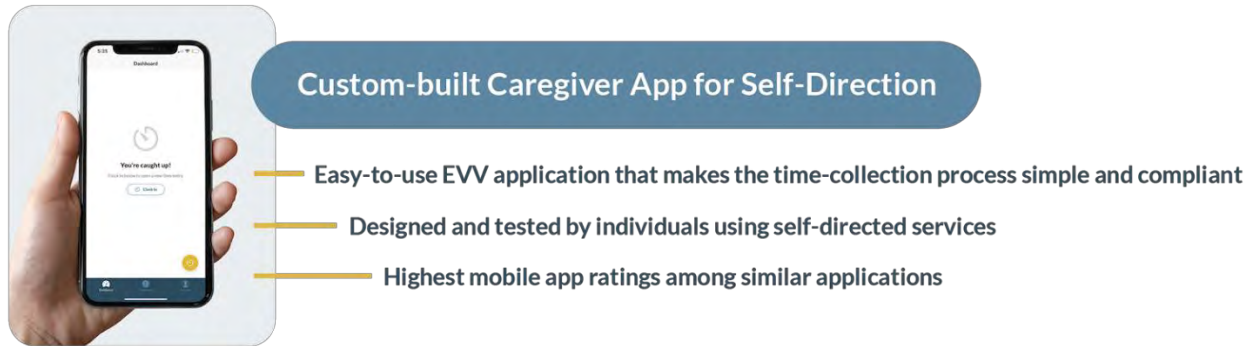
Beneficiary Budgets: The operations team tracks utilization to ensure that beneficiaries do not exceed budget parameters and provides reports. GT will inform contract monitors within 20 business days of beneficiaries who are projected to exceed their budget allowance. GT will also inform the contract monitors within no less than three business days when it is estimated that beneficiaries will incur no expenses in a given month. GT has worked closely with stakeholder groups to develop an innovative budget reporting format that provides a robust set of data in an easily understandable format. Online budget reports will be available to beneficiaries/employers and State of Arkansas staff through their GT portal accounts. A sample budget report is included below:

In affirmation of 2.5.3 B.1, GT has developed a state-of-the-art time collection app that complies with all requirements outlined in the federal 21st Century Cures Act, as well as state requirements. GT’s Caregiver App allows for clock-in and clock-out with individual approval at the end of each shift. Each shift captures the six core components of an EVV system. The App is available for download on iPhone or Android devices and is also available in Spanish.



The Caregiver App was specifically designed for self-directed services and holds the highest mobile app ratings among similar applications. With the passing of the 21st Century Cures Act, GT conducted 18 months of intense research and demonstration of existing available EVV systems. After limited success finding a product on the market that fit the unique needs of self-direction, GT designed its own app with

the help of the company’s established Participant Feedback Committee. The system was designed and tested by individuals using self-directed services. With their input, GT was able to design a smooth, easy-to-use EVV application that makes the time-collection process simple and compliant.



Custom-built Caregiver App for Self-Direction

- Easy-to-use EVV application that makes the time-collection process simple and compliant
- Designed and tested by individuals using self-directed services
- Highest mobile app ratings among similar applications

The app is designed to work in any location, ensuring that individuals have the ability to be actively engaged in their communities. For rural or limited-service areas, the app can capture all service elements without data connectivity and store the information on the device in a secure encrypted format. When connectivity via data or Wi-Fi is restored, the service data are synced automatically with GT’s systems for payment.

Security Review

The GT Caregiver app has passed an independent security review, ensuring safety and compliance.

GT’s Caregiver App has passed an independent security review, ensuring the safety of protected health information and compliance with HIPAA. Please see the GT video at gtindependence.com/EVV, which addresses some of the key issues traditional EVV systems pose for self-directed programs. GT would be pleased to provide a demonstration of the system as well as its unique customizable reporting features.

[REDACTED]. GT’s enrollment team and customer service associates are available to assist users with downloading and navigating the app and other forms of support. The Caregiver App is used by internal GT employees as well as stakeholders, which gives customer service associates daily experience and in-depth understanding of the app.

[REDACTED]

[REDACTED]

In affirmation of 2.5.3 B.2, GT understands that data storage and security are paramount to providing reliable services and has invested heavily in its storage and security technology to ensure the utmost data safety and integrity. GT maintains archives of certain backups for as long as 10 years. GT has systems in place, as well as written policies, procedures and internal controls, that govern the record management process and meet all state requirements and all federal and HIPAA guidelines.

GT has internal controls for establishing and maintaining current and archived files and documentation for beneficiaries in a confidential and secure manner for the time period required by applicable federal and State of Arkansas requirements. GT has a robust plan for disaster response, including a detailed chain of communication and command. GT customer service associates create a digital file for each beneficiary that meets all HIPAA, state and federal compliance requirements at the time of enrollment. Once created, digital files are backed up immediately during the next scheduled daily complete system backup. Daily digital backup files are stored off-site as an added security measure. GT technology staff regularly perform tests on file servers and backup data to ensure the accuracy of backup data and to test the disaster recovery preparedness response to a potential data event.

Systems are maintained in order to be able to return to full operations within 24 hours in the event of a data emergency. This recovery time is possible through the company's redundant hardware hosts for the virtual environment along with high-availability configurations, off-site backups and redundant replications of servers. GT employs a 256-bit encryption system on all electronically transmitted protected health information to ensure that HIPAA-compliant security levels are met and exceeded when data are being transferred by email and other electronic transfer methods.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

██████████, which is the gold standard for IT security and encompasses the following domains to comply with ISO/IEC 27000-series, NIST, HIPAA and HITECH standards:

- Access control
- Audit logging and monitoring
- Business continuity and disaster recovery
- Configuration management
- Data protection and privacy
- Education, training and awareness
- Endpoint protection
- Incident management
- Information protection
- Mobile device security
- Network protection
- Password management
- Physical and environmental security
- Portable media security
- Risk management
- Third-party assurance
- Transmission protection
- Vulnerability management
- Wireless security

The State of Arkansas can have confidence in knowing that, as a ██████████ company, GT is taking the most proactive approach to risk management and data protection, while also adhering to the highest information security standards for all its systems and platforms.



Relevant Attachments for E.6

- Attachment 23 – Record Management (Pages 306-307)
- Attachment 24 – Disaster Recovery and Emergency Preparedness Plan (Pages 308-323)
- Attachment 25 – Disaster Recovery for Computerized Records (Page 324)
- Attachment 26 – Privacy and Security Controls (Pages 325-327)



E.7

| **Cash Expenditure Plan**

E.7 CASH EXPENDITURE PLAN

A. Prospective Contractor shall provide detail on its approach to meeting the Cash Expenditure Plan/authorized Plan of Care budget requirements as to Section 2.5.11.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.11 Cash Expenditure Plan (CEP) Requirement (Pages 27 through 29 of the RFP) states:

"The Contractor shall collaborate with Beneficiaries/Employers on the development of a CEP according to the Medicaid authorized budget amount and continue to revise the CEP with the Beneficiary/Employer whenever a need arises. The Contractor shall document any CEP revisions and the style/method of how those revisions were made. Communication must be made between the Contractor and Beneficiary/Employer whenever there is a change in the CEP, change in the employer (designated representative), or employee; however, the communication style and method is at the discretion of the Beneficiary. There may be instances that require the Contractor to initiate communication depending on the circumstance. Contractor must contact the Beneficiary/Employer at least once a year to discuss the budget based on annual reevaluation.

- A. *The amount of the Cash Expenditure Plan (CEP) is determined by the DHS professional staff (ARChoices) or the assessment Contractor(s) designated by DHS (IC only) using the Independent Assessment, or annual evaluations, and the Task and Hour Standards. The Independent Assessment or annual evaluation determines the level of functional need. The functional need level forms the basis for the determination of the Service Budget Limit: Intensive, Intermediate, or Preventative. The Task and Hours Standards are used to help determine the type and amount of units needed to meet the level of care within the determined Service Budget Limit and establish the Individual Service Budget for each eligible, individual beneficiary. For ARChoices Beneficiaries, the CEP is subject to the Beneficiary's ARChoices Individual Services Budget. The funding for the CEP budgets will be disbursed on a monthly basis.*
- B. *Contractor must provide an automated mechanism for tracking employee time and individual Beneficiary budget. This automated mechanism, at minimum, must have the capability to:*
 1. *Receive and disperse Beneficiaries' dollar authorizations on a monthly basis;*
 2. *Track Beneficiaries' dollars authorizations received and disbursed as indicated on the Cash Expenditure Plan (CEP) budget worksheet template. The Contractor shall finalize the worksheet with the Employer upon authorization of service amounts by using tax rates relevant to Employers' experiences established by the Arkansas Department of Finance and Administration (DFA). The Contractor shall provide a copy of the finalized CEP, in the format preferred by the Employer, in plain language understood by the Beneficiary/Employer.*
 3. *Ensure that:*
 - a. *Total time of service billed shall not exceed the maximum authorized by the state agency.*
 - b. *Daily rates are applied when a Beneficiary's initiation and/or disenrollment date does not align with the start of a pay cycle.*
 - c. *There are no duplicate billings for the same service.*
 - d. *Billing for non-overtime-exempt Employees does not exceed forty (40) hours per week. Time worked more than forty (4) hours per week by a non-overtime-exempt Employee, which is subject to overtime, shall be restricted by Contractor's system. Any overtime accrued by a non-overtime-exempt Employee*

will not be paid by the state agency. Individual Employees shall only be able to enter billing for services for which they have been authorized to provide and meeting the requirements.

4. *Track the number of hours each Employee works for Beneficiary/Employers in the Self-Directed Program per work week as the term work week is defined in the Employee Responsibilities and Attestation Form. The Contractor shall ensure that no employee is working more than forty (40) hours total for any combination of Beneficiary/Employers unless otherwise deemed exempt from overtime pay as classified under FLSA Home Care Rule. If the Contractor determines that an employee has exceeded such hours, the Contractor shall be responsible for ensuring that the employee is paid any overtime pay owed at time and a half and deducted from the available funds in the Beneficiary's budget, or if necessary, by the Contractor and the Contractor shall notify the Beneficiary/Employer to discuss hours with the employee at the time of each occurrence. If an Employee who is not exempt from overtime repeatedly exceeds forty (40) hours per work week, the Contractor shall assess the appropriateness of that Beneficiary's continued participation under the self-directed management service model and provide determination to the state agency. DHS may require that a Beneficiary be removed from the Self-Directed Program and transitioned to the agency lead program.*
 5. *Produce a spending summary report that reflects real-time and invoiced dollar amounts used and the balance remaining for each Beneficiary, by service type, and a spending detail report that reflects all payroll information for a specific time period for each Employee. The report must include a bar graph of percent (%) elapsed and percent (%) remaining for each service.
 - a. *The Contractor shall ensure the spending summary report and the spending detail report are available for reviewing and printing by the Beneficiary/Employer, the State, DHS and designees.**
- C. *The Contractor shall make payment of all goods and services. All purchases in the amount of ten percent (10%) of Beneficiary's plan up to seventy-five dollars (\$75) may be used as discretionary expenditure. All discretionary expenditures must have prior approval from DHS/DPSQA prior to the use of discretionary funds. Any purchase exceeding 10% or seventy-five dollars (\$75) must be authorized by the state agency.*
1. *The Contractor must maintain all supporting documentation relative to discretionary expenditure payment which includes but is not limited to:
 - a. *The name and address of the Beneficiary;*
 - b. *A description of the purchase;*
 - c. *Total payment amount;*
 - d. *Scanned or electronic document supporting authorization from the state agency for purchases in the amount of ten percent (10%) of the beneficiary's plan not exceeding seventy-five dollars (\$75); and*
 - e. *A receipt, invoice, or purchase order for purchases in the amount of ten percent (10%) of the Beneficiary's plan not exceeding seventy-five dollars (\$75).**
 2. *The Contractor shall provide a monthly report detailing individuals' purchasing goods and services, the amount expended, and the categories defined by the state agency. The Contractor shall be held liable for repayment should any supporting documentation not be available during a review by state and/or federal representatives.*
 3. *The Contractor shall update CEP, savings, and cash allowance requirements to comply with all amendments or updates to any applicable federal and state laws and regulations."*

GT values the input of all stakeholders and has worked with stakeholder groups to develop innovative budget reporting formats that compile data in easily understandable styles. For the Arkansas contract, GT will collaborate with Beneficiaries/Employers on the development of a Cash Expenditure Plan (CEP) according to the Medicaid authorized budget amount and will continue to revise the CEP with the Beneficiary/Employer whenever there is a need. GT will document any revisions to the CEP and the style/method of how these revisions were made. GT will communicate with the Beneficiary/Employer whenever there is a change in the CEP, change in the employer (designated representative), or employee. GT will contact the Beneficiary/Employer at least once a year to discuss the budget based on annual reevaluation.

Throughout the payroll process, GT maintains its person-centered approach by confirming receipt of service documentation and providing ongoing updates on the status of payment for all stakeholders. This assures an end-to-end payroll process that includes payroll data integrity, document retention, and storage of private and pertinent information with due diligence that consistently exceeds legal and regulatory requirements. GT's payroll process has multiple checkpoints to ensure accurate and timely payment, as well as monthly budget reports in multiple formats to meet different learning styles.

In affirmation of 2.5.11 A, GT will work with DHS/DPSQA to develop a Cash Expenditure Plan (CEP) to use with beneficiaries/employers and will revise as needed.

In affirmation of 2.5.11 B.1, GT has developed many EDI integrations for MMIS and will use a similar process in securing an accurate exchange of transactions with the state of Arkansas to receive and distribute beneficiaries' dollar authorizations. The company's in-house IT development team will use the companion guides to develop its EDI integration. GT's IT infrastructure team will configure secure FTP accounts that require TLS encryption in its on-premises data center. During the test phase, GT will verify the security, connectivity and accuracy of all file transfers to and from the MMIS. GT will use AES-256 to encrypt state data at rest. In addition to the AES algorithm, TLS will be used to secure all file transfers, emails and web API calls. GT has a team of developers who will work with DPSQA to customize the file transfer system to meet the needs of the State of Arkansas.

In affirmation of 2.5.11 B.2, GT will finalize the CEP worksheet with each employer upon authorization of service amounts by using tax rates relevant to employers' experiences established by the Arkansas Department of Finance and Administration. The finalized CEP will be signed by the employer, and the employer will be provided a copy of the finalized CEP, in the format preferred by the employer, in plain language understood by the beneficiary/employer.

GT has experience implementing different styles of online cash expenditure tools and reports, which are available to beneficiaries/employers, case managers and state agency staff through their GT portal accounts. These tools have been developed to meet the various learning styles of different beneficiaries and the needs of varying states and programs. The cash expenditure tools consider employee wages, payroll taxes, FMS fee and workers' compensation, if applicable, in a transparent, easy-to-read format. The tools assist the employer in making budgetary decisions by plainly showing the program expenses as well as the remaining balance. This allows the employer to determine employee wages as well as funds for goods and services purchases.

Additionally, GT's operations team tracks utilization to ensure that beneficiaries do not exceed budget parameters and provides reports. GT will inform contract monitors within 20 business days of

beneficiaries who are projected to exceed their budget allowance. GT will also inform contract monitors within no less than three business days when it is estimated that a beneficiary will incur no expenses in a given month. GT has worked closely with stakeholder groups to develop an innovative budget reporting format that provides a robust set of data in an easily understandable format. Online budget reports will be available to beneficiaries and State of Arkansas staff through their GT portal accounts. GT is confident that it can provide reports that will meet the needs of DPSQA.

In affirmation of 2.5.11 B.3, GT will establish a process for receiving authorizations and ensuring that payments fall within authorized boundaries. To do so, GT will collaborate with DPSQA to develop a utilization management policy that addresses the handling of service authorizations, validating of service documentation and ensuring proper utilization levels in order to confirm that DPSQA has authorized all service hours for the beneficiary before a provider is paid. This policy will ensure that:

- Service dates fall within the authorization range
- Documentation is completed according to requirements
- The beneficiary is eligible to receive services
- The employee is eligible to provide services
- Units or dollars remain to support the disbursement
- Daily rates are applied when a beneficiary's initiation and/or disenrollment date does not align with the start of a pay cycle
- Services are not duplicative or overlapping
- Services do not occur when the beneficiary is hospitalized or admitted to a long-term care facility
- Services provided by non-overtime-exempt employees do not exceed 40 hours per week
- Documentation is completed according to requirements and submitted in a timely manner.

GT's payroll system notifies the GT team when duplicative hours are submitted. The system contains automatic controls and reporting functions that include, but are not limited to, controls for overlapping time with another employee, overtime, hours being reported that are not in accordance with the authorization and inaccurate calculation of hours worked.

GT has developed many EDI integrations for MMIS and will use a similar process in securing an accurate exchange of transactions for the State of Arkansas. The company's in-house IT development team will use the companion guides to develop its EDI integration. GT's IT infrastructure team will configure FTPS accounts that require TLS encryption in its on-premises data center. During the test phase, GT will verify the security, connectivity and accuracy of all file transfers to and from the MMIS.

In affirmation of 2.5.3 B.4, GT will process eligible employees' submitted service documentation and issue paychecks to eligible employees hired and approved for payment by beneficiaries. As a checkpoint, utilization reports are run to verify that a beneficiary's utilization of service hours does not exceed authorized hours, per the established utilization management policy. Beneficiaries/employers also benefit from the opportunity to review the reports to identify any modifications they need to make to align the budget/payroll hours to their service plan. Upon receipt of the service documentation, encounter data is automated and matched with existing authorizations.

Overlap reports and reports for more than 24 hours in a day are run twice to verify that services time-tracked have not previously been paid or that hours do not overlap with those of another employee. Overtime reports are run to determine if the employee qualifies for time and a half their normal wage

for hours worked over 40 in a predetermined workweek (Sunday through Saturday). Next, GT runs utilization reports to verify that the beneficiary's hours do not exceed authorized hours, per the established utilization management policy approved by the state agency. After verification that hours are not over budget, the payroll undergoes a proofing process, as outlined in GT's Payroll Department Manual, and is disbursed. If concurrent services, unauthorized dates, or hours over those authorized or budgeted are identified, payroll staff will notify the customer service associate, who will then contact the authorized DPSQA personnel, the beneficiary and the employee to resolve the issue.

In affirmation of 2.5.11 5 and 5.a, GT has developed a technologically sophisticated approach that incorporates electronic service documentation and the portal in order to provide access to real-time reporting for beneficiaries/employers, case managers and state agency partners.

GT's Caregiver App fully integrates with its in-house software and proprietary information management system to maximize the company's capability and flexibility in monitoring budgets (funds budgeted, received, disbursed and remaining) monthly, annually or by custom date range. Funds can be tracked on an individual or aggregate basis, and beneficiaries have access to their accounts via a secure online portal. This spending report can be customized to DPSQA's requirements and will include real-time and invoiced dollar amounts used and the balance remaining for each beneficiary, by service type, and a spending detail report that reflects all payroll information for a specific time period for each employee. The report will include a bar graph of percent (%) elapsed and percent (%) remaining for each service.

Putting tools in the hands of individuals to assist them in the management of public dollars is vital to the success of self-directed arrangements. GT wanted to create an avenue for individuals to access information that would be easy to use and would provide the necessary data to support success. It's also important that the professionals in the individual's life also have access to this information.

GT completed the development of a robust online portal in 2015 to serve beneficiaries/employers, employees and state agency personnel. The portal was designed to provide a high level of functionality for users and real-time access to documents and reports. The portal was built to meet the highest HIPAA compliance standards to ensure complete data security and works across all web-enabled devices. GT's online portal offers access to many features that allow beneficiary/employers, employees and state agency staff to conveniently access GT's services.

The following table lists the features for each user of GT's online portal:

and adherence to state and federal laws. GT exercises a quality control process on documents specific to its services by including detailed checklists, required signatures and approvals. It's GT belief that this is not just a responsibility, but a reflection of the company's core values.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT strictly applies utilization policies while working diligently to make sure that beneficiaries receive the support they need and employees receive timely pay for their services. At times, this requires a hands-on approach of checking submitted unauthorized hours and determining the reason for the discrepancy. GT has been able to identify issues, such as the need for extra, unplanned care, and implement solutions, such as obtaining an emergency authorization for additional authorized hours to fully meet the needs of the beneficiary. This above-and-beyond approach sets GT apart from a standard FMS provider.

GT has an approval process for biweekly or semimonthly service documentation to ensure that only active employees receive checks. GT offers an electronic service documentation submission process via the Caregiver App. All service documentation submissions are reviewed for accuracy and cross-referenced with the company's active employee database prior to payments being made. GT has an established process for reviewing service documentation with the approved authorizations to avoid paying for unauthorized services or services that are over the authorized amount.

In addition, to demonstrate GT's commitment to quality assurance, the company has formed a disbursement team that verifies employee eligibility and "Do Not Pay" status. For each beneficiary, GT maintains a list of active and terminated employees. This level of sophistication within GT's record system allows for a dynamic review of all eligible and ineligible employees to proactively avoid situations that may be fraudulent, such as a terminated employee submitting time after their termination date. This is extremely helpful when an employee is terminated by one beneficiary but still works for another beneficiary. The system allows GT to ensure that prior terminated employees are not eligible to work and do not receive unauthorized payments from any beneficiary. These controls ensure accuracy of payments.

GT also has an adept internal IT development team that will create a customized report for the State of Arkansas in order to monitor discretionary expenditure payments. GT will review these reports with DPSQA to determine whether any modifications are needed. These reports are available in real time through the company's portal. The portal provides beneficiaries, case managers and state/agency administrators real-time access to needed information to successfully manage self-directed services.

GT reviews federal and state rules and regulations, including Department of Labor wage and hour rules, for updates on at least an annual basis. GT is an active member of Applied Self-Direction, an industry group for self-directed programs, and attends and participates in educational webinars. GT also receives regular updates via email from the Centers for Medicare and Medicaid Services (CMS) and the Department of Labor.



Relevant Attachments for E.7

- Attachment 2 – Sample Employee Eligibility Policy (Page 189)
- Attachment 3 – Staying Up to Date with State and Federal Agencies (Pages 190-194)
- Attachment 27 – Sample Utilization Management Policy (Pages 328-330)

E.8

Payroll Processing

E.8 PAYROLL PROCESSING

A. Explain the organization's approach to meeting the payroll processing requirements of this RFP.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.12 Payroll Processing Requirements (Pages 29 and 30 of the RFP) states:

- A. *"The Contractor shall pay the beneficiary/employer's employees up to the authorized time identified in the Beneficiary/Employer's Plan of Care.*
- B. *The Contractor shall verify each Employee's social security number and maintain appropriate documentation in each Employee's file.*
- C. *The Contractor shall verify the city and state of residence of each Employee and maintain appropriate documentation in each Employee's file.*
- D. *The Contractor shall determine if the individual's Employees are family members who might be exempt from paying FICA, FUTA and SUTA taxes, and process, accordingly, including those who may qualify for federal and state exclusions defined by IRS Notice 2014-7.*
- E. *For all individuals the Contractor represents, the Contractor shall withhold the following without limitation from each payroll period and maintain documentation of such in the Contractor's file:*
 1. *Required Federal Taxes and Withholdings*
 - a. *The Contractor shall file FICA and federal income tax withholdings using the appropriate IRS form in the aggregate using the Contractor's separate FEIN for all individuals the Contractor represents and shall maintain a copy of the form and supporting documentation on file.*
 - b. *The Contractor shall deposit FICA and federal income tax withholdings in the aggregate for all individuals the Contractor represents and shall maintain a copy of the form and supporting documentation on file. The Contractor shall deposit, monitor the deposit, and maintain copies of the documentation for FICA and federal income tax withholdings in accordance with IRS rules.*
 - c. *The Contractor shall file FUTA withholdings using the appropriate IRS form annually in the aggregate using the individualized FEIN for all individuals the Contractor represents and shall maintain a copy of the form and supporting documentation on file.*
 - d. *The Contractor shall deposit FUTA and federal income tax withholding in the aggregate for all individuals the Contractor represents and shall maintain a copy of the form and supporting documentation on file. The Contractor shall deposit, monitor the deposit, and maintain copies of the documentation for FUTA and federal income tax withholdings in accordance with IRS rules.*
 2. *Required State Income Tax and Withholdings – The Contractor shall remit state income tax withholdings for all individuals the Contractor represents as required by State of Arkansas regulations and shall maintain documentation on file.*
- F. *The Contractor shall register individuals with the State of Arkansas Secretary of State as employers and obtain each individual's state income tax registration number for income tax filing and payment purposes. The Contractor shall maintain documentation of the tax filings and payments in the individual's file.*
 1. *The Contractor shall retire an individual's state income tax registration number when the individual is no longer an employer (i.e., decides to no longer participate in the self-directed service model) and document such in the individual's file.*

- G. *For Employees who reside outside of the state, the Contractor shall file and deposit out-of-state income tax withholdings, as required by the applicable state or requested by the Employee. The Contractor shall maintain documentation of such in the individual's file.*
- H. *The Contractor shall file locality taxes related to employment and maintain documentation of such in the individual's file.*
- I. *The Contractor shall manage the application of all garnishments, levies, and liens on Employee's payroll checks in an accurate and timely manner and maintain documentation of such in the individual's file.*
- J. *The Contractor shall pay Beneficiary/Employer's Employees within the time period required by the Department of Labor and maintain documentation as such.*
 - 1. *A lump sum amount will be dispersed prospectively once a month to the Contractor for all active clients; however, the Contractor shall make payments by EFT on a bi-weekly basis based on the CEP. The Contractor shall make a remittance (check stub) available by mail or by the Contractor's website/portal accessible to the Employee.*
- K. *The Contractor must return any unused funds from Beneficiary budgets to Medicaid within forty-five (45) calendar days of Beneficiaries' disenrollment from services. Unused funds must be returned via electronic means and as specified by DHS.*
- L. *The Contractor shall process wage information and garnishment requests from federal and state agencies as well as other qualified entities and maintain documentation of such in the Employee's file. These requests are intermittently made for scenarios such as FOI requests, purchasing a home, unemployment benefits, and/or wage garnishments.*
- M. *The Contractor shall assist individuals in completing any requests for information from federal agencies, state agencies or other qualified entities. Documentation of assistance shall be maintained in the individual's file.*
- N. *The Contractor shall develop a process for identifying and resolving discrepancies to ensure accurate payment to the Employee in the scheduled time period, errors or omissions in timesheets, including instances when an Employee fails to submit a time for grater than two (2) pay periods. The Contractor shall provide monthly reporting to state agency detailing each Employee and the Beneficiary/Employer for whom they provide services that have not submitted time in four (4) pay periods without resolution. The reporting must note whether the Employee is listed as the backup worker or a primary care provider.*
- O. *The Contractor shall timely resolve discrepancies in time submissions for purposes of paying Employees and generating claims for submission. For purposes of this section, "timely" means that the Contractor shall initiate action and shall make all reasonable efforts to resolve such discrepancies within the current payroll processing period during which payment to the Employee should be processed.*
- P. *The Contractor shall develop and implement a process for immediately, within twenty-four (24) hours of time submission, notifying the Beneficiary/Employer and Employee when there is a discrepancy in time reporting and provide detailed instructions on how to resolve the discrepancy. The Contractor must maintain timely communication with Beneficiary/Employer and Employee when a discrepancy cannot be resolved, and the Employee shall not be reimbursed for services delivered in Timekeeping System.*
- Q. *The Contractor must facilitate resolution of any disputes regarding payment to Employee for services rendered.*
- R. *The Contractor must develop and implement policies and processes for monitoring and reporting fraud, waste and abuse of any funds relating to Medicaid services."*

In affirmation of 2.5.12 A, upon contract award, GT will work with the DPSQA to determine the preferred method for executing and tracking authorized individual budgets and service authorizations. GT uses the combined features of in-house software and its proprietary information management system to maximize the company's capability and flexibility in receiving, disbursing and tracking an employer's individual budget to ensure employees are paid up to the authorized time identified in the Beneficiary/Employer's Plan of Care. Using this software, GT issues payments to employees and vendors against authorized individual budgets. GT's systems won't allow for overutilization or an overage of a service authorization.

In affirmation of 2.5.12 B and C, GT verifies the Social Security number of each employee, using the Social Security Administration's Business Services Online. Documentation of the verification is maintained in the employee's electronic file.

GT has established processes in place to verify every employee's city and state of residence. The company verifies each employee's state of residence by confirming that their driver's license or state ID is not expired and that the address provided on all employee documents matches the photo identification. GT will process state and local taxes accordingly and review reciprocity tax rules to ensure full compliance.

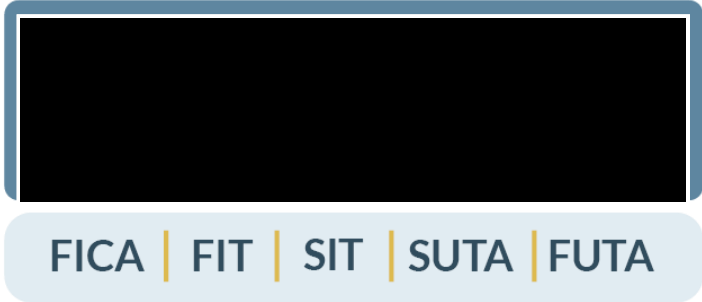
In affirmation of 2.5.12 D, GT requires each employee to complete a Relationship Disclosure Form at the time of hire. The information on this form is used to determine whether the individual's employees are family members who might be exempt from paying FICA, FUTA and SUTA taxes. The information on this form will also be used ensure that only allowable employees, based on relationships, are allowed to enroll as employees and be paid for services.

In affirmation of 2.5.12 E.1 and E.2, GT has experience operating as a fiscal agent under Section 3504 of the Internal Revenue Code and Revenue Procedure 2013-39. GT currently processes withholdings for more than 55,000 employees and ensures timely payment and submission of Federal Insurance Contributions Act (FICA) tax, Federal Income Tax (FIT), State Income Tax (SIT), and State Unemployment Tax Act (SUTA) and Federal Unemployment Tax Act (FUTA) taxes to appropriate state and federal authorities. In addition, GT reviews applicable local rules and regulations on at least an annual basis to identify any new requirements for employers.

During the person-centered enrollment process, a GT field service representative executes IRS Form SS4, Application for Employer Identification Number, to establish a FEIN for each beneficiary represented by GT. Within five days of enrollment, the GT processing team submits and obtains the individual FEIN for each beneficiary.

GT assumes fiscal responsibility and has policies and procedures in place for the timely withholding and depositing of federal and state taxes, including FIT, SIT, FUTA, SUTA, and FICA, on behalf of beneficiaries. It assumes responsibility for any assessed penalties for failure to do so. In addition, GT reviews applicable local rules and regulations on at least an annual basis to determine if any new requirements for employers may exist.

With the approval of the beneficiary, GT executes and files federal and state forms that appoint GT as the employer agent and legal representation for the beneficiary. A copy of the agreement is maintained in GT's document management system and is available for review upon request. [REDACTED]



[REDACTED]

In affirmation of 2.5.12 F, during the person-centered enrollment process, a GT counselor executes all required Arkansas state income tax forms to establish a state income tax registration number for each beneficiary represented by GT. Within five days of enrollment, the GT processing team submits and obtains the individual state income tax registration number for each beneficiary. If a beneficiary no longer participates in the program, GT will retire the state income tax registration number.

GT performs this task on a routine basis in the 16 states in which it operates. GT has developed significant relationships with state employees, which allows the company to contact the State of Arkansas directly to assist with any issues on a beneficiary's application.

GT maintains up-to-date beneficiary files that include, but are not limited to, state income tax registration numbers. Files are preserved at the company's headquarters in Sturgis, Michigan, and are backed up to an alternate location to ensure redundancy. The electronic storage method is GT's propriety in-house document management system. This program is used to store employer records for at least 10 years. GT can share these electronic files with DPSQA upon request and in the agency's desired format. In addition, GT's operations team is committed to ensuring the accuracy and integrity of required documentation by conducting self-audits for continuous process improvement efforts.

In affirmation 2.5.12 G, GT understands the importance of verifying the state of residence in order to enable accurate filing of state income tax withholdings. The company verifies the state of residence for each employee and ensures that the appropriate state withholding form is completed.

GT files and deposits out-of-state income tax withholdings, as required by the state or requested by the employee, for employees who reside outside the state in which they are working. Deposits are made based on reports that are populated with data from the payroll software. The reports are reviewed by GT's on-site tax manager to ensure that withholdings are filed and paid accurately. Reciprocal agreements are monitored to ensure that taxes are withheld in the appropriate state.

In affirmation of 2.5.12 H, in addition to state and federal taxes, GT assumes fiscal responsibility and has policies and procedures in place for timely withholding and depositing of local taxes. GT also reviews applicable local rules and regulations at least annually to determine if any new requirements for employers may exist.

GT has a deep commitment to ensuring compliance with federal, state and local labor and state tax laws. This is clearly demonstrated in the company's dedicated compliance and tax teams. These teams assist GT in ensuring the company has policies and procedures for staying up to date on applicable regulations. As regulations are updated, so are the company's processes. Many regulations change each tax year, and consequently GT updates procedures at least annually. GT regularly updates tax rates, workers' compensation rates and other procedures based on regulatory changes.

In affirmation of 2.5.12 I, GT manages and processes all deductions and garnishments on any applicable employee payroll checks. This information is displayed on the pay stub. Garnishments are paid within three to five business days of the date when the employee's payroll is paid out. These items are reconciled monthly to ensure all payments have been made to the appropriate parties. Documentation is stored in the company's files.

GT has more than 18 years of experience consolidating payroll reports for multiple employers as a fiscal agent under Section 3504 of the Internal Revenue Code and Revenue Procedure 2013-39. GT currently manages more than [REDACTED]

[REDACTED] GT maintains documentation of all such payments, garnishments, liens and levies in the individuals' files.

In affirmation of 2.5.12 J, upon contract award, GT will seek DHS/DPSQA approval of the proposed payroll schedule.

GT has a robust payroll system with established checks and balances. The company already issues payments bi-weekly or semi-monthly, as required by Arkansas Wage Pay Law. By combining the strengths of its in-house software and the unique, specialized design of its proprietary information management system communication log, GT will ensure that all necessary items for the timesheet to be Arkansas compliant are in place, including employer and employee signatures, prior to issuing payment. At the time of hire, GT collects a completed Preferred Payment Method Form from every employee. This document verifies requested direct deposit selection and ensures that the funds for services rendered are paid to the employee.

GT processes employees' direct deposits accordingly and maintains documentation with EFT transactions reports and remittance records. Supporting documents are filed inside each employees' file within GT's document management system.

All pay stubs can be accessed by the employee through their online portal account. Pay stubs can also be mailed to the employee if requested.

In affirmation of 2.5.12 K, GT has experience working with states in the context of accrued funds that require reconciliation monthly or annually. GT has established practice of returning any advances after a beneficiary terminates services by the 15th of the following month or within 45 calendar days, as required by DPSQA.

In affirmation of 2.5.12 L and M, GT processes all information requests from federal, state and any other qualified entities, promptly and appropriately, on behalf of the beneficiary. Common requests processed include employment verifications, garnishments and wage information requests. GT also

regularly provides information in state program integrity audits and investigations, state unemployment hearings, civil legal actions, and credit checks.

GT maintains robust document management and tracking systems that enable timely responses to requests for information from local, state or federal representatives regarding wage information or other informational requests. Documentation available is detailed and easily accessible. GT staff are available to provide this information whenever it is requested. The information may be provided via phone, email, fax or mail or in person, in compliance with HIPAA.

GT has measures to ensure the health, safety and welfare of the individuals it supports. One of the measures is the availability of service documentation history to the beneficiary/employer, and the ability of state agency personnel to review the submission of service documentation. GT staff review service documentation reports to address suspected fraud and/or abuse. The review includes, but is not limited to, overlapping time with another employee, overtime, hours being reported that are not in accordance with the authorization, and inaccurate calculation of hours being worked.

Additionally, GT staff are trained in the completion of written incident reports whenever they become aware of an issue that impacts the health, safety or welfare of an individual. Incident reports are immediately provided to the compliance director to report the issue to the state agency and to begin an investigation. If the incident is determined to be critical, all appropriate contacts will be made, including but not limited to Adult Protective Services, Child Protective Services or law enforcement, as applicable. GT will act strictly as the employer's agent when releasing information, and it will confirm and abide by the requester's authority to request information. All correspondence will be documented and maintained in the employee's file.

In affirmation of 2.5.12 N, O, P and Q, GT has significant experience developing and implementing procedures to resolve disputes regarding payment to employees. The company has policies, procedures and internal controls for exception management, including issuance of payments outside the normal pay cycle, and garnishments, levies and liens on any applicable employees' payroll checks.

All individuals will have access to GT's customer service team, whose members are trained to answer questions about the program, solve problems, and escalate concerns and complaints per GT's complaint resolution process.

Submitted timesheets are reviewed for completion within 24 hours of receipt. Any timesheets identified with deficiencies are sent to GT's customer service team for follow-up with beneficiaries and employees. GT's customer service team explains the noted deficiency and monitors for submission of a correction. If corrections are received from the employee within 24 hours of notification, GT is able to issue payment on time per the established pay date identified on the payroll schedule. At the close of each payroll period, the GT customer service team will contact every beneficiary who has not submitted any service documentation. GT has reports available to the state detailing each employee, and the beneficiary/ employer for whom they provide services, who has not submitted services for more than four pay periods, while noting if they are the primary caregiver or a backup worker.

In affirmation of 2.5.12 R, Fraud and abuse can undermine the efficacy of self-determination if proper steps are not taken to prevent it and address it when it does occur. GT does not presume fraud, but rather takes a proactive approach to identify errors and minimize the potential for fraud. For example, during the enrollment process, a Prevention of Fraud letter is provided to every employer to alert them

to the potential for fraud and its consequences. GT completes regular 270/271 exchanges to review employer hospital admission and discharge to ensure employees are not submitting time while employers are in the hospital. The company's multi-tiered payroll process includes multiple checks and balances as well as a "Do Not Pay" control that guarantees that employees who are ineligible for pay do not receive funds. GT's real-time reports, along with GPS data for clock-in/clock-out and employer sign-off on shifts, aid in preventing fraud. The company's intelligent reporting system is also capable of catching errors and potentially fraudulent shifts, such as shifts that are over 12 hours. Real-time reports and automatic push notifications can be customized for each Department. Also, GT conducts monthly checks with the Office of the Inspector General and notifies the employer, employee and case manager if the employee's name appears in the registry. All GT staff are trained on how to detect fraud, waste and abuse. The company maintains an Incident Reporting Policy within its Policy and Procedure Manual, which outlines the process of evaluation and notification of fraud, waste and abuse for staff to follow when they suspect an incident has occurred.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has a dedicated compliance team to enhance GT's services and focus on continuous quality improvement throughout the company. The compliance team focuses on contractual compliance, health and safety requirements for beneficiaries, and adherence to state and federal laws. GT exercises a quality control process on documents specific to its services by including detailed checklists, required signatures and approvals. GT believes this is not just a responsibility but a reflection of its core values.

GT also has a robust internal auditing function that reviews compliance requirements for any given program against the files and data present on its servers. As a part of the company's business development/implementation function, GT will note DPSQA's compliance requirements along with laws and regulations that apply in Arkansas. To coordinate this process effectively, GT uses an implementation checklist that includes the documentation and understanding of rules and regulations applicable to payroll, workers' compensation, employee tax exemption, local taxes, paperless pay rules and disbursement time frames. These items are reviewed annually for updates.

B. Provide a detailed plan processing payroll in the event of a system outage. The plan must be EVV compliant and provide information equivalent to what is captured in the EVV.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT's proprietary EVV application, the Caregiver App, is built to withstand system outages. All shift data is stored on the employee's device and synced with GT's system upon connection. In the event of a GT system outage, all shift data is maintained on the employee's device and a notification is given that the data has not been synced. Once GT's systems have been restored to operational status, the shift data will automatically sync and the shifts will be processed for payment.

Because the Caregiver app is a "native" application, the ability to log and document shifts can occur even if GT's main systems are offline. All shift data is stored locally on the user's device until GT's systems are back online and available to receive the data.

GT has invested heavily in data storage and security technology. GT has internal controls for establishing and maintaining current and archived files and documentation (including payroll) in a confidential and secure manner. Daily digital backup files are stored off-site as an added security measure. GT technology

staff perform regular tests on file servers and backup data to ensure the accuracy of backup data and to test the disaster recovery preparedness response to a potential data event. Systems are maintained for GT to return to full operations under 24 hours in the event of a data emergency. GT's duplicative system ensures that only 35 seconds of data will be lost in the event of a disaster or system outage. This recovery time is possible through the company's redundant hardware hosts for the virtual environment, along with high-availability configurations, off-site backups and redundant replication of servers.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

The app is designed to work in any location, ensuring that individuals have the ability to be actively engaged in their communities. For rural or limited-service areas, the app can capture all service elements without data connectivity and store the information on the device in a secure encrypted format. When connectivity via data or Wi-Fi is restored, the service data are synced automatically with GT's systems for payment.

C. Describe the organization's solution for approving employee time if a client/representative passes away after receiving services, but prior to the authorization of time worked by employee. The solution must be EVV compliant and provide information equivalent to what is captured in the EVV system.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

All EVV shifts are logged through the Caregiver App. Beneficiaries can approve shifts either through the app or through the portal. In the event a client/representative passes away after receiving services but prior to signing off on the timesheet, an alternate representative or a case manager can approve the submitted time for payment through the app or portal.

All shift data captured is EVV compliant and contains all the data required by the 21st Century Cures Act.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

The Caregiver App was specifically designed for self-directed services and holds the highest mobile app ratings among similar applications. With the passing of the 21st Century Cures Act, GT conducted 18 months of intense research and demonstration of existing available EVV systems. After limited success finding a product on the market that fit the unique needs of self-direction, GT designed its own app with the help of the company's established Participant Feedback Committee. The system was designed and tested by individuals using self-directed services. With their input, GT was able to design a smooth, easy-to-use EVV application that makes the time-collection process simple and compliant.

D. Describe your process for facilitating off-cycle payments and reporting.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has significant experience developing and implementing procedures to resolve disputes regarding payment to employees. The company has policies, procedures and internal controls for exception management, including issuance of payments outside the normal pay cycle, and garnishments, levies and liens on any applicable employees' payroll checks.

Submitted timesheets are reviewed for completion within 24 hours of receipt. Any timesheets identified as having deficiencies are sent to GT's customer service team for follow-up with beneficiaries and employees. GT's customer service team explains the noted deficiency and monitors for submission of a correction. If corrections are received from the employee within 24 hours of notification, GT is able to issue payment on time per the established pay date identified on the payroll schedule. At the close of each payroll period, GT's customer service team will contact every beneficiary who has not submitted any service documentation. GT will make reports available to the State of Arkansas detailing each employee, and the beneficiary/employer for whom they provide services, who has not submitted services for more than four pay periods, while noting if they are the primary caregiver or a backup worker.

All individuals will have access to GT's customer service team, whose members are trained to answer questions about the program, solve problems, and escalate concerns and complaints per GT's complaint resolution process.



Relevant Attachments for E.8

- Attachment 27 – Sample Utilization Management Policy (Pages 328-330)
- Attachment 28 – Processing Tax Filings (Pages 331-337)
- Attachment 29 – Preparing Year-End Tax Documentation (Page 338)
- Attachment 30 – Biweekly Payroll Schedule 2022 (Pages 339-340)



E.9

| **Customer Service**

E.9 CUSTOMER SERVICE

A. Describe the Propsective Contractor’s quality assurance methods for customer service representative performance per the requirement of this section as part of its technical response to Section 2.5.14.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.14 Customer Service Requirements (Pages 31 and 32 of the RFP) states:

- A. *“The Contractor shall provide all necessary services to support the activities carried out by the Contractor and its subcontractors, including without limitation:*
1. *A toll-free phone number and adequate staff to respond to Beneficiaries/Employers and/or Employees with hours of operation Monday through Friday from 8:00am to 5:00pm Central Standard Time (CST);*
 2. *During times when the office is closed, a voice message system must be used. Calls left on the voice message system or requiring a call back must be answered within one (1) business day, excluding holidays. The Contractor must provide a list of calls not returned within one (1) business day; the listing must include an explanation for each call not returned.*
 3. *A landline or electronic fax number;*
 4. *A website with information regarding the Contractor’s services, customer support information, and available hours.*
 5. *Internet/email communications;*
 6. *Ability to provide all translation and interpreter services including but not limited to the following: American Sign Language (ASL), Spanish, and services for persons with Limited English Proficiency. In addition, provide accessible formatting to individuals with disabilities including but not limited to large print, disk, and Braille.*
 7. *A method for receiving, returning, recording, tracking, listening to, storing, and auditing all calls and all emails from Beneficiary/Employer, Employees, DHS primary contacts or designated contacts during and after extended business hours. The Contractor must return calls within one (1) business day.*
 8. *The Contractor must provide a full-time equivalent employee to serve as the Customer Service Manager. The employee shall manage the entire customer service operation including the direction and management customer service staff. In addition, the Customer Service Manager shall be a core part of ensuring customer service needs are met. DHS reserves the right to request changes in Contractor’s personnel to the extent that the personnel are associated with administering Medicaid’s Self-Directed Program.*
 9. *Tracking of all calls by type, including the following without limitation, and presented using a real-time dashboard:*
 - *Answer speed*
 - *Hold time*
 - *Talk time*
 - *Dropped calls*
 - *Budget*
 - *Contact update*
 - *Enrollment*
 - *Form*
 - *Status/request*

- Other
 - Payment
 - Status change
 - Timesheet
10. The Contractor must develop a software method for notifications and for receiving, responding to, and tracking complaints as well as Office of Medicaid Inspector General (OMIG) and Arkansas Attorney General's Medicaid Fraud Control Unit fraud cases.
 11. A software method for receiving, responding to, and tracking complaints and grievances from Beneficiaries/Employers, Employees, DHS primary contacts or designated contacts by the end of the next business day;
 - a. The Contractor shall make current information on complaints and dispute resolution available through an online system for the State, DHS, and designees review at any time.
 - b. The Contractor shall notify DHS immediately upon becoming aware of a dispute situation that is not housed in the online system.
 - c. The Contractor shall provide training to the DHS primary contacts or designated contacts, families, and Beneficiary/Employer based on issues/trends that arise from data found in the customer service tracking report. DHS will direct all questions received from individuals, Beneficiary/Employers, and from the Employees to the Contractor.
 - d. The Contractor shall make a report that documents the tracking of complaints and/or grievances including the action taken available in monthly reporting or within one (1) business day upon request by the State, DHS, and/or designee.
 - e. The Contractor's system must provide a minimum of 256-bit encryption.
 - f. The Contractor's system shall comply with all applicable federal and state laws and regulations.
 12. A method for receiving, responding to, and tracking call statistics including, but not limited to, call volume, average call times, and hold times. On a monthly basis and upon request within a given quarter, the Contractor shall make a report that documents the tracking of these call statistics available to the State, DHS, and designees.
 13. Quality assurance methods that monitor all aspects of customer service, including without limitation, Enrollment Team members' performance.
 14. Initial and continuous customer service training for Contractor's staff/personnel; and
 15. Orientation and skills training on using the Contractor's automated interface system for Beneficiary/Employers and DHS contacts.
 16. Contractor must incorporate a survey, approved by DHS, to monitor satisfaction of beneficiaries.
- B. The Contractor's personnel must be trained in the philosophy of individual direction and must be culturally sensitive in all business practices in order to communicate effectively with a diverse population of individuals of all ages and with a wide variety of needs, disabilities and chronic conditions.
 - C. The Contractor shall provide an outreach and education program to raise awareness about Self-Direction with potential Beneficiaries/Employers with the goal of increasing program participation. The Contractor shall demonstrate the growth of the program participation.
 - D. The Contractor shall actively participate in coordinating a Self-Directed Advisory Panel. This requirement shall include without limitation identifying Beneficiaries, Employers, Employees, DHS representatives, and any additional resources deemed necessary to provide input on best

practices, issues, areas of improvement, and acceptable standards of the program. Such panel shall include, at minimum:

- a. Four (4) Beneficiaries or the Employer from the current 1915(j) waiver and at least one participant from the current 1915(c) ARChoices waiver
 - b. Two (2) family members of Beneficiaries currently receiving self-directed services through 1915(j) waiver program
 - c. Two (2) Employees currently providing self-directed services through Arkansas' 1915(j) waiver program
 - d. Two (2) representatives from DHS
- E. The panel shall meet quarterly or as approved by DHS, with the purpose of providing the Contractor with feedback on self-directed services in Arkansas and the Contractor's operations. Meetings and minutes must be recorded and provided to DHS/DPSQA within forty-eight (48) hours after the meeting is concluded. Meetings may be held in person, by video conference, or other means as approved by DHS.
- F. Contractor must provide real-time dashboard for industry standard call center metrics, to include, but not limited to:
- Average Answer Speed
 - Average Abandoned Call Rate
 - Average Duration of Call
 - Average Handle Time
 - First Call Resolution Average
 - Call Volume
 - Call Types."

In affirmation of 2.5.14 A.1, A.2 and A.3, in line with its person-centered approach, GT focuses on providing superior customer service and honors its commitments to stakeholders. Customer service associates (known as Self-Determination Support Specialists, or SDSS) are at the core of the day-to-day interactions with program participants and state agency staff. [REDACTED]

Self-Determination Support Specialists



[REDACTED] This staffing model highlights GT's commitment to person-centered services, as team members are trained on the specific rules and policies of their assigned contract and can provide expert services to employers, employees and state agency personnel. This model eliminates silos and improves internal and external communication.

GT maintains a customer service system with automatic call routing based on the caller's telephone number. Call routing ensures that callers are directed to dedicated SDSS staff trained on the business

rules specific to that program, state or contract in under 60 seconds. During the last quarter, the company achieve an [REDACTED]. GT's customer service team is able to support beneficiaries in addressing their needs, including finding staffing resources during an emergency.



GT believes in providing callers with quick and easy access to speak to a live person. Average speed of answer is monitored regularly by team leaders and managers. SDSS teams are available during normal state business hours (8am to 5pm CST, Monday through Friday) through GT's toll-free number, live chat through the website, email and fax. GT utilizes a voicemail message system when the office is closed; all voicemail messages are responded to within 24 hours. GT also provides alternative methods of communication, such as mail, fax, email and secure web portal. GT will provide a list of calls not returned within one (1) business day and will include an explanation for each call not returned.



To meet the needs of the diverse populations the company serves, [REDACTED]. GT also has access to translation services and can communicate in any language to meet beneficiary needs. In addition, the call center provides access to TTY services for those who prefer this level of service.

GT's customer service team consistently achieves high customer satisfaction levels — currently more than 97.29%.

In affirmation of 2.5.14 A.4 and A.5, GT's website highlights all the services the company provides, as well as specific state services. The website is easy to navigate and offers specific views for each user type, including beneficiaries/employers and employees, case managers, and state agency and MCO partners. This allows each user the benefit of seeing the services as a whole and also being able to easily navigate to specific information that they will most likely be interested in accessing. GT's website meets all accessibility requirements and offers state-of-the-art design features. Users can access customer service through email or live chat options, which are directly linked from the website, and also can find GT's customer service phone number and availability should they prefer to speak with a live associate. Users can also find specific office locations and fax number for submitting service documentation.

GT operates a sophisticated customer service center that has the ability to receive communication via phone, fax, email, web portal and U.S. mail. GT staff respond to support requests, answer questions, send information and paperwork to stakeholders, and interface with program clinical staff to ensure smooth program operations.

GT understands the importance of ensuring timely responses to individuals and other stakeholders. GT responds to each and every communication it receives, even if this is simply to verify the receipt of the senders' documents.

Communications of any type are logged in GT's electronic proprietary information management system communication log. The communication log documents all pertinent information, including name, phone/email address, date, time, GT staff member, subject, status, general notes regarding the request, response to the request, and date/time the request was fulfilled. All inquiries are responded to within 24 hours. Response times are monitored daily and reviewed by team leaders and managers. Any inquiries not resolved within 24 hours are prioritized and addressed immediately.

In addition to dedicated GT team member email addresses, a standard email address has been established for communications. Customerservice@gtindependence.com is used for general inquiries, submission of documents and requests for information. This email address is provided to individuals as part of the initial education and enrollment process and is also available on GT's website. Emails sent to this email address are also responded to within one business day by designated program staff.

In affirmation of 2.5.14 A.6, GT contracts with an established interpreter service that provides in-person sign language and multilingual interpreter services upon request by the individual or their representative, with advanced notice, in compliance with Section 1557 of the Patient Protection and Affordable Care Act. GT will provide accessible formatting to beneficiaries with disabilities, including but not limited to, large print, disk and Braille. All interpreter services or document translations are provided at no cost to the beneficiary.

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED] SDSS teams are available during normal state business hours through GT's toll-free number, live chat through the website, email and fax. Access to TTY services is available for those who prefer this level of service.

GT regularly provides assistance to people with limited English proficiency. In addition, SDSS staff are trained to accommodate people who experience barriers to communication. GT currently has all forms available in Spanish and translates documents to other languages upon request. Moreover, the company's EEV app is translated into other languages and has the capacity to quickly add new languages to fully support beneficiaries and employees.

In affirmation of 2.5.14 A.7, A.8, A.9 and A.10, GT uses robust proprietary communication log software to track and record all incoming and outgoing customer service communications. Every communication received by customer service staff is documented electronically and maintained on the company's servers for 10 years. Information recorded for each communication includes, but is not limited to, the names of the beneficiary and employee, the date of the communication, what assistance is requested, GT's response, and the date of the response. Call data are tracked daily and reviewed on a regular basis by the customer service department. GT has the ability to provide tracking of all calls by type, including answer speed, hold time, talk time, dropped calls, budget, contact update, dropped call, enrollment, form, status/request, other, payment, status change and timesheets. Complaints are tracked and analyzed for quality improvement. Upon request from DPSQA, GT will provide a tracking report of these communications.

If a communication is determined to be a complaint, then this is noted in the communication log. GT aggregates this information into an internal report and can share this with DPSQA as required. GT will notify DHS immediately upon becoming aware of a dispute situation that is not housed in the online system. Properly handling, tracking and reporting on complaints is important to the company. GT's call logging software allows for the notation, tracking and escalation of complaints. It is GT's policy to resolve complaints well within the five-day window and will adapt this to meet Arkansas requirements; however, GT will ensure that if a complaint is not resolved within five days, a written receipt of the complaint will be sent. In such cases, GT will ensure that written resolution is provided no later than 30 days from the date of complaint receipt. Trends in the receipt, completion and resolution of complaints will be tracked using GT's software. This same notification, response and tracking method will apply to Office of Medicaid Inspector General (OMIG) and Arkansas Attorney General's Medicaid Fraud Control Unit fraud cases.

Typically, complaints are reviewed and resolved by GT's operations manager. The operations manager oversees the entire customer service operation, including the direction and management of team leaders and customer service staff (Self-Determination Support Specialists), and is a core part of ensuring customer service needs are met. Additionally, GT's compliance department reviews aggregate complaint reports monthly to identify trends and create corrective action plans when necessary. Beneficiaries and their employees also have the option of filing a formal grievance if they do not feel that their complaint was resolved satisfactorily. The grievance policy and a blank Grievance Form are provided to beneficiaries and their employees at the time of enrollment. GT will assist beneficiaries and employees in filing grievances and assure them that their actions will not result in retaliation by GT.

Additionally, if the complaints or grievances involve concerns for the beneficiary's well-being or concerns of fraud and abuse, GT maintains an internal policy to ensure that all such incidents are reported and reviewed and forwarded to the state agency and/or other appropriate governing body. An anonymous 24-hour fraud, waste, abuse, neglect and complaint hotline is available. The quality and compliance department investigates and follows up on reports of fraud, waste, abuse and neglect.

In affirmation of 2.5.14 A.11, GT's proprietary software that tracks all communications also tracks additional data elements. If the call is determined to be a complaint, critical incident and/or reportable event, it is noted in the communication log. Complaints are generally reviewed and resolved by the operations manager. GT's compliance team reviews aggregate complaint reports monthly to identify trends and create corrective action plans if necessary. All critical incidents and reportable events are reviewed by team leaders and subsequently reviewed by GT's compliance team.

GT will report all critical incidents and reportable events to DHS, as required, with critical incidents being reported with 24 hours and reportable events within the time frames specified within the contract. Reports can be made available to DHS upon request.

GT provides training during the enrollment meeting to the beneficiary/employer and employees. This emphasis on training continues throughout the GT service, with access to training related to the GT portal and direct support from GT customer service. GT will create specific training based on issues/trends that arise from data found in the customer service tracking report.

GT has developed a robust online portal that serves as the company's electronic database for employers, employees, case managers and state agency partners. GT has also developed user guides for

each type of portal user, including the beneficiary, caregiver, case manager and agency. These guides provide written explanation and guidance so the person may successfully navigate the portal independently. The portal was designed to provide a high level of functionality and real-time access to documents and reports. The portal was built to meet the highest HIPAA-compliant standards to ensure complete data security and is compatible with all web-enabled devices. The secure web portal offers access to many features that allow employers, employees, case managers and state agency staff to conveniently access information. GT can customize the portal to meet the specific needs of the State of Arkansas. Customizable features include written notice to beneficiary (or representative) receiving services of changes related to beneficiary rights, advance directives, grievances, reconsideration or state fair hearings, which would allow these documents to be immediately available to beneficiaries.

The company employs 256-bit encryption on all electronically transmitted protected health information to ensure that HIPAA-compliant security levels are met and exceeded when information is transferred by email and other electronic transfer methods. GT takes the security and storage of protected health information seriously and has received [REDACTED] certification, which is the gold standard for IT security. GT’s data and record systems are maintained by a highly qualified team of developers and systems analysts, who ensure compliance will all applicable federal and state laws and regulations.

In affirmation of 2.5.14 A.12 and A.13, GT’s core values of self-determination, professionalism, integrity, community, excellence and respect are at the foundation of each service the company provides, particularly enrollment and customer service. GT’s founders use the company’s services themselves, which makes them intimately familiar with what beneficiaries and employees experience. This is what drives the company and its staff for continuous excellence in customer service.

GT has implemented a rigorous method of operational standards that are tracked and reported daily. The type of metrics GT collects and reviews daily include: enrollments, including monthly new enrollments and the percentage of new enrollments using EVV; processing, including the percentage of new participants completing their new hire paperwork [REDACTED] and employee eligibility compliance; customer service, including average speed of answer, call abandoned rate, first call resolution and open issue age; payroll accuracy, including error rate and percentage using electronic timesheets; billing, including collections percentage and unbilled percentage; operational efficiency, including the number of active participants to operational staff.

The following table lists GT’s 2021 customer service metric averages:

Metric	Goal	2021 Averages
[REDACTED]		

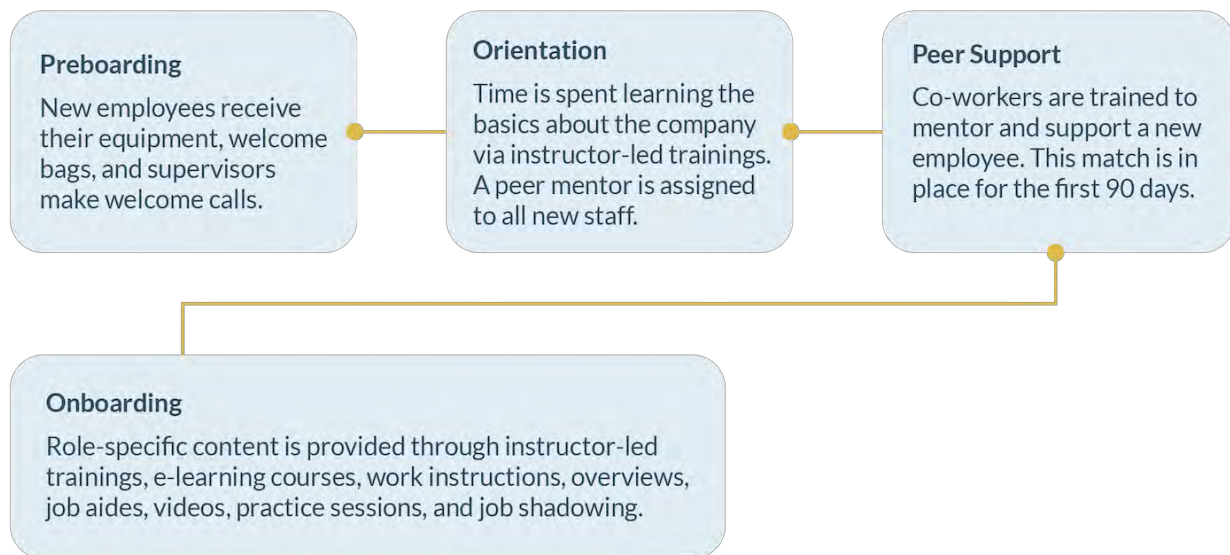
GT uses communication log software to track all incoming and outgoing customer service communications. Each communication received by customer service is documented electronically and maintained on the company's servers for 10 years. Any customer service metrics that don't meet operational standards are escalated to the operations manager for follow-up. In 2021, [REDACTED] were resolved during the initial phone call. These factors contribute to GT's 97.29% customer satisfaction rating.

customer service requests resolved during the initial phone call

GT will make operational metrics reports available to the State, DHS and designees on a monthly basis and upon request within a given quarter.

In affirmation of 2.5.14 A.14, a well trained, skilled workforce is critical to GT's success. Training and development are focused on the learning, training, and support of the initial and ongoing knowledge and skill acquisition of staff at all levels of the company. It is critical that systems are in place to consistently onboard staff across the company in a manner that ensures that staff are competent, confident, and contributing to their teams at the conclusion of their onboarding process, as well as having paths for continued growth throughout their tenure at GT. The goal is to increase job performance and engagement, decrease staff turnover, and provide the ability for the company's capacity for scalability.

GT's training curriculum for new staff consists of the following elements:



Orientation, onboarding, and ongoing staff development is supported by a knowledge base of more than 500 materials available on GT's intranet, catalogued and maintained by the Learning and Development Team. In addition, many of these materials are linked to curricula within GT's learning management system. Staff have access to career pathing and ongoing development of competencies and skill building.

Staff hired to bilingual roles are required to take both a written and verbal competency test to determine their level of competency. In addition, staff are provided support through an internal multi-

lingual advisory group that shares tips and tricks for translating the industry jargon associated with self-direction and financial management services.

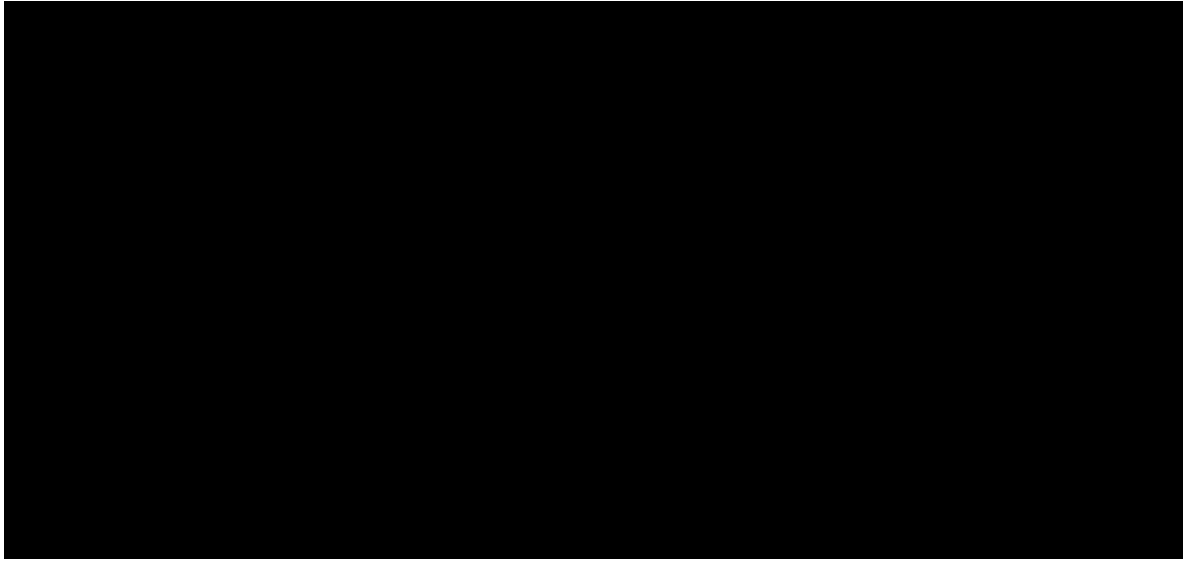
The following is a list of required courses for all GT staff:

Orientation <ul style="list-style-type: none">[Redacted]	Compliance Courses <ul style="list-style-type: none">Limited English Proficiency ServicesCultural HumilityCompliance MattersFraud, Waste, and AbuseHealth & Safety: Illness & Infection Prevention, Natural Disasters, Workplace Incident Reporting and Workplace SafetyHIPAA: Privacy and SecurityRecipient RightsPerson Centered Thinking
General Courses <ul style="list-style-type: none">[Redacted]	
Information Technology Security Courses <ul style="list-style-type: none">Cybersecurity Awareness – Parts 1, 2, 3 and 4Cybersecurity Phishing Attacks	Management Courses <ul style="list-style-type: none">[Redacted]
Personnel Courses <ul style="list-style-type: none">Employee HandbookHarassment	

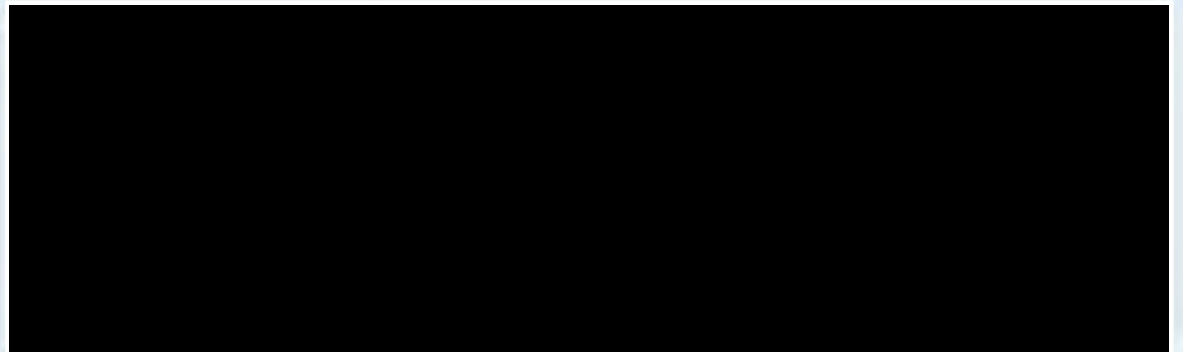
For GT’s operations staff, including Self-Determination Support Specialists (SDSS), after completing the initial orientation, training over the next 90 days delves deep into operations topics, which include Pennsylvania requirements of GT programs and processes, customer service, navigation of the billing system, payroll system and EVV system (E).

The tables below demonstrate GT’s operations training requirements by job title.

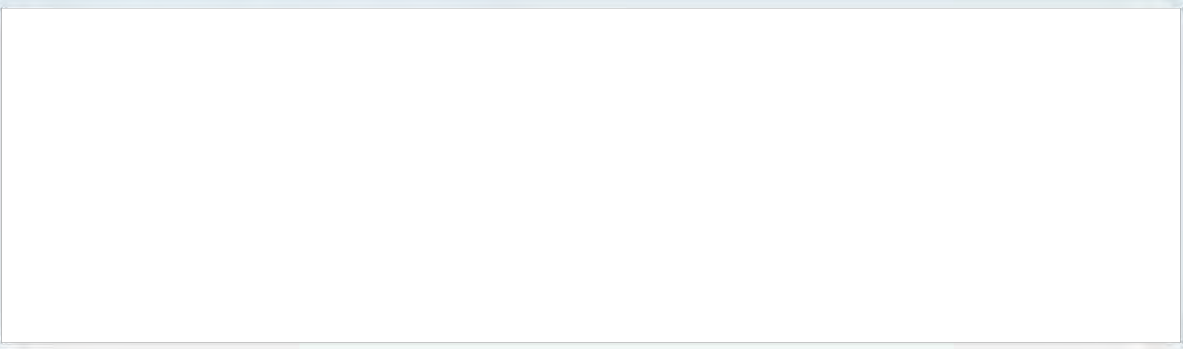
Self-Determination Support Specialist 1



Self-Determination Support Specialist 2



Self-Determination Support Specialist 3





Each SDSS is provided with call scripts to promote consistent communication for the Pennsylvania program and staff have access to a knowledgebase of topics and resources in GT's intranet. To ensure quality, each SDSS has their skills and competency evaluated at 30 days and again at 90 days before interacting with and providing services to customers. The learning management system documents the completion of all training. Supervisors have access to each staff member's file and can run analytics through the system to ensure the quality of each person's work.

In affirmation of 2.5.14 A.15, GT's company philosophy mirrors the philosophy and practice of self-directed services in Arkansas. It is at the core of self-determination to empower beneficiaries and give them more freedom in managing their services and supports. This approach allows beneficiaries to direct which services and supports they receive, when those services are delivered, who delivers them, and how they are delivered.

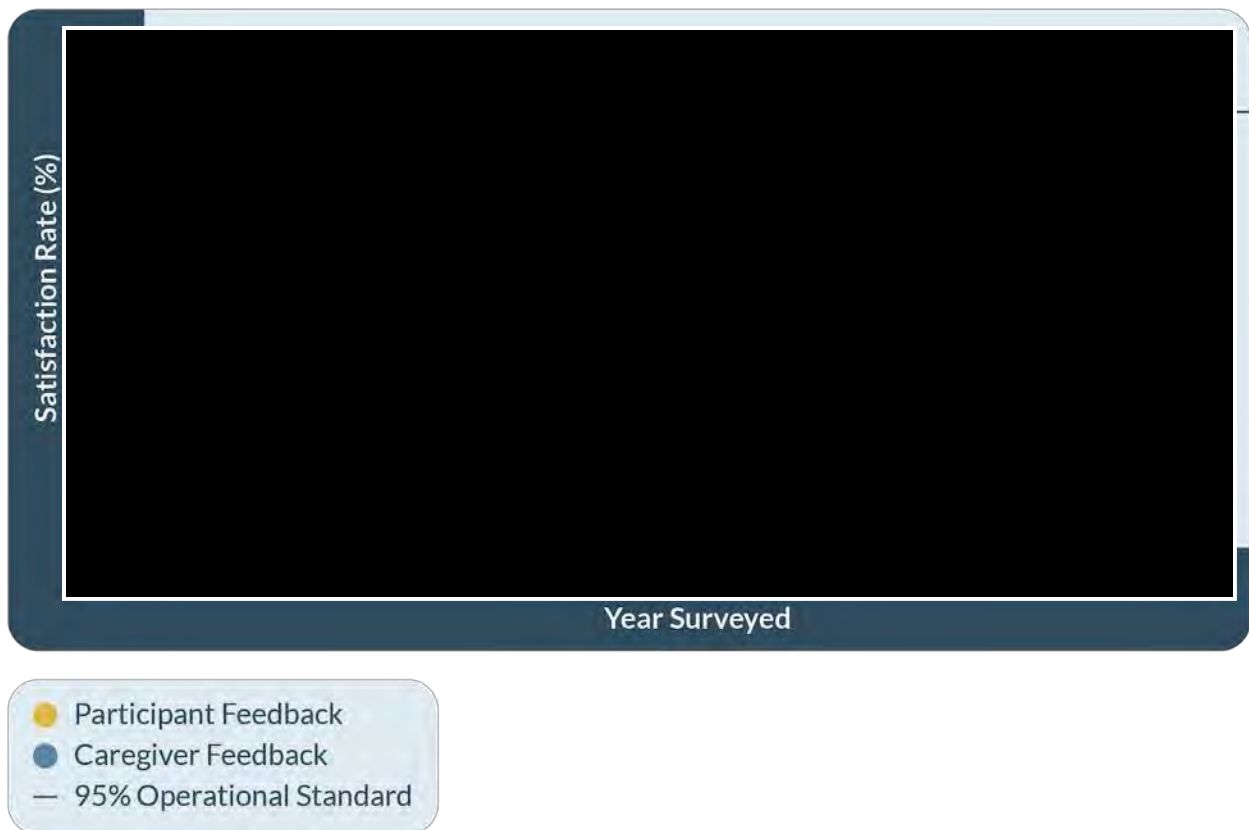
During the enrollment process and skills training, GT provides education and training to the beneficiary/employer related to their duties of managing their employees, including recruiting, hiring, training, scheduling, managing and firing. This training also includes education about employer and employee roles and responsibilities. A job description and employment agreement are developed by the employer and signed by both the employer and the employee during the enrollment meeting in order to demonstrate understanding and confirmation of these job roles and the resulting agreement.

GT's Caregiver App allows the employer to review and approve all services provided by the employee. This feature helps solidify and secure the employer's role in directing their employee services. GT has developed and implemented multiple forms of support for ongoing training related to complete and compliant submission of service documentation. The Caregiver App features tutorials that offer support to employer and employees. These tutorials address topics such as clocking in and clocking out, on-the-spot shift approvals and bulk shift approvals, shift status at a glance, submitting service tasks and notes, and providing an attestation for submitted time through the form of a signature. Additionally, GT offers face-to-face training, video training, written training and ongoing phone support on these same training topics.

GT was founded on the idea of person-centered financial management services and has enrolled and provided skills training focused on understanding and executing the employer role to more than 25,000 beneficiaries and their employees.

In affirmation of 2.5.14 A.16, throughout its history, as part of GT’s person-centered approach to financial management services, the company has proactively conducted independently administered satisfaction surveys. These satisfaction surveys are the core measurement of GT’s customer satisfaction and provide vital information to ensure GT is meeting stakeholder expectations. For the Arkansas contract, GT will incorporate a satisfaction survey, approved by DHS, to monitor satisfaction to beneficiaries.

The graph below represents the changes in GT’s customer service satisfaction rating over the past five years. GT’s operational standard is to achieve at least a 95% satisfaction rating among employers and employees each year and, as demonstrated in the graph, GT has met or exceeded this goal since 2016.



GT uses two surveys to gauge customer satisfaction. Surveys are conducted at year-end, then again in Q2 of the following year and gather feedback from employers, employees and agency partners to help assess service quality and drive planned improvements. The graphic below details each survey:

GT's Year-End Satisfaction Survey

- Sent to all active participants and caregivers via USPS mail
- Sent to agency partners via email
- Sent fourth quarter of every calendar year



Survey responses from the year end are collected throughout Q1 of the following year. Most results are received by mail, but feedback can also be faxed or emailed to GT. These results are then entered manually into a survey tracker program, with written-in comments manually categorized and rated as positive, negative or neutral. Spring survey results are collected by May and are combined with the results of the year-end survey so that GT can officially report its yearly customer satisfaction numbers from each stakeholder group by the end of Q3.

GT's Quality Management Team analyzes the survey results to identify trends, themes and areas for improvement. The results are passed on to the appropriate Operations staff so that performance improvement plans can be developed.

In affirmation of 2.5.14 B, GT is a values-based company and believes that self-determination is more than just a program — it is an inalienable right of all humans to live a life of their choosing regardless of age or ability. Our values are embedded in our company culture and form the very foundation of every policy and procedure developed and executed.

Since its founding in 2004, GT has conducted thousands of training sessions for its employees, including on policy, customer care and regulatory issues. The company prioritizes making sure its team members have ample professional development opportunities. To further these efforts, GT has developed a learning and development team whose mission is to support the development of team members and ensure success in their current and future roles. As part of this process, the company uses a learning management system to ensure that all GT employees complete applicable education and training as required by the company and all contractual specifications. This system allows for electronic assignment of training tasks and notifications of completion. Additionally, content is assessed through post-assignment knowledge quizzes to ensure that thorough learning has occurred. These internal controls can be modified to meet Arkansas's training requirements.

In affirmation of 2.5.14 C, GT will hire and maintain an Arkansas-based Director of Relationships, along with multiple counselors who are on the ground in the state. These positions will be in Arkansas and will serve beneficiaries, families and employees throughout the state.

GT has a Director of Relationships position for each of the 16 states in which it operates. This staff member is responsible for the management of state services and regularly interacts with beneficiaries, families, prospective beneficiaries and state agency personnel. This staff member also provides training and education to raise awareness among potential beneficiaries, as well as training for case managers and other stakeholders to promote understanding and increase referrals for the self-directed programs and GT services. This staff member is based in the applicable state and serves as the liaison for state agency personnel.

In affirmation of 2.5.14 D and E, GT will create a Self-Directed Advisory Panel specific to the services provided in Arkansas and will use DHS requirements for membership when creating this panel. GT will convene the panel on a quarterly basis or as approved by DHS, with the purpose of soliciting feedback on self-directed services and GT's operations. GT will record meeting minutes and provide the minutes to DHS/DPSQA within 48 hours after the close of the meeting. Meetings will be held in person or virtually.

GT has experience establishing and running similar stakeholder feedback groups in multiple states. These groups ensure the stakeholder's voice is heard and that quality of services is directed by those who use it. For example, GT designed its EVV solution with the help of a stakeholder feedback committee. With their input, GT was able to design a smooth, easy-to-use app that makes the time collection process simple. Engagement of the Self-Directed Advisory Panel is crucial to ensuring GT's services consistently meet the needs of its customers.

In affirmation of 2.5.14 F, GT's online portal serves as a real-time dashboard for industry standard call center metrics. GT's internal IT department can develop customized reports specifically for DHS and the Arkansas program containing call center metrics including, but not limited to, average answer speed, average abandoned call rate, average duration of call, average handle time, first call resolution average, call volume and call types. GT tracks call center metrics on a daily basis and can upload a call center metrics report to the portal for state agency personnel to view and download.

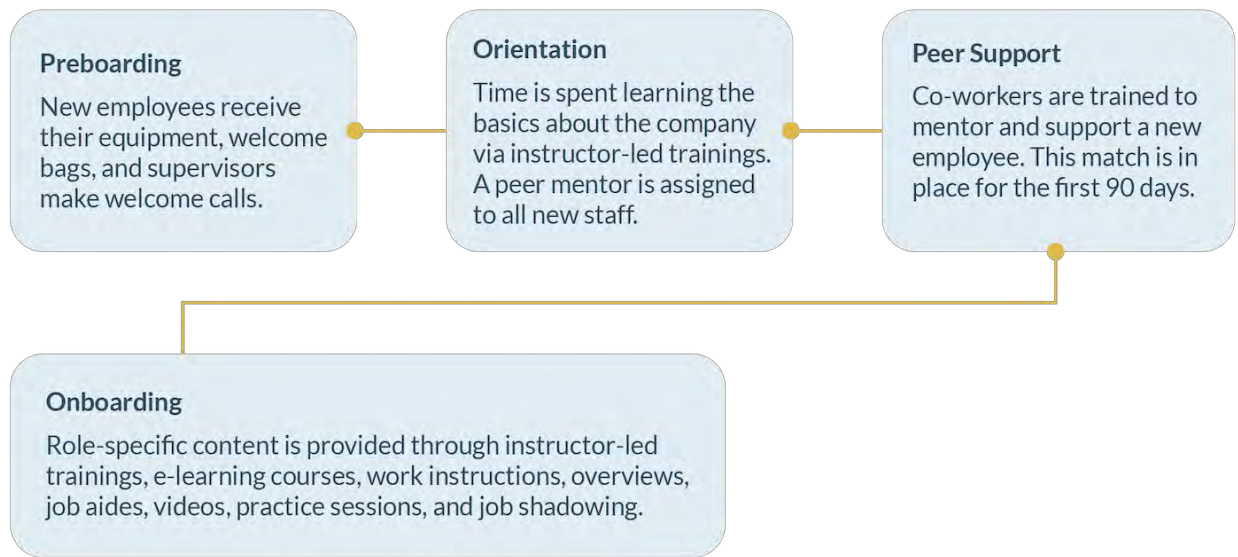
B. Provide the Prospective Contractor's approach to customer service training for Contractor staff dedicated to this contract as part of its technical response to Section 2.5.14.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

A well-trained, skilled workforce is critical to GT's success. Training and development are focused on the learning, training, and support of the initial and ongoing knowledge and skill acquisition of staff at all levels of the company. It is critical that systems are in place to consistently onboard staff across the company in a manner that ensures that staff are competent, confident, and contributing to their teams at the conclusion of their onboarding process, as well as having paths for continued growth throughout their tenure at GT. The goal is to increase job performance and engagement, decrease staff turnover, and provide the ability for the company's capacity for scalability.

GT's training curriculum for new staff consists of the following elements:



Orientation, onboarding, and ongoing staff development is supported by a knowledge base of more than 500 materials available on GT’s intranet, catalogued and maintained by the Learning and Development Team. In addition, many of these materials are linked to curricula within GT’s learning management system. Staff have access to career pathing and ongoing development of competencies and skill building.

Staff hired to bilingual roles are required to take both a written and verbal competency test to determine their level of competency. In addition, staff are provided support through an internal multi-lingual advisory group that shares tips and tricks for translating the industry jargon associated with self-direction and financial management services.

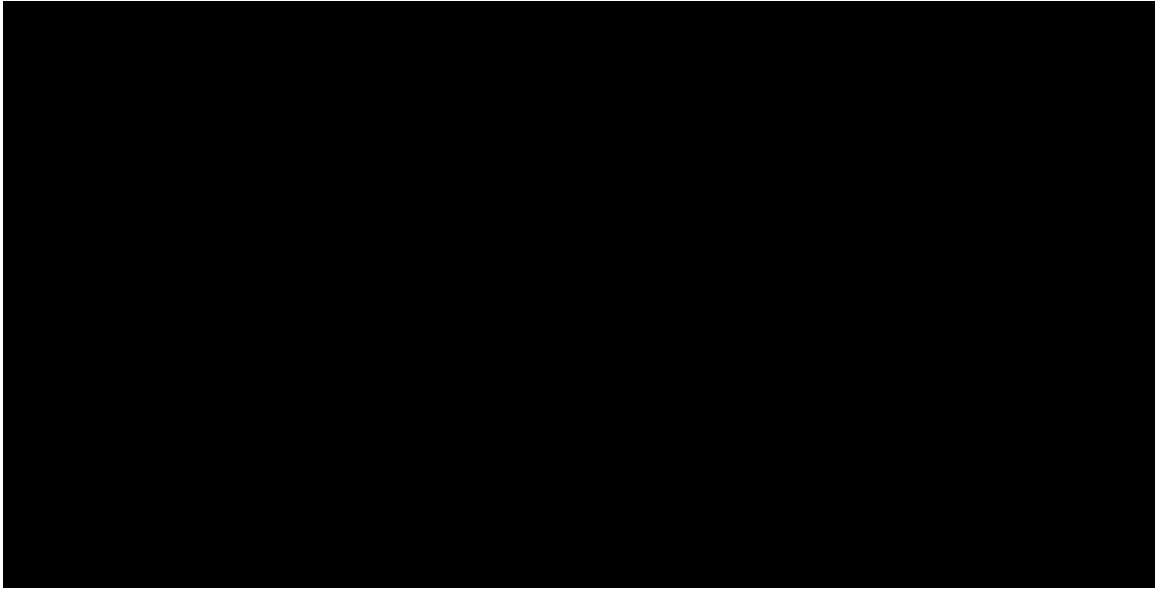
The following is a list of required courses for all GT staff:



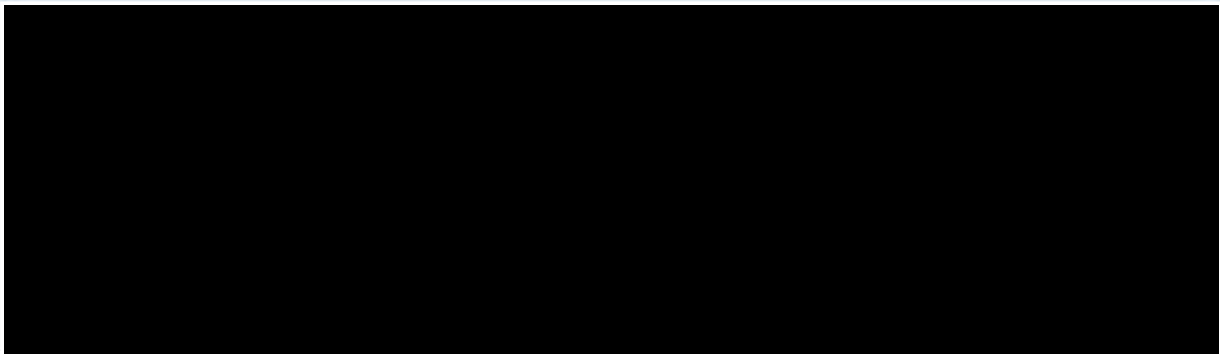
For GT’s operations staff, including Self-Determination Support Specialists (SDSS), after completing the initial orientation, training over the next 90 days delves deep into operations topics, which include Pennsylvania requirements of GT programs and processes, customer service, navigation of the billing system, payroll system and EVV system (E).

The tables below demonstrate GT’s operations training requirements by job title.

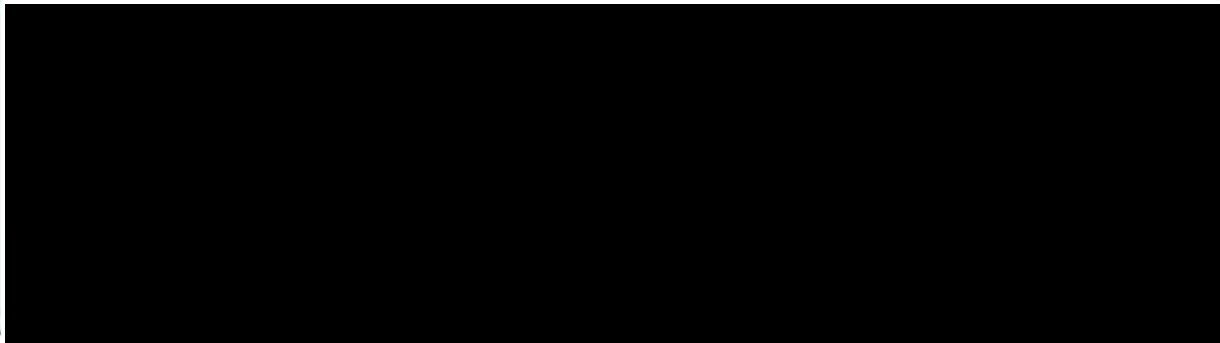
Self-Determination Support Specialist 1

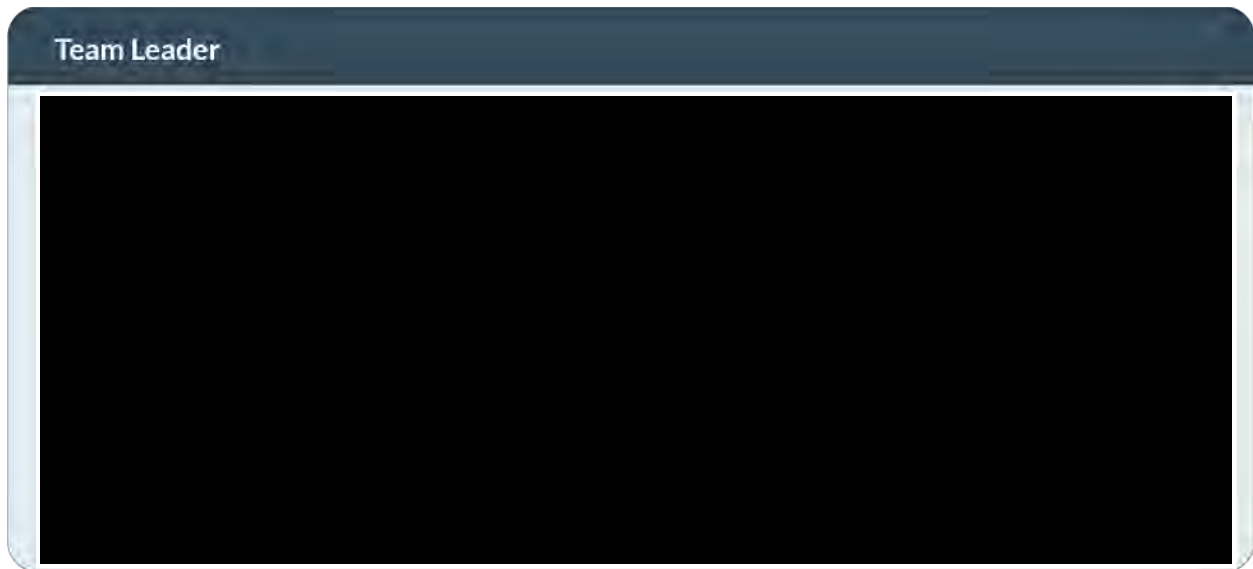


Self-Determination Support Specialist 2



Self-Determination Support Specialist 3





Each SDSS is provided with call scripts to promote consistent communication for the Pennsylvania program and staff have access to a knowledgebase of topics and resources in GT's intranet. To ensure quality, each SDSS has their skills and competency evaluated at 30 days and again at 90 days before interacting with and providing services to customers. The learning management system documents the completion of all training. Supervisors have access to each staff member's file and can run analytics through the system to ensure the quality of each person's work.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT believes in self-determination, values integrity, supports the community, hires staff that exemplify professionalism, demonstrates respect and strives for excellence. To best support the company's mission of helping people live a life of their own choosing, regardless of age or ability, GT has invested in creating internal policies and procedures that promote a positive work culture and ensure compliance with staff qualifications. Through its support of beneficiaries, GT has become a national industry leader in providing self-directed services.

To enhance GT staff experience, all GT positions have a job description and scorecards. In addition, all employees complete a thorough staff orientation and training experience to help them understand and embrace the company's culture and values. GT welcomes DHS's thoughts in determining sufficient training for GT staff.

C. Provide the method for receiving, returning, tracking, listening to and auditing calls and emails from Beneficiary/Employers, Employees, DHS primary contacts or designated contacts during and after extended business hours as part of its technical response to Section 2.5.14.

Affirmation of GT's Ability to Meet Arkansas' Needs:

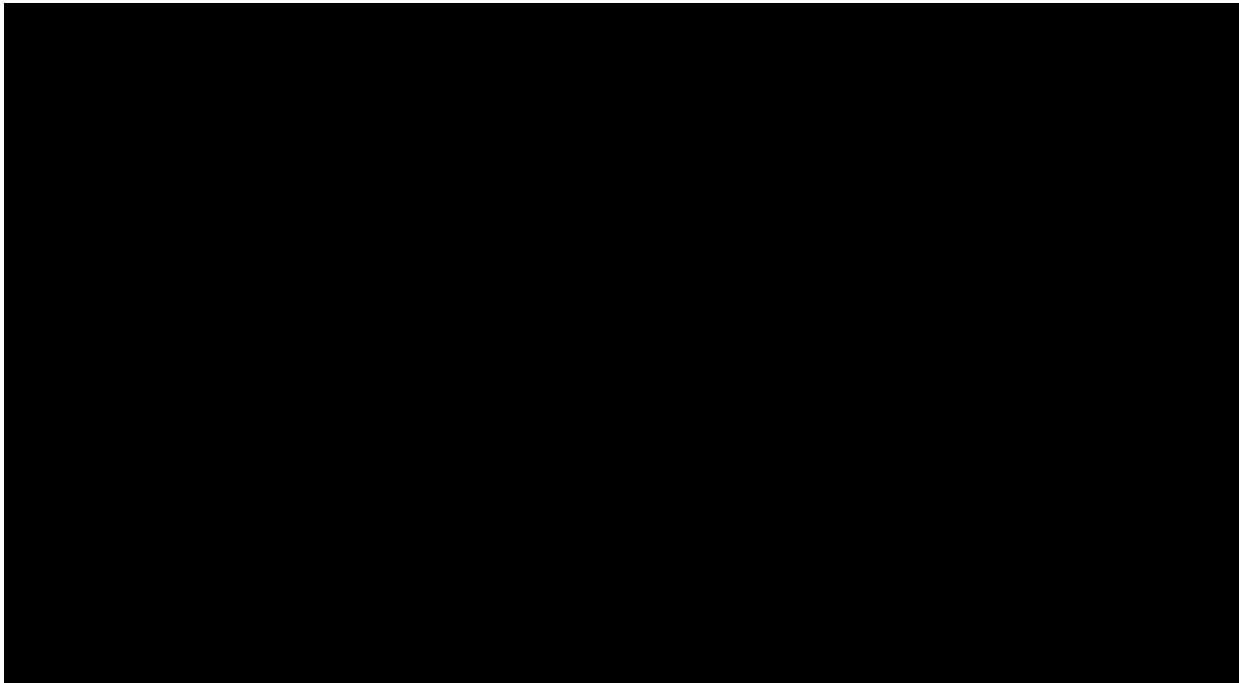
The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has developed and maintains a robust proprietary software system for the tracking of all types of communications, whether from a beneficiary/employer, employee or state agency contact. This log serves as the method for receiving, returning, tracking, listening to and auditing calls and emails during and after extended business hours. The communication log records the names of the beneficiary and

their employee, the name of the GT staff member receiving the call, the date of the request for assistance as well as the date the request was retrieved and responded to, details of the request, the action taken from GT staff, the amount time for resolution, any mandatory reporting incidents and the final resolution, the type of communication, the date and summary in addition to other data elements. If a communication is determined to be a complaint, this is noted in the communication log. Each communication is logged by the participant without GT's software. This allows for easy retrieval of communications and concise management of all interactions about a beneficiary and/or their employees.

Participant: Jane Doe

Employee: John Doe



Customer service team performance is continuously monitored using the following metrics: average speed of answer, hold time, response to open issues and abandoned call rates. GT analyzes performance results daily as part of the company's continuous quality improvement plan. Additionally, when a call is not resolved during the initial contact, GT monitors the length of time it takes to reach resolution on a customer service request and has achieved a [REDACTED]. These are factors that contribute to GT's 97.29% satisfaction rating among its customers. Operational measures that support this success include the tracking of all calls, a daily log of open customer service issues, and a robust review of daily activities and metrics.

[REDACTED]
customer service requests resolved during the initial phone call

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT uses communication log software, an electronic database, to track all incoming and outgoing customer service communications. Each communication received by customer service staff is documented electronically and maintained on the company's servers for 10 years. Call data are tracked daily and reviewed on a regular basis by the customer service department. Complaints are tracked and analyzed for quality improvement. Upon request from Arkansas, GT will provide a tracking report of these communications.

D. Provide the method for receiving, responding to, and tracking complaints and/or grievances from Beneficiaries, Employers, Employees, DHS primary contacts or designated contacts by the end of the next business day per the requirement of this section as part of its Technical Response to Section 2.5.14.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT is committed to resolving customer complaints and grievances in a prompt and appropriate manner. GT acknowledges the receipt of complaints within one business day and creates a system for tracking the complaint, including activities taken to resolve the issue. GT provides all consumers with every opportunity to express their concerns or complaints regarding their services, as well as to submit a formal grievance when their concerns are not addressed. GT trains its operations staff to informally address complaints and grievances quickly, including resolving the complaint and/or grievance within five business days. The company maintains an escalation procedure in the event the complaint or grievance cannot be sufficiently resolved by the customer service team. During the person-centered enrollment, employers are provided with a copy of GT's Grievance Policy and Formal Grievance Form. Counselors explain the policy and form and ensure the employer understands that the Formal Grievance Form can be submitted if GT's operations team is not able to sufficiently resolve the issue. Formal grievances are received by the Compliance Department and are investigated by the Director of Compliance.

GT's Compliance Department reviews aggregate complaint reports monthly to identify trends and create corrective action plans when necessary. Participants and their employees also have the option of filing a formal grievance if they do not feel that their complaint was resolved satisfactorily. The grievance policy and a blank grievance form are provided to individuals at the time of enrollment. GT will assist individuals in filing grievances and assure them that their actions will not result in retaliation by GT.

Additionally, if the complaints or grievances involve concerns for the employer's well-being or concerns of fraud and abuse, GT maintains an internal policy to ensure that all such incidents are reported and reviewed and forwarded to the state agency and/or other appropriate governing body. An anonymous 24-hour fraud, waste, abuse, neglect and complaint hotline is available. The Compliance Department investigates and follows up on these reports, including responding in writing to the individual or entity that initiated the grievance with the outcome.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to

E. Provide the Prospective Contractor’s method for receiving, responding to, and tracking call statistics including, but not limited to, call volume, average call times and hold times per the requirement of this section as part of its Technical Response to this RFP.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT holds itself to an extremely high standard and maintains a robust set of performance/operational metrics to ensure the company is exceeding its contracted requirements and SLAs, as well as living up to its brand promises. Performance/operational metrics are analyzed daily as part of the company’s continuous quality improvement initiative. These include standards for enrollment, customer service, payroll, processing and billing, such as average speed of answer, payroll error rate and employer processing/onboarding time.

To ensure a superior customer service experience for all stakeholders, GT tracks the following metrics:

Metric	Goal	2021 Averages

GT uses communication log software to track all incoming and outgoing customer service communications. Each communication received by customer service is documented electronically and maintained on the company’s servers for 10 years. Any customer service metrics that don’t meet operational standards are escalated to the operations manager for follow-up. During the last quarter, GT obtained an requests were resolved during the initial phone call. These factors contribute to GT’s 97.29% customer satisfaction rating.

If any operational standards are not met, the issue is sent to the operations manager for immediate follow-up. GT holds monthly collaborative meetings with internal staff to review current metrics, identify trends and discuss root causes for any issues or challenges, including substantiated complaints, that may have occurred during the previous month. These meetings ensure the company is maintaining compliance with all program requirements while also living up to its operational standards, core values and brand promises.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

In addition to daily tracking of performance metrics, GT also has a sophisticated internal auditing process, which has allowed the company to create efficiencies, conduct proactive continuous quality improvement and increase state agency partners’ overall satisfaction. Throughout this time, GT has never had a significant audit finding. This is further confirmed by GT’s external credentialing by CARF. GT

met and surpassed over 1,200 standards to earn the full three-year reaccreditation in November 2021. GT has maintained CARF accreditation since 2013 and is the only CARF-accredited national FMS provider.



Relevant Attachments for E.9

- Attachment 31 – Communication Accommodations (Pages 341-342)
- Attachment 32 – Culturally and Linguistically Appropriate Services (Pages 343-344)
- Attachment 33 – Incident Reporting (Pages 345-351)
- Attachment 34 – Tracking Communication and Complaints (Pages 352-353)
- Attachment 35 – Beneficiary Grievances Policy (Pages 354-355)
- Attachment 36 – Formal Grievance Form (Pages 356-359)



E.10

| **Education and Outreach**

E.10 EDUCATION AND OUTREACH

A. Prospective Contractor must provide the approach for outreach and education to potential Employer/Beneficiaries as part of its technical response to this RFP.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.15 Education and Outreach Materials (Pages 33 and 34 of the RFP) states:

"The Contractor must submit all educational and outreach materials relating to the Program and/or self-directed services in Arkansas to DHS, in the format requested by DHS, for approval prior to use. DHS will review the submitted educational and outreach materials and either approve or deny them within fifteen (15) calendar days from the date of submission. If DHS does not approve the materials, the Contractor, as applicable, may provide written comments, and resubmit the materials. No educational or outreach materials shall be utilized until receipt of written approval from DHS. Prior to modifying any approved educational or outreach materials, the Contractor shall submit for written approval from DHS, a detailed description of the proposed modification. DHS reserves the right to notify the Contractor to discontinue or modify educational or outreach materials after approval.

A. Materials

1. *All communications and materials must be compliant with the Americans with Disabilities Act, including Section 508 compliance, accessibility, and access to alternate formats.*
2. *All materials shall be in plain language in a manner and format that may be easily understood and written at a fifth grade reading level or lower using at least twelve (12) point font. All material must be readily accessible.*
3. *The Contractor shall provide materials for various audiences and purposes. DHS reserves the right to request specific materials and information.*
4. *The Contractor shall not suggest or imply in advertising or marketing materials that goods or services are endorsed by the state agency. All advertising and marketing materials must be approved by DHS, prior to use.*
5. *The Contractor shall not include The Seal of the State of Arkansas on any written materials, including but not limited to, educational materials, without the written approval by the state agency, as applicable. The Contractor's program and marketing materials shall not mislead, confuse, or defraud Beneficiaries or the State.*
6. *The Contractor shall ensure that all Beneficiary materials, including educational and outreach materials, meet the following specifications:*
 - a. *Articles and/or informational material included in written materials such as newsletters, brochures, etc. shall be approved in writing by the state agency.*
 - b. *The Contractor may also provide required Beneficiary materials/information electronically.*
 - *The material/information must be placed on the Contractor's website in a location that is prominent and readily accessible for Beneficiaries to link to from Contractor's home page;*
 - *The material/information must be provided in a format that can be electronically saved and printed; and*
 - *If an individual requests that the Contractor mail them a copy of the material/information, the Contractor must mail, free of charge, the*

material/information to them within five (5) business days of that request.

- 7. All written program materials shall inform enrollees and potential enrollees how to obtain materials in alternative formats and how to access oral interpretation services and that both alternative formats and interpretation services are available at no expense to the individual or state agency. This information shall be considered a vital document and shall be available at a minimum in the prominent language of the Beneficiary/Employer.*
 - 8. All written program materials shall ensure effective communication and be made available in alternative formats at the request of the Beneficiary, potential Beneficiary, or Surrogate Employer in an appropriate manner that takes into consideration the special needs of the individual with disabilities or limited English proficiency. These alternative formats shall be free of charge to the individual. Alternative formats may include but are not limited to: Auxiliary aids or services, such as Braille, large print, and audio; American Sign Language interpretation, written translations, and language assistance.*
- B. Distribution of Information – The Contractor shall distribute program materials as required by the state agency. The program material information shall be provided to individuals. The Contractor must:*
- 1. Mail a printed copy of the information to the Beneficiary’s or potential Beneficiary’s mailing address;*
 - 2. Provide the information by email after obtaining the Beneficiary’s or potential Beneficiary’s agreement to receive the information by email;*
 - 3. Post the information on its website and advise the Beneficiary or potential Beneficiary in paper or electronic form that the information is available on the Internet and includes the applicable Internet address, if individuals with disabilities who cannot access this information online are provided auxiliary aids and services upon request at no cost; or*
 - 4. Provide the information by any other method that can reasonably be expected to result in the Beneficiary or potential Beneficiary receiving that information.*
 - 5. The Contractor shall provide written notice to Beneficiary/Employers of any changes in policies or procedures described in written materials previously sent to Beneficiary/Employers at least thirty (30) calendar days before the effective date of the change.*
- C. The Contractor shall ensure that all written materials regarding the Self-Direct Program comply with any applicable federal and state laws and regulations.”*

GT will develop customized educational and outreach materials for use in the Arkansas program. All educational and outreach materials relating to the Arkansas program and/or self-directed services in Arkansas will be submitted to DHS, in the format requested by DHS, for approval prior to use. GT will not utilize any educational or outreach materials until receipt of written approval from DHS has been received. Any modifications made to educational or outreach materials will be submitted to DHS for written approval prior to making the modifications. GT understands DHS reserves the right to notify GT to discontinue or modify educational or outreach materials after approval.

In affirmation of 2.5.15 A.1, A.2 and A.3, GT is fully compliant with communication standards in the ADA and Section 508 of the Rehabilitation Act of 1973 and meets all technology access requirements listed in Section 1.26 of the RFP (Page 11), including those under Ark. Code Ann. 25-26-201 et seq. As a standard practice, GT creates all its consumer-facing elements at a 5th grade reading level or lower, and

all program materials, including the EVV system and related training materials, are reviewed regularly to ensure ongoing compliance with the ADA, 28 CFR Part 35 and 45 CFR Part 84. The Caregiver App and all app-related training materials are also available in multiple languages. To ensure communication access, the company trains its staff to serve people who experience a variety of disabilities, including those who are deaf or hard of hearing, or who have visual impairments, intellectual or developmental disabilities, learning disabilities or speech impairments. GT has a multi-faceted approach to communication with a focus on providing high-caliber customer service while simultaneously providing guidance to ensure compliance and program integrity standards. GT will ensure its EVV system and supplemental documentation remain compliant with accessibility requirements imposed by federal or state law. Upon contract award, GT will be happy to provide the State with a completed Voluntary Product Accessibility Template, if requested.

In affirmation of 2.5.15 A.4 and A.5, GT will ensure none of its advertising or marketing materials suggest or imply that goods or services are endorsed by the state agency and that none of its written materials contain the Seal of the State of Arkansas without written approval by the state agency. GT will designate a communications liaison to work directly with DHS on approval of all informational materials and to ensure materials are not misleading, confusing or have the potential to defraud Beneficiaries or the State.

In affirmation of 2.5.15 A.6, GT's communications liaison will work directly with DHS to ensure articles and/or informational materials, including newsletters, brochures, etc. are approved in writing prior to use.

GT will also provide Beneficiary materials/information electronically on its website. GT's website highlights all the services the company provides and includes state-specific pages. The website is easy to navigate and offers views for each user type, including employers and employees, case managers, and state agency partners. This allows each user the benefit of seeing the services as a whole while also being able to view user-specific information. The website is available in multiple languages. GT's in-house staff translate all content to ensure it meets appropriate reading levels and is easy to understand. GT's website meets all accessibility requirements and is compatible with e-readers for participants or staff who experience vision impairments. The website offers state-of-the-art design features, such as customer service live chat options. GT's customer service phone number is also provided, should users prefer to speak live with an associate. Materials related to the Arkansas program will be placed in the Arkansas state-specific page. All materials will be in a format that can be electronically saved and printed, however, if requested, GT can also mail materials to the Beneficiary free of charge and within five (5) days of the request.

In affirmation of 2.5.15 A.7 and A.8, GT currently has all education and outreach materials available in Spanish and translates other documents upon request. Braille and large-print information are also available. GT also has a contract with an established interpreter service that provides in-person sign language and multi-language interpreter services in compliance with Section 1557 of the Patient Protection and Affordable Care Act.

GT's marketing team will ensure all written materials and the company's website inform enrollees and potential enrollees how to obtain materials in alternative formats and how to access oral interpretation services at no expense. During the person-centered enrollment, GT's counselor will also inform the Beneficiary about how to obtain written materials in alternative formats and how to access oral interpretation services.

In affirmation of 2.5.15 B, GT will distribute program materials as required by the state agency. When distributing program materials, GT will ensure the following:

- Beneficiaries or potential beneficiaries receive a printed copy of the information at the mailing address on file;
- Beneficiaries or potential beneficiaries receive a copy of the materials via email if an email agreement is on file;
- Materials are posted to GT’s website and beneficiaries or potential beneficiaries are advised in paper or electronically that the information is available on the Internet. A web address for the information will be included. Individuals with disabilities who cannot access this information online will be provided auxiliary aids and services upon request.
- Materials are provided in other methods that ensure the beneficiary or potential beneficiary receives the information;
- GT will provide written notice to Beneficiary/Employers of any changes in policies or procedures described in written materials sent to Beneficiary/Employers at least thirty (30) calendar days before the effective date of the change.

In affirmation of 2.5.15 C, GT will ensure that all written materials regarding the Self-Direct Program comply with any applicable federal and state laws and regulations. GT stays up to date on federal and state laws and regulations changes through its participation with Applied Self-Direction, an industry group for self-directed programs, and other industry organizations.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

In line with its person-centered approach and Title VI of the Civil Rights Act of 1964, GT focuses on providing services in the person’s preferred language. [REDACTED]

[REDACTED] In addition, the call center provides access to TTY services for those who prefer this level of service. As a standard practice, GT creates all its consumer-facing elements at a 5th grade reading level or lower. Written materials are produced in plain English and will be available in alternative formats (e.g., Braille, large print, compatible with telecommunication devices for individuals with hearing and speech impairments, and languages other than English) in compliance with the Americans with Disabilities Act, including Section 508. All program materials, including the EVV system and related training materials, are available in multiple languages. GT can quickly translate materials into additional languages if requested by DHS.



Relevant Attachments for E.10

- Attachment 3 – Staying Up to Date with State and Federal Agencies (Pages 190-194)

E.11

**Fraud and Abuse
Compliance Plan**

E.11 FRAUD AND ABUSE COMPLIANCE PLAN

A. Prospective Contractor must provide proposed compliance plan for fraud and abuse. The proposed compliance plan must address, at minimum, all requirements outlined for Employers per Section 2.5.16 as part of its technical response to this RFP.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.16 Fraud, Waste and Abuse Compliance Plan (Pages 34 through 36 of the RFP) states:

- A. *"The Contractor shall develop and implement a fraud, waste, and abuse compliance plan for ensuring protections against actual or potential fraud and abuse. The detailed fraud, waste and abuse compliance plan shall define how the Contractor must adequately identify and report suspected fraud, waste and abuse by Beneficiaries, Employers, and Employees. The Contractor's fraud, waste and abuse compliance plan shall address, at a minimum, the following requirements:*
- 1. The Contractor shall develop written policies, procedures and standards of conduct that articulate the Contractor's commitment to comply with all applicable federal and state standards for the identification and reporting of incidents of potential fraud and abuse by Beneficiaries, Employers, Employees and the Contractor and the Contractor's staff.*
 - 2. The Contractor shall establish effective program integrity training and education for Beneficiaries, Employers and Employees.*
 - 3. The Contractor shall establish effective lines of communication with its Beneficiaries, Employers and Employees to ensure compliance with program integrity standards.*
 - 4. The Contractor shall enforce program integrity standards through well-publicized disciplinary guidelines.*
 - 5. The Contractor shall provide information and a procedure for Beneficiaries, Employers and Employees to report incidents of potential or actual fraud and abuse to the Contractor and to the state agency, in a manner and format required by the state agency.*
 - 6. The Contractor's fraud and abuse compliance plan shall include provisions for corrective action initiatives.*
 - 7. The Contractor's, subcontractor's, agents' and alike fraud and abuse compliance plan shall include provisions for cooperating with all fraud and abuse investigation efforts by Office of Medicaid Inspector General (OMIG), Attorney General's Medicaid Fraud Control Unit (MFCU), the state agency, and/or other state and federal agencies.*
- B. *The Contractor shall provide a final copy of the Compliance Plan as part of the Readiness Review and continue to provide updated plan to the state agency on a yearly basis. The state agency will provide notice of approval, denial or modification of the fraud and abuse compliance plan to the Contractor. Upon response from the state agency, the Contractor shall update the Compliance Plan within fourteen (14) calendar days, if applicable.*
- C. *The Contractor shall report any concerns regarding health, safety and welfare and the Beneficiaries' ability to participate in self-direction to the state agency, as well as concerns regarding Surrogate Employers.*
- D. *Responding to Critical Incidents and Reportable Events: The Contractor, employees, agents, subcontractors and those alike must report all Critical Incidents occurring to any Beneficiary in a Self-Directed HCBS Program to the state agency within twenty-four (24) hours of witnessing or discovering such incident and must also report such events to Adult Protective Services (APS),*

Child Protective Services (CPS), or law enforcement in accordance with federal and state laws and regulations.

- 1. Critical incidents shall include, but not be limited to, the following incidents when the occur in an HCBS delivery setting to Self-Direction Management Service Beneficiary:
 - a. Any unexpected death of a Self-Direction Management Service Beneficiary, regardless of whether the death occurs during the provision of HCBS;*
 - b. Suspected physical or mental abuse of a Self-Direction Management Service Beneficiary;*
 - c. Theft against a Self-Direction Management Service Beneficiary;*
 - d. Financial exploitation of a Self-Direction Management Service Beneficiary;*
 - e. Severe injury sustained by a Self-Direction Management Service Beneficiary;*
 - f. Medication error involving Self-Direction Management Service Beneficiary;*
 - g. Sexual abuse and/or suspected abuse and neglect of a Self-Direction Management Service Beneficiary; and*
 - h. Abuse and neglect and/or suspected abuse and neglect of a Self-Direction Management Service Beneficiary.**
- 2. The Contractor must report all Reportable Events, as those events are specified in the Contractor Risk Agreement, occurring to any Self-Direction Management Service Beneficiary within the timeframes specified within the Contractor Risk Agreement upon witnessing or discovering such events, and shall also report such events to Adult Protective Services (APS), Child Protective Services (CPS), or law enforcement in accordance with federal and state laws and regulation.*
- 3. The Contractor shall respond to allegations of Critical Incidents and Reportable Events after reporting as follows:
 - a. If the allegation is in reference to an Employee, the Contractor shall contact the Beneficiary/Employer to determine whether the Beneficiary/Employer chooses to remove the Employee during the course of the investigation. The Contractor shall notify the state agency regarding the Beneficiary/Employer's decision. If the Beneficiary needs and new Employee, the Contractor's Enrollment Team shall support the Beneficiary/Employer, if requested, in helping the Beneficiary/Employer enroll a suitable replacement Employee.*
 - b. If the allegation is in reference to a Beneficiary's Surrogate Employer, the Contractor must contact the Beneficiary to determine whether the Beneficiary chooses to appoint a new Employer during the investigation. The Contractor must notify the state agency regarding the Beneficiary's decision. If the Beneficiary needs a new Employer, the Contractor's Enrollment Team must support the Beneficiary in enrolling a new Employer with updated Employee paperwork, as applicable.*
 - c. In the event a Surrogate Employer (Employer of Record/EOR) of a Beneficiary is alleged to have committed abuse, neglect or exploitation against the Beneficiary, the Contractor shall immediately remove the EOR from his or her EOR capacity during the investigation. During such removal, the Beneficiary's participation in Program shall be suspended. During the suspension, the Contractor must work with the Beneficiary to identify a replacement EOR. If a replacement EOR cannot be identified with ten (10) business days, the Beneficiary shall be disenrolled from Self-Direction Management Services and transitioned to agency services. If the investigation concludes the allegations against the EOR are unsubstantiated, both the Beneficiary's and the EOR's**

participation in the Program shall be reinstated. However, if the allegations against the EOR are substantiated, the Contractor must work with the Beneficiary to identify a replacement EOR. If a replacement EOR cannot be identified within ten (10) business days from completion of the investigation, the Beneficiary shall be disenrolled from Self-Direction Management Services and transitioned to agency services.

- d. As the Employer of Record, the Beneficiary/Employer shall ultimately determine the appropriate corrective action(s) for the Employee, including when such actions relate to an Employee who is responsible for a Critical Incident or Reportable Event against the Beneficiary. However, the Contractor or state agency may offer recommendations and/or assistance to the Beneficiary/Employer in making the determination for corrective action, if requested by the Beneficiary/Employer.*
- 4. The Contractor must report corrective actions determined by the Beneficiary/Employer to the State Agency. If a critical incident or reportable event allegation are substantiated against an EOR or Employee because of an investigation, the EOR or Employee shall no longer be allowed to participate in the Program. Further, the Contractor must notify the state agency within forty-eight (48) hours of a person being found on any abuse registry. If the investigation is unsubstantiated, the Beneficiary/Employer may elect to retain the Employee, or the Beneficiary may elect to retain the EOR.*
- 5. DHS, with appropriate assistance from the Contractor, may initiate action to involuntarily disenroll the Beneficiary from the Program at any time the state agency determines that the Beneficiary/Employer's decisions or actions contributed to fraud or an incident/event that constitute unreasonable risk such that the Beneficiary's needs can no longer be safely and effectively met in the community while participating in the Program including a Beneficiary/Employer's decision to retain an Employee either during or after an investigation when such Employee is alleged to have committed a Critical Incident or Reportable Event, as applicable, and retaining such an Employee poses a risk to the Beneficiary's health and safety."*

In affirmation of 2.5.16 A.1, GT has a dedicated compliance team to enhance GT's services and focus on continuous quality improvements. This group focuses on development of policies and procedures to meet contractual compliance, health and safety requirements for beneficiaries, and adherence to state and federal laws. GT exercises a quality control process on its documents that is specifically tailored to each function it delivers to beneficiaries by including detailed checklists, required signatures, and approvals. GT believes this responsibility accurately reflects the company's core values to ensure quality services are provided to the self-direction community. This belief is incorporated throughout GT's policies and procedures.

GT has systems in place, as well as written policies, procedures and internal controls, that govern its record management process and meet all state, federal and HIPAA requirements. GT has a robust selection of reports available, including monthly and year-to-date summaries of monies paid. GT has a notification system, outlined in its policy and procedures, to alert contract monitors of situations identified as potential misuse of authorized funds immediately upon discovery through a formal incident report, submitted via email and followed up by a telephone call the next business day. Fraud and abuse can undermine the efficacy of self-determination if proper steps are not taken to prevent it and address it when it does occur. GT has developed a diligent process to perform both of these functions through the company's fraud prevention program, as outlined in its Policies and Procedures Manual. When fraud is identified, GT creates a critical incident report and provides

notification to the contract monitors through a formal report submitted via email, followed by a telephone call from the GT compliance department the next business day.

GT will identify trends and patterns of excessive billing or unusual circumstances, which will be documented and reported to contract monitors. The compliance team holds a comprehensive understanding of state and federal policies that impact self-directed services: employment law considerations; trends in long-term supports and services; best practices in health care privacy; prevention of fraud, waste and abuse; performance management; and internal controls. The operations team tracks utilization to ensure that beneficiaries do not exceed budget parameters. GT's operations team identifies potential fraud, waste and abuse issues and creates incident reports that the compliance team investigates and reports to the state agency. Compliance and quality teams monitor contract compliance, including initiation of service and counselor performance. Compliance and quality teams also track complaints. Counselors assist with withdrawal from services as necessary. GT's operations team members will report changes in a beneficiary's needs and/or circumstances to the appropriate case manager immediately.

Some examples of changes in needs or circumstances that could be a flag include the following:

- Beneficiary loses backup employee
- Beneficiary indicates increased/decreased need for service hours
- Beneficiary indicates potential fraud risk
- Beneficiary indicates potential health and safety risk (this may also be covered by critical incident reporting policies)
- Beneficiary needs to adjust employee pay
- Beneficiary indicates desire to withdraw from self-direction
- Beneficiary changes programs

Counselors and customer service (operations team) members receive training on how to address a change of need or circumstance. Trends in the receipt, completion and resolution of complaints will be tracked using GT's data system. Fraud and abuse can undermine the efficacy of self-determination if proper steps are not taken to prevent it and address it when it does occur. GT has developed a diligent process to perform both these functions through its fraud prevention program as outlined in its Policies and Procedures Manual.

Additionally, GT uses budget controls to ensure that only eligible employees are paid for work rendered. GT has a "Do Not Pay" control that guarantees that employees who are ineligible for pay do not receive funds. This is one mechanism the company uses to control for fraud, waste, and abuse. Likewise, GT staff complete incident reports, which are investigated by the compliance team, whenever fraud is suspected. GT also takes active measures to prevent fraud. A prevention-of-fraud letter is provided to every beneficiary upon enrollment to alert them to the potential for fraud, and its consequences.

GT will keep all records available for inspection at any time by DHS/DPSQA. The records are maintained on the company's servers for 10 years. GT has a robust internal auditing function that reviews compliance requirements for any given program against the files and data present. As a part of the company's business development/implementation function, it will note DHS/DPSQA's compliance requirements along with laws and regulations that apply in Arkansas.

In affirmation of 2.5.15 A.2, GT founded its FMS business on a person-centered approach. The company believes that effective beneficiary/employer and employee enrollment and training provide a solid foundation that leads to successful self-directed arrangements.

GT maintains a business model that is holistic in nature and introduces beneficiaries to FMS. This includes but is not limited to enrollment meetings and initial training for the beneficiary and employees, introduction to and explanation of GT's web portal, electronic submission of service documentation, program integrity, and reporting tools available to beneficiary. Individuals are provided a survey that offers them the opportunity to provide feedback on the enrollment.

The survey covers a variety of topics regarding the enrollment meeting, including whether the information was explained in a way that could be understood and whether or not the beneficiary feels prepared to self-direct their services, in addition to other items. GT's overall enrollment survey scores average 97.29% in all areas.

After the initial enrollment, GT's trained customer service staff can address training needs and service requests such as timesheet coaching, budget tools and reporting needs, and technical assistance with GT's web portal or mobile application.

In affirmation of 2.5.16 A.3, in keeping with the company's person-centered approach, GT focuses on delivering a superior experience to all those it serves. GT has a multifaceted approach to communication with beneficiaries, employers and employees, with a focus on ensuring high-caliber customer service while simultaneously providing guidance for compliance and program integrity standards.

GT's customer service teams effectively support stakeholders in their use of the company's systems through the provision of superior customer support. GT's toll-free number (877-659-4500) is in operation from 8am to 5pm CST, with multiple bilingual staff. GT also has access to translation services and can communicate in any language to meet beneficiaries' needs. In addition, the call center provides access to TTY services for those who prefer this level of service. All voicemail messages are responded to within 24 hours. GT currently has all forms available in Spanish and translates documents to other languages upon request. Moreover, the company's EEV app is translated into other languages and has the capacity to quickly add new languages to fully support beneficiaries and employers. Support is provided through fax, mail, webinars, training bulletins, written newsletters and electronic communications.

The support team provides excellent technical assistance to all program stakeholders. Support team members receive significant training and guidance as they develop in their roles at GT.

In affirmation of 2.5.16 A.4, GT has extensive policies and procedures in place to ensure the highest level of program integrity. The company has program-specific procedures for all the states currently served and will customize these procedures for the State of Arkansas.

During the enrollment meeting, beneficiaries/employers learn about their role as a common-law employer. The power to manage employees, with regard to hiring, training, scheduling services and termination, is the core of self-directed services. These specific employer authorities are outlined in the employment agreement and signed by both the beneficiary and employee. The roles and responsibilities of all parties — including the beneficiary, the employee, the financial management services provider and

the case manager — are discussed. This extra educational step is an effective way to communicate and clarify expectations across the service.

GT provides a beneficiary/employer manual that outlines all the program expectations as well as the disciplinary guidelines related to fraud, waste and abuse. GT provides each employer with a prevention-of-fraud letter upon enrollment to alert them to the potential for fraud, and its consequences. GT provides training for all employers, as well as retraining, as needed, if needs or concerns arise. Additionally, GT reports all suspected cases of fraud, waste and/or abuse to the proper state, federal and law enforcement authorities, when required.

GT will also develop a Participant Employer Handbook for the Arkansas program. The company finds the manual to be an important tool for both training and reference in self-directed arrangements. GT has established processes to routinely inform and assist employers to comply with state and federal labor, tax and employment requirements, including webinars, tutorials, email and call campaigns and portal notifications to keep employers up to date.

In affirmation of 2.5.16 A.5 and A.6, GT will provide information and a procedure for beneficiaries, employers and employees to report incidents of potential or actual fraud and abuse to GT and to DHS/DPSQA, in a manner and format required by the state agency. This will be contained within the program manual for the Arkansas programs.

GT has developed and maintains a robust proprietary software system for the tracking of all communications. The company's communication log records, for each communication, the names of the beneficiary and employee, the date of request for assistance, the details of the request, and the response from GT staff, in addition to other data elements. If a communication is determined to be a complaint, then this is noted in the communication log. GT aggregates this information into an internal report and can share this with DHS/DPSQA as required.

Additionally, if the complaints or grievances involve concerns for the beneficiary's well-being or concerns of fraud and abuse, GT maintains an internal policy to ensure that all such incidents are reported and reviewed and forwarded to the state agency and/or other appropriate governing body. An anonymous 24-hour fraud, waste, abuse, neglect and complaint hotline is available. The Compliance Department investigates and follows up on reports of fraud, waste, abuse and neglect and reviews aggregate concerns monthly to identify trends and create corrective action plans, when necessary.

In affirmation of 2.5.16 A.7, GT processes all information requests from federal, state and any other qualified entities promptly and appropriately, including requests from OMIG and MFCU. GT also regularly provides information in state program integrity audits and investigations, state unemployment hearings, civil legal actions and credit checks. GT has developed significant relationships with state and federal employees, which allows the company to contact the appropriate agencies directly to assist with any concerns regarding fraud, waste and abuse investigations.

GT will act strictly as the employer's agent when releasing information and will confirm and abide by the requester's authority to request information. All correspondence will be documented and maintained in the employee's file.

In affirmation of 2.5.16 B, GT will provide a final copy of the Compliance Plan as part of the Readiness Review prior to the contract go-live date and will update the plan on a yearly basis. GT has successfully

completed readiness reviews multiple times; however, if based on the results of the readiness review, the state determines that GT does not meet standards, GT will develop a written corrective action plan within 14 business days of notice for approval by contract monitors. GT will address any outstanding issues that are identified during the readiness review process. Once approved, GT will implement any corrective actions within the required time frames.

In affirmation of 2.5.16 C, D.1, D.2, D.3, D.4 and D.5, GT has a robust set of policies and procedures to ensure quality assurance with services. The health, safety and welfare of the beneficiaries and surrogate employers it supports is very important to GT. To protect the beneficiary's health and safety, the response to reportable events must be swift and appropriately documented. GT responds to critical incidents and reportable events within 24 hours and trains staff on how to handle these incidents and events. Critical incidents and reportable events shall include, but not be limited to, any unexpected death, suspected physical or mental abuse, theft, financial exploitation, severe injury, medication error, sexual abuse or suspected sexual abuse, and neglect or suspected abuse and neglect of any beneficiary. GT's quality and compliance teams ensure compliance with the policy. GT staff will make these reports whenever the company receives an allegation or confirmation of an incident that adversely impacts or has the potential to adversely impact the health, safety or welfare of a beneficiary. The incident report is immediately sent to GT's Compliance Department, which will gather documentation and determine whether an incident is a reportable event. Compliance will report the issue to contract monitors and conduct an investigation. Contract monitors will be provided with the conclusion of GT's investigation. If the incident is determined to be a reportable event, then contract monitors will be notified within 24 hours and Adult Protective Services, Child Protective Services, Developmental Disabilities Administration and/or law enforcement will be contacted as applicable.

If there is an allegation in reference to an employee, GT will contact the beneficiary/employer to determine if they wish to suspend services during the term of the investigation. Once the investigation concludes, if the allegation was substantiated GT will support the beneficiary/employer in terminating the employee and finding a replacement employee, should the need exist. Since the employer of record (EOR) is the legal employer, GT will work with the EOR with regard to any actions related to employees, including critical incidents or reportable events.

If there is an allegation in reference to the beneficiary's surrogate employer, GT will contact the beneficiary to determine if they wish to appoint a new surrogate employer during the term of the investigation and GT will notify the state agency regarding the beneficiary's decision. If a new surrogate employer is desired, GT will work with the beneficiary to enroll the new surrogate employer and update the employee paperwork, as applicable. If there is an allegation in reference to the beneficiary's surrogate employer involving abuse, neglect or exploitation against the beneficiary, GT will suspend the EOR's role during the term of the investigation and suspend the beneficiary's services until a replacement EOR is selected. If a new EOR cannot be identified and enrolled within 10 business days, the beneficiary will be transferred to an agency-based service. If the allegations are unsubstantiated, the EOR can resume the role with the beneficiary, and GT will resume services for both the beneficiary and the EOR.

GT will inform DHS/DPSQA of allegations that are substantiated related to an EOR or employee, or if the person is found on an abuse registry, within 48 hours, or as required by DHS/DPSQA. GT maintains a "terminated employees" record system to ensure that employees previously terminated for cause are not eligible to work and do not receive unauthorized payments from any beneficiary. GT will implement the state agency decision to disenroll a beneficiary from GT services when GT receives notification from

the state agency that a beneficiary is involved in fraud, waste or abuse that resulted in the end of services for that beneficiary.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has a dedicated compliance team to enhance GT's services and focus on continuous quality improvements. This group focuses on contractual compliance, health and safety requirements for beneficiaries, and adherence to state and federal laws. GT exercises a quality control process on its documents that is specifically tailored to each function it delivers to beneficiaries by including detailed checklists, required signatures and approvals. GT believes this responsibility accurately reflects our core values to ensure that we provide quality service to the self-direction community. This belief is incorporated throughout the company's policies and procedures.

GT has systems in place as well as written policies, procedures and internal controls that govern its record management process and meet all state, federal and HIPAA requirements. GT has a robust selection of reports available, including monthly and year-to-date summaries of monies paid.

GT will keep all records available for inspection at any time by DHS/DPSQA. The records are maintained on the company's servers for 10 years. GT has a robust internal auditing function that reviews compliance requirements for any given program against the files and data present on its servers. As a part of the company's business development/implementation function, it will note DHS/DPSQA's compliance requirements along with laws and regulations that apply in Arkansas.



Relevant Attachments for E.11

- Attachment 3 – Staying Up to Date with State and Federal Agencies (Pages 190-194)
- Attachment 23 – Record Management (306-307)
- Attachment 33 – Incident Reporting (345-351)
- Attachment 34 – Tracking Communication and Complaints (Pages 352-353)
- Attachment 35 – Beneficiary Grievances Policy (Pages 354-355)
- Attachment 36 – Formal Grievance Form (Pages 356-359)
- Attachment 37 – Fraud Prevention Program Policy (Pages 360-363)



E.12

**Record Management Process
and Miscellaneous**

E.12 RECORD MANAGEMENT PROCESS AND MISCELLANEOUS

A. Prospective Contractor must provide Prospective Contractor's proposed Continuity of Operations Plan (COOP) as part of its technical response to Section 2.5.17.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.17 C within Record Management Process and Miscellaneous Requirements (Page 36 of the RFP) states:

"C. The Contractor shall have an approved Continuity of Operations Plan (COOP) in place for restoring software and master files, and hardware backup in the event management information systems are disabled to ensure the payroll and payment systems remain intact.

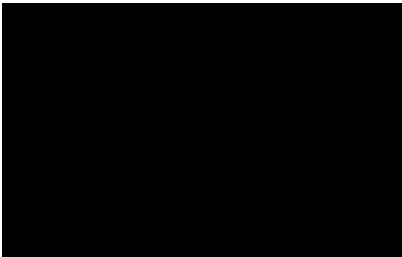
1. *The Contractor's COOP shall contain, without limitation, contingency plans for*
 - *Pandemics*
 - *Natural disasters*
 - *Fire*
 - *Data storage and recovery*
2. *The Contractor must perform annual testing and updating of the disaster recovery plan and all COOP activities. The plans must be reviewed and approved by DPSQA.*
3. *The Contractor shall provide documented results annual testing to DPSQA by July 1st of each year. Documented results must include any shortcomings and/or enhancements made to maintain the contract requirements. The plans must be reviewed and approved by DPSQA.*
4. *In the event of a disaster, the Contractor shall perform disaster recovery for electronic and hard copy files according to the proposed disaster recovery plan. All recovery efforts shall be documented and reported to DHS within two (2) weeks following the event."*

In affirmation of 2.5.17 C, GT has a robust disaster response plan to respond to natural disasters, fires and pandemics, as well as incidents affecting data storage and recovery. The plan includes a detailed chain of communication and command.

For each beneficiary at the time of enrollment, GT's customer service team creates a digital file that meets all HIPAA, state and federal compliance requirements. Once created, digital files are backed up immediately during the next scheduled daily complete system backup. Daily digital backup files are stored off-site as an added security measure. GT technology staff regularly perform tests on file servers and backup data to ensure the accuracy of backup data and to test the disaster recovery/emergency preparedness response to a potential data event. GT has a testing schedule that includes weekly, monthly and biannual testing, as outlined in the company's Disaster Recovery and Emergency Preparedness Plan. GT will supply DPSQA with testing results annually by July 1st and will include any shortcomings and/or enhancements made in order to maintain contract requirements.

Plan Testing and Maintenance

This plan will need to be tested on a periodic basis to discover errors and omissions and will need to be maintained to address them. At a minimum, the following critical pieces to DR plan will be tested on a schedule.

Core Function	Frequency
	Weekly
	Monthly
	Monthly
	Annual

Systems are maintained to allow GT to return to full operations within 24 hours in the event of a data emergency. This recovery time is possible thanks to the company's redundant hardware hosts for the virtual environment, along with high-availability configurations, off-site backups and redundant replications of servers. GT has a sophisticated approach, with the use of all electronic files, allowing the company to swiftly resume work in the event of a disaster. GT's duplicative system ensures that only 35 seconds of data will be lost in this type of event. GT employs a 256-bit encryption system on all electronically transmitted protected health information to ensure that HIPAA-compliant security levels are met and exceeded when data are transferred by email and other electronic transfer methods.

GT's rigorous Disaster Recovery and Emergency Preparedness Plan has been successfully executed in several key states that have been heavily impacted by extreme weather events, such as hurricanes and winter storms, and most recently by COVID-19. During the company's most recent COVID-19 preparedness procedures, GT seamlessly continued to process timesheet submissions and payments without impact to employers or employees.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT's security officer and internal committee hold monthly security meetings to promote continuous quality improvements in GT's data security and to perform maintenance of GT's internal data and security processes. Furthermore, all employees are trained upon hire and annually regarding HIPAA, confidentiality requirements and data security to promote a base level of understanding of confidentiality, data maintenance and data security requirements.

- Access control
- Audit logging and monitoring
- Business continuity and disaster recovery
- Configuration management
- Data protection and privacy
- Education, training and awareness
- Endpoint protection
- Incident management
- Information protection
- Mobile device security
- Network protection
- Password management
- Physical and environmental security
- Portable media security
- Risk management
- Third-party assurance
- Transmission protection
- Vulnerability management
- Wireless security

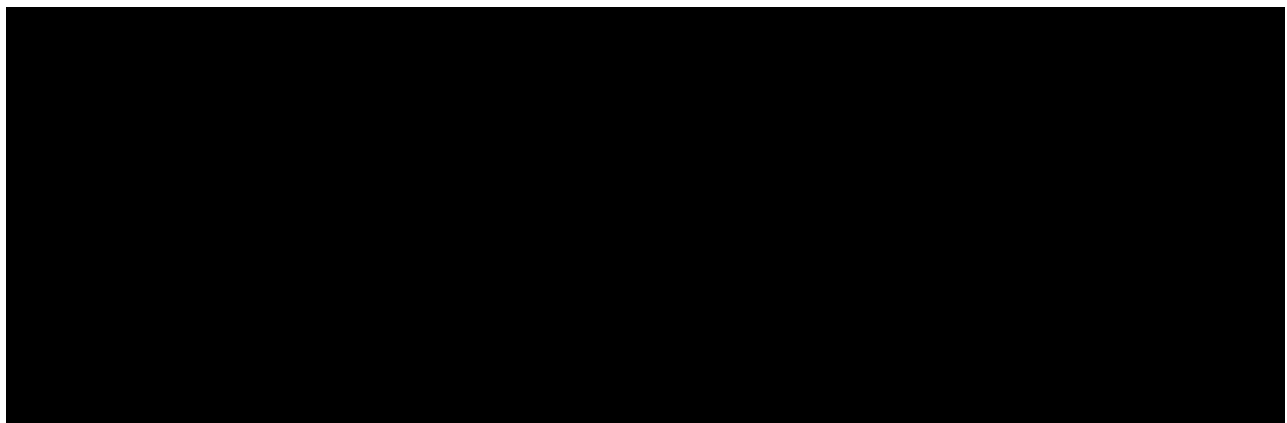
B. Prospective Contractor must propose an identification system that provides active Beneficiaries a unique identifier for the purposes of this scope of work as part of its technical response to this RFP.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

Within GT’s proprietary information system, each beneficiary and their employees are assigned a six-digit identification number when their file is created with GT and the person is enrolled. This identification number is the link to the person’s systems access, from the beginning of services through each of GT’s proprietary systems. This allows GT to develop and provide both individual and aggregate reports for participants and state agency personnel.

Systems linked and connected with the identifier include:



In addition to being HIPAA compliant, GT’s technology platforms integrate seamlessly, providing the State of Arkansas with benefits not offered through other FMS providers.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT’s commitment to high quality extends to the company’s data systems. This includes obtaining [REDACTED] certification, which is the gold standard for IT security and encompasses

compliance with ISO/IEC 27000-series, HIPAA, National Institute of Standards and Technology (NIST) and Health Information Technology for Economic and Clinical Health (HITECH) standards.

C. Prospective Contractor must propose an approach for ongoing compliance with federal and State rules and regulations regarding Fiscal/Employer agents and Household Employers per Section 2.5.17.D as part of its technical response to this RFP.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

2.5.17 D within Record Management Process and Miscellaneous Requirements (Page 37 of the RFP) states:

"Requirements for Staying Current with Federal and State Rules and Regulations Regarding Contractor Fiscal/Employer Agents and Household Employers:

5. *The Contractor shall review the following and ensure the Contractor's website is updated with the latest forms and all are accessible to DHS, individuals and Employees at all times:*
 - *All IRS form, instructions, notices and publications related to Contractor Fiscal Employer Agents, individuals, and Employees and preparing, filing, and depositing federal taxes on behalf of individuals the Contractor represents.*
 - *All applicable US Citizenship and Immigration Services (USCIS) rules, forms (i.e., IRS Form I-9, Employment Eligibility Verification), and instructions.*
 - *All applicable federal Department of Labor rules, forms, and instructions related to individuals and Employees pertaining to the Federal Fair Labor Standards Wage and Hour Rules.*
6. *The Contractor shall review all state income tax withholdings, instructions, and manuals related to Contractor Fiscal Employer Agents, Beneficiary/Employers, and Employees. The Contractor shall prepare, file, and deposit state taxes on behalf of individuals the Contractor represents.*
7. *The Contractor shall follow and stay current with state worker's compensation insurance laws and mandatory disability laws pertaining to individuals who hire personal care and other support service workers.*
8. *The Contractor shall document and report, at least quarterly, all activities relating to "Contractor Fiscal/Employer Agents and Household Employers."*

GT will comply with all applicable federal, state and local rules, regulations and laws related to the provision of the service. GT has extensive policies and procedures in place to ensure the highest level of program execution and service. These policies and procedures are reviewed at least annually. GT stays up to date on federal and state regulation and/or operations changes through its participation with Applied Self-Direction and other industry organizations. Regulation and/or operations changes are incorporated into GT's policies and procedures.

Over its 18 years of service, GT has completed its own internal audits as well as participated in state and federal audits, as requested. Elevating the company's processes to include internal auditing has allowed GT to create efficiencies, conduct proactive continuous quality improvement and increase state agency partners' overall satisfaction. Throughout this time, GT has never had a significant audit finding. This is further confirmed by GT's external credentialing by the Commission on Accreditation of Rehabilitation Facilities (CARF), an international independent nonprofit organization that advances the quality of health and human service providers and ensures high-quality and compliant service. GT met and

surpassed over 1,200 standards to earn the full three-year reaccreditation in November 2021. GT has maintained CARF accreditation since 2013.

GT has a website with dedicated state pages that provide access to information for state agencies, individuals and employees at all times. This includes access to relevant program information, online enrollment assistance for employers and employees, and GT's portal for access to real-time reporting.

[REDACTED]

The enrollment process includes enrollment activities for the employer/beneficiary and all of their employees. During the enrollment, GT staff assist in the completion and verification of required forms, including, but not limited to, Form I-9 Employment Eligibility Verification, Form W-4 Withholding Certificate, forms relating to the employees' preferred payment method, relationship disclosure, job description and employment agreement. Once completed, these forms are uploaded and formatted electronically with the required signatures, along with the supporting documents required by law for employability. As part of this process, GT ensures that all files are accurate, protected and stored electronically, while confirming the current employability status of all employees.

As a part of the company's business development/implementation function, GT will note DPSQA's compliance requirements along with laws and regulations that apply in Arkansas. To coordinate this process effectively, GT uses an implementation checklist that includes the documentation and understanding of rules and regulations applicable to payroll, workers' compensation, employee tax exemption, local taxes, paperless pay rules and disbursement time frames. These items are reviewed annually for updates.

[REDACTED]

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

Over its 18 years of service, GT has completed its own internal audits as well as participated in state and federal audits, as requested. Elevating the company's processes to include internal auditing has allowed GT to create efficiencies, conduct proactive continuous quality improvement and increase state agency partners' overall satisfaction. Throughout this time, GT has never had a significant audit finding. This is further confirmed by GT's external credentialing by the Commission on Accreditation of Rehabilitation Facilities (CARF), an international independent nonprofit organization that advances the quality of health and human service providers and ensures high-quality and compliant service. GT has maintained CARF accreditation since 2013.



GT is an active member of Applied Self-Direction (ASD), an industry group made up of fiscal agents, state agencies and health plans. ASD provides member organizations with access to research-based information and current trends, which GT is then able to share with its partners, such as DPSQA. GT continues to promote and innovate best-in-class practices in assisting stakeholders, with the sole purpose of promoting self-direction and thus helping people live a life of their choosing, regardless of age or ability.

D. Describe how the Prospective Contractor will capture all interactions between the Contractor, program Participants, and employees.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

To capture all interactions between GT, program participants and employees, GT utilizes robust proprietary communication log software to track and record all incoming and outgoing communications. Information recorded for each communication includes, but is not limited to, the names of the beneficiary and employee, the date of the communication, what assistance is requested, GT's response, and the date of the response. Call data are tracked daily and reviewed on a regular basis by the customer service department. GT has the ability to provide tracking of all calls by type, including answer speed, hold time, talk time, dropped calls, budget, contact update, dropped call, enrollment, form, status/request, other, payment, status change and timesheets.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

Every communication received by customer service staff is documented electronically and maintained on the company's servers for 10 years. Call data are tracked daily and reviewed on a regular basis by the customer service department. Complaints are tracked and analyzed for quality improvement. Upon request from DHS/DPSQA, GT will provide a tracking report of these communications.



Relevant Attachments for E.12

- Attachment 3 – Staying Up to Date with State and Federal Agencies (Pages 190-194)
- Attachment 24 – Disaster Recovery and Emergency Preparedness Plan (Pages 308-323)
- Attachment 25 – Disaster Recovery for Computerized Records (Page 324)
- Attachment 26 – Privacy and Security Controls (Pages 325-327)
- Attachment 38 – HIPAA Policy (Pages 364-366)
- Attachment 39 – HIPAA Privacy Reporting and Data Breaches Policy (Pages 367-369)
- Attachment 40 – HIPAA Violation Guidelines Matrix (Pages 370-372)
- Attachment 41 – CARF Accreditation Letter (Pages 373-374)

E.13

Electronic Visit Verification

E.13 ELECTRONIC VISIT VERIFICATION

A. Describe the Propsective Contractor’s electronic visit verification (EVV) system and provide a completed Arkansas Third-Party EVV System Declaration Form.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT will use its own EVV-Compliant Caregiver App for this program. This solution offers leading-edge online service documentation through the company’s own web-based timekeeping EVV-compliant mobile application, which allows for seamless integration of EVV-compliant service documentation and reporting. After limited success finding a product on the market that fit the unique needs of self-direction, GT designed its own app with the help of the company’s established Participant Feedback Committee. The system was designed and tested by individuals using self-directed services. With their input, GT was able to design a smooth, easy-to-use EVV application that makes the time-collection process simple and compliant.

GT’s EVV-compliant Caregiver App captures the six core components of an EVV system. Additionally, GT works within the state of Maine, which has been certified by CMS regarding all KPI requirements surrounding EVV.

Core Components of an EVV System

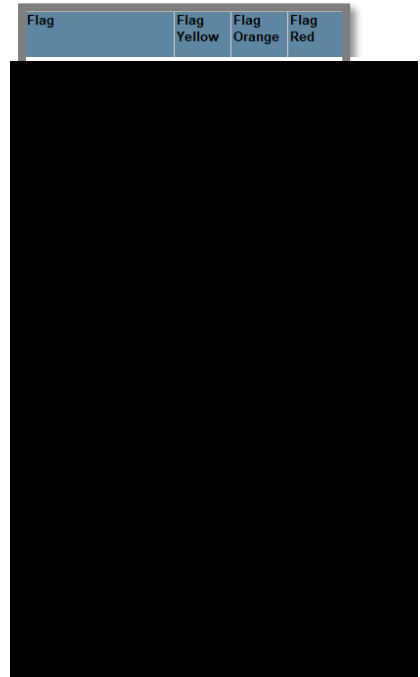
- | | |
|----------------------------------|------------------------------------|
| 1. Type of service performed | 4. Location of service delivery |
| 2. Individual receiving services | 5. Individual providing services |
| 3. Date of service | 6. Begin and end times of services |

The Caregiver App is tightly integrated with GT’s other proprietary information systems, including its online portal and fiscal management system, which means GT’s IT team can troubleshoot and problem solve without any impact to the employer and employee. The Caregiver App automatically uploads into GT’s data system and is sophisticated in its ability to monitor incoming data to track participant status and other participant-related information. From there, GT is able to create a variety of reports for employers, employees and state agency staff. GT stores reports in the portal, which allows real-time access to data for state agency staff. This access also provides the ability to download information into Excel documents and the manipulation of data to draw additional conclusions.

The Caregiver App allows GT to capture relevant service data that is EVV compliant and to leverage the data in a way that is responsible and provides insight to stakeholders. Below are some of the unique features and reporting capabilities of the Caregiver App:

- **EVV Shift Details** – This report includes all the details of shifts, including differences between reported time worked and the GPS clock-in and clock-out time captured. It identifies [REDACTED] and identifies the date and time of approval. The report includes flagging that detects unusual activity based on the shift data. Flags [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED] A shift may be flagged for multiple reasons.

- **Manual Shifts** – Manual shifts are created when an individual does not clock in and out at the beginning and end of a shift but instead creates a shift manually by inputting relevant shift details, such as the date, start and stop time, and service provided. It’s a feature that is necessary to include to ensure that participants who forget to clock in have an option to record their time worked for payment.
- **Clocked Out Early** – Clocking out early is flagged when an individual clocks out for a shift but alters their reported shift end time to be later than 15 minutes after the present time. This could be concerning if someone is not finishing their shift, however, it should be noted that this could also indicate a training issue or an employee who is frequently forgetting to clock out and deciding to do so earlier in the shift so that they remember. This report looks at an overall agency percentage and individual employer/employee relationship percentages so that stakeholders can identify and address trends. This report does not include manual shifts in its calculations.
- **Provider Question Responses** – This report taps into the invaluable information direct support professionals have about the participant served. GT utilized this unique feature during the COVID-19 pandemic. Partnering with the State of Maine on this pilot, GT asked participants two targeted questions through the app, one about COVID-19 symptoms and the other about access to food and supplies. Based on the responses, the State took action to make health-related referrals for any person who indicated COVID-19 symptoms and to increase access to food and supplies for those indicating this need. This feature is flexible and can be configured to ask any yes or no questions to an employee about the employer or themselves. Responses gathered can be reported in real time.



Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

Please see the GT video at gtindependence.com/EVV, which addresses some of the key issues traditional EVV systems pose for self-directed programs. Since GT’s system was developed in-house, the company’s robust team of software engineers can quickly and easily make updates to the system or fix bugs without waiting on a third party. The table below demonstrates the differences between standard time submission methods, traditional EVV providers and GT’s Caregiver App.

	Standard Time Submission Methods	Traditional EVV Providers	GT Independence EVV Solution
--	----------------------------------	---------------------------	------------------------------

	X	X	X
	X	X	X
	X	X	X
		X	X
		?	X
		?	X
	X	?	X
	X	?	X
			X
	X		X
	X		X
			X
			X
		X	X
			X
		X	X

B. Describe the proposed hosting environment.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT’s headquarters and data center have redundant power provided from batteries and a natural gas generator. Using cloud integration, GT’s customer service phone lines and other communication systems are available from any location. In addition, data are currently replicated from the main servers to off-site servers throughout the day. Data security and availability is a high priority of the company.

Systems are maintained to allow GT to return to full operations within 24 hours in the event of a data emergency. This recovery time is possible thanks to the company’s redundant hardware hosts for the virtual environment, along with high-availability configurations, off-site backups and redundant replications of servers. GT has a sophisticated approach, with the use of all electronic files, allowing the company to swiftly resume work in the event of a disaster. GT’s duplicative system ensures that only 35 seconds of data will be lost in this type of event.

GT employs a 256-bit encryption system on all electronically transmitted protected health information to ensure that HIPAA-compliant security levels are met and exceeded when data are transferred by email and other electronic transfer methods.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

All GT data centers and operational units are secured using a badge system, motion sensing alarm system and security cameras at all entry and exit doors. GT employs its own maintenance staff who may coordinate third-party maintenance. Facility managers, appointed by the executive team, work with the maintenance team to properly identify the procedures for building and equipment maintenance. Facility managers work with IT to appropriately identify the physical controls that need to be in place at each GT site. Additionally, facility managers work with GT's compliance department to ensure that policies, procedures, standards and guides are shared with GT staff and meet all state and federal requirements. These procedures are reviewed by the facility and maintenance teams annually or upon a major change, as directed by the compliance department.

C. In detail, describe the security measures of the EVV system including safeguards to protect against fraudulent activities.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT's commitment to high quality extends to the company's data systems and EVV-compliant mobile app. This includes obtaining [REDACTED]

[REDACTED] certification, which is the gold standard for IT security and encompasses compliance with ISO/IEC 27000-series, HIPAA, National Institute of Standards and Technology (NIST) and Health Information Technology for Economic and Clinical Health (HITECH) standards.

Security Review

The GT Caregiver app has passed an independent security review, ensuring safety and compliance.

The Caregiver App has passed an independent security review, ensuring the safety of protected health information and compliance with HIPAA.

GT's Caregiver App has numerous features to safeguard against fraudulent activities. These include:

- **Employer Signature** – The system requires beneficiaries/employers to approve time in the form of a signature in order to attest to the validity of the data being submitted by the employer. Beneficiaries/employers can approve time within the app or through the portal. Once submitted, GT exercises a quality control process through a signature review.
- **GPS** – The app captures GPS coordinates for all visits at the time of check-in, check-out and employer sign-off/approval. GT also captures and records GPS accuracy at time of check-in and check-out. This provides pinpoint accuracy for determining location.
- **Manual Shifts** – If an employee's time needs to be edited, beneficiaries/employers have the opportunity to reject the timesheet back to the employee for alteration. Employees are notified through the app and portal that they have a shift that needs correction, along with correction notes entered by the beneficiary. The Caregiver App automatically stores any manually corrected times and provides clock-in/clock-out and adjusted time stamps to the beneficiary for review. Shifts can be edited and revised up until payment has been made. If for some reason a shift that has already been paid needs to be corrected, GT's customer service team works with the beneficiary and employee to capture the correct service documentation and process a payment or overpayment as needed.
- **Verification of Hours** – GT does a number of verification tests to ensure integrity of time submissions. For example, overlapping shifts, start vs end times, missing required notes, service

codes and additional tasks, are verified for compliance before shifts can be submitted. Once a shift is submitted, the system cross references each shift to check for conflicts with other employee's submitted time and checks the shift against authorizations on file to ensure hours/dollars are available and all compliance requirements have been met. Any shift that does not meet compliance is flagged/rejected and the beneficiary and employee are notified that corrections need to be made before payment can be issued. All system integrity checks are customizable.

GT's Caregiver App was designed to prevent any duplicate accounts or usernames. A warning alerts a user if the username already exists. Accounts are established through three-factor authentication to ensure user identity. The system limits the user to five attempts to login. If they fail five consecutive login attempts, the system locks their account for 30 minutes or until they contact GT customer service to unlock it for them. The session lock is retained until certain parameters are met, which requires the user to reestablish identification.

GT also has strict security measures that follow the [REDACTED] framework for password complexity, which includes one uppercase, one lowercase, one special character, one number, and at least eight characters total. The system has an automated username retrieval and password reset feature that allows the user to retrieve their username or reset their password and receive instructions through email or text message based on account settings. GT does not include the username with password.

GT's system also maintains an audit trail of records, including date, time, user; created, modified, or deleted EVV visits.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

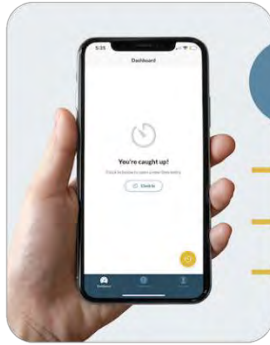
The State of Arkansas can have confidence in knowing that, as a [REDACTED]-certified company, GT is taking the most proactive approach to risk management and data protection, while also adhering to the highest information security standards for all its systems and platforms.

D. Explain how the proposed EVV System meets the needs of Arkansas for self-direction.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT's state-of-the-art, award-winning Caregiver App was specifically designed for self-directed services and holds the highest mobile app ratings among similar applications. With the passing of the 21st Century Cures Act, GT conducted 18 months of intense research and demonstration of existing available EVV systems. After limited success finding a product on the market that fit the unique needs of self-direction, GT designed its own app with the help of the company's established Participant Feedback Committee. The system was designed and tested by individuals using self-directed services. With their input, GT was able to design a smooth, easy-to-use EVV application that makes the time-collection process simple and compliant. The app is designed to work in any location, ensuring that participants have the ability to be actively engaged in their communities. For rural or limited-service areas, the app can capture all service elements without data connectivity and store the information on the device in a secure encrypted format. When connectivity via data or Wi-Fi is restored, the service data are synced automatically with GT's systems for payment.



Custom-built Caregiver App for Self-Direction

- Easy-to-use EVV application that makes the time-collection process simple and compliant
- Designed and tested by individuals using self-directed services
- Highest mobile app ratings among similar applications

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

[REDACTED]. GT's enrollment team and customer service associates are available to assist users with downloading and navigating the app and other forms of support. The Caregiver App is used by internal GT employees as well as stakeholders, which gives customer service associates daily experience and in-depth understanding of the app.

[REDACTED]



E. Describe how the system will provide account management for users to access the system.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT will provide access to a permission-based three-factor authenticated portal account for Arkansas stakeholders. GT's EVV solution supports role-based access, including beneficiary, employee, vendor, agency staff, case manager, call center staff, and FMS. Each role has varying levels of access based on role type and assignments within GT's systems. For example, a case manager would be able to see individual reporting for all beneficiaries they support.

GT has four different user types for the company's proprietary technology systems, including state agency, beneficiary/employer, employee, and case manager profiles. This allows for each user type to access specific customized information in a secure and HIPAA compliant manner. The table below lists the different features accessible to each user:

Portal Features	Employer	Employee	Case Managers	Department Staff
	X	X	X	X
	X	X	X	X
	X	X		
	X		X	X
	X	X	X	X
	X	X	X	X
	X	X	X	X
			X	X
	X	X	X	X
			X	X

The portal was designed to provide a high level of functionality and real-time access to documents and reports. The portal was built to meet the highest HIPAA-compliant standards to ensure complete data security and is compatible with all web-enabled devices. The secure web portal offers access to many features that allow employers, employees, case managers and state agency staff to conveniently access information. GT can customize the portal to meet the specific needs of the State of Arkansas.

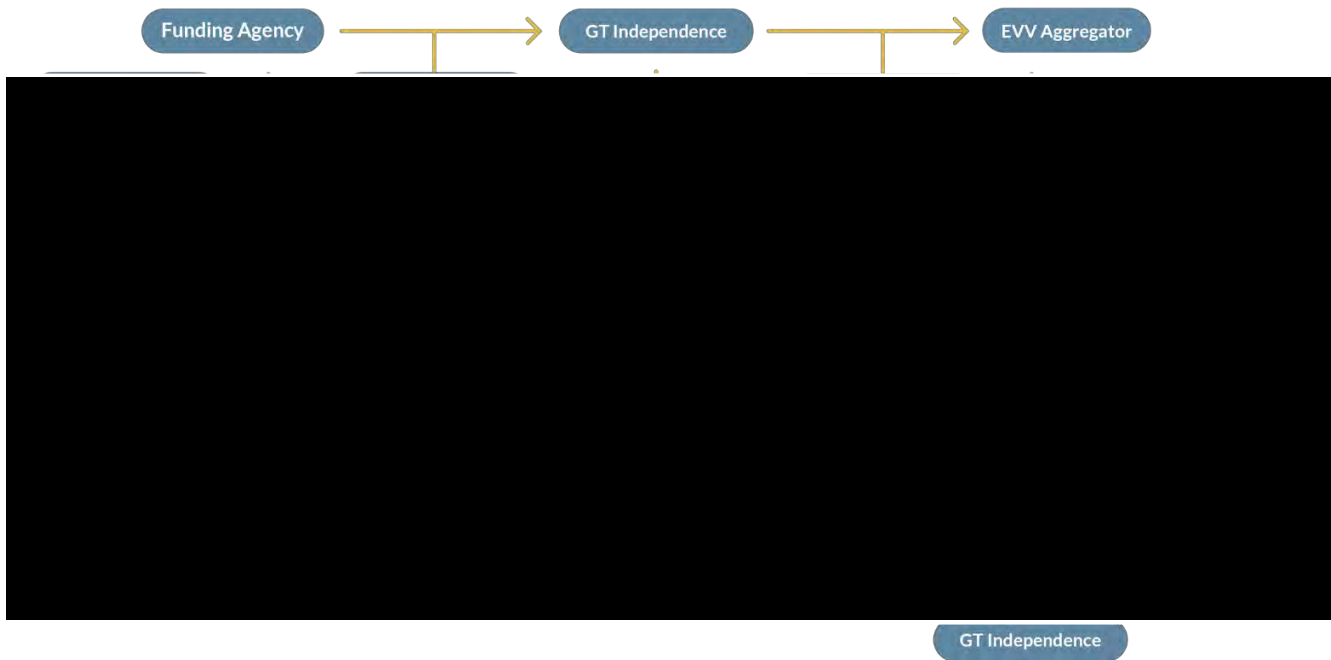
F. Describe integrations with EVV aggregators successfully completed by the Prospective Contractor.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has extensive experience tracking and integrating the EVV data collected by the company’s Caregiver App with state systems as well as national aggregators, such as AuthentiCare and Sandata.

GT has over three years of experience integrating and exchanging data with AuthentiCare for EVV data as well as claims, having collaborated with and successfully exchanged data with AuthentiCare in the MTLSS program in Kansas. The following flow chart demonstrates the process for the transfer and exchange of data between the funding agency, GT and the EVV aggregator.



Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT is nimble and able to the needs of Arkansas through working with the existing aggregator, AuthentiCare, to provide the required EVV data elements and has experience working directly with this vendor in other GT contracts. GT’s team of developers will work with DHS/DPSQA to customize the secure file transfer protocols to meet the state’s needs.



E.14

| **Quality Control**

E.14 QUALITY CONTROL

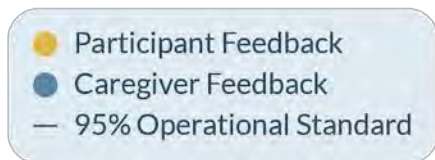
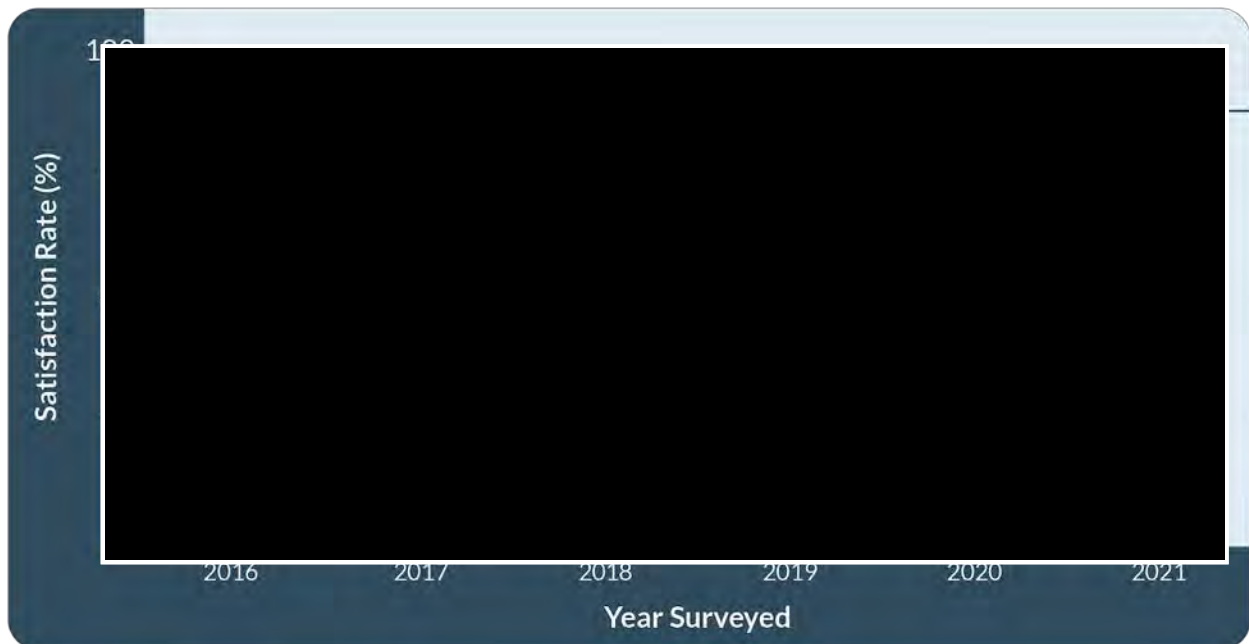
A. Describe how satisfaction of caregivers is monitored (such as satisfaction survey).

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

Throughout its history, as part of GT's person-centered approach to financial management services, the company has proactively conducted independently administered satisfaction surveys. These satisfaction surveys are the core measurement of GT's customer satisfaction and provide vital information to ensure GT is meeting stakeholder expectations. For the Arkansas contract, GT will incorporate a satisfaction survey, approved by DHS, to monitor satisfaction to beneficiaries.

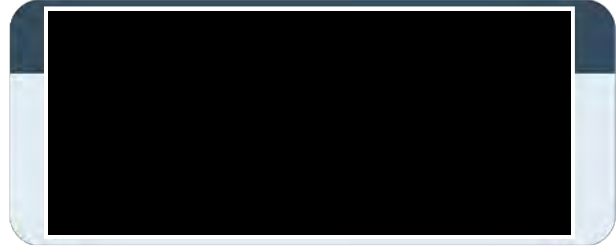
The graph below represents the changes in GT's customer service satisfaction rating over the past five years. GT's operational standard is to achieve at least a 95% satisfaction rating among employers and employees each year and, as demonstrated in the graph, GT has met or exceeded this goal since 2016.



GT uses two surveys to gauge customer satisfaction. Surveys are conducted at year-end, then again in Q2 of the following year and gather feedback from employers, employees and agency partners to help assess service quality and drive planned improvements. The graphic below details each survey:

GT's Year-End Satisfaction Survey

- Sent to all active participants and caregivers via USPS mail
- Sent to agency partners via email
- Sent fourth quarter of every calendar year



Survey responses from the year end are collected throughout Q1 of the following year. Most results are received by mail, but feedback can also be faxed or emailed to GT. These results are then entered manually into a survey tracker program, with written-in comments manually categorized and rated as positive, negative or neutral. Spring survey results are collected by May and are combined with the results of the year-end survey so that GT can officially report its yearly customer satisfaction numbers from each stakeholder group by the end of Q3.

GT's Quality Management Team analyzes the survey results to identify trends, themes and areas for improvement. The results are passed on to the appropriate Operations staff so that performance improvement plans can be developed.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT also measures customer satisfaction via Google reviews. Google reviews are one of the most popular and convenient review tools. Roughly 65% of consumers check Google reviews before visiting a business. Google reviews from consumers can give businesses a strong online reputation, a credibility boost to their customer satisfaction and attract new stakeholders. GT takes Google reviews seriously as a measure of customer satisfaction and has developed procedures for responding to stakeholder feedback received via Google. The company has worked diligently over the last year to improve its Google reviews. In December 2021, GT received 54 four or five-star reviews and in February 2022, GT had no negative reviews. The company's current Google rating is 3.9. Some recent consumer comments include:



Bella

2 reviews

★★★★★ 3 months ago

GT Independence is AWESOME! They have the best customer service. Everyone is always friendly, knowledgeable and willing to help 100%! The GT app is easy to use. The service provided to an employer or employee is top notch. Can't say enough about GT! Love them!



cheryl

1 review

★★★★★ 2 months ago

I am a new client of Gt independence. At times the process can be overwhelming. Therefore I have a large amount of questions for the staff . They have always been friendly, courteous and knowledgeable. I will definitely recommend friends and acquaintances to your company.



Pamela [redacted]

2 reviews



★★★★★ a month ago

I love working with GT Customer Service if I need any support regarding my timesheets. They are polite, courteous and extremely helpful. They never make me feel as if I am a problem if I have an issue. They even follow up to make sure the problem has stopped. Many companies can learn what true customer service is through GT! I feel like a valued person in a family-friendly company. Thank you!



Emily [redacted]

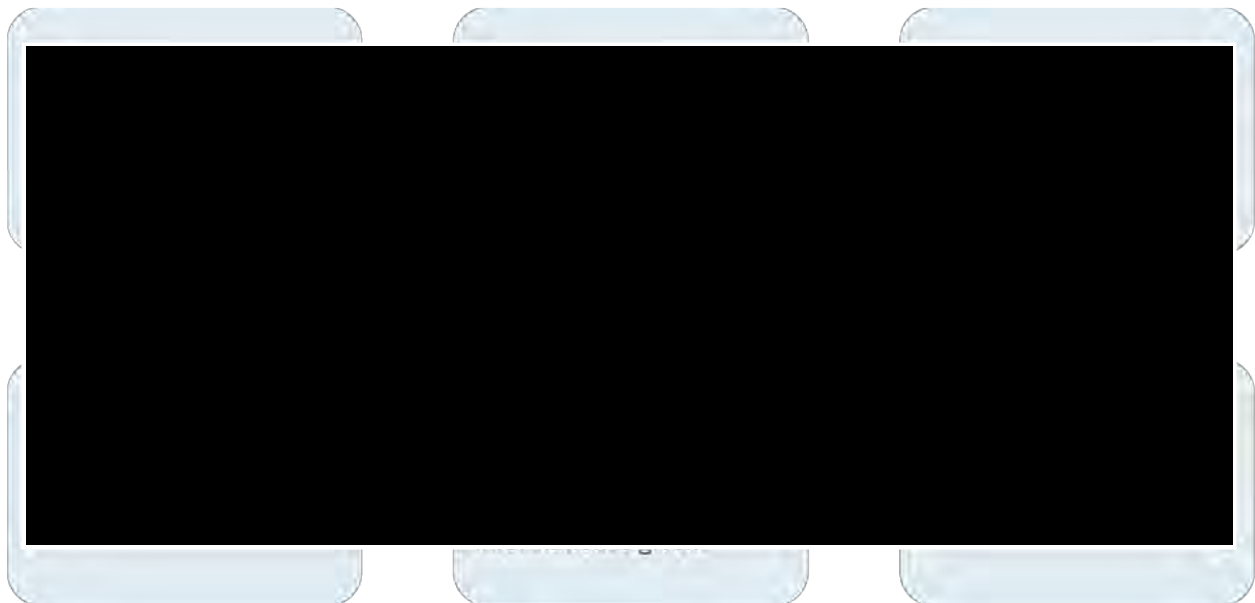
1 review



★★★★★ 2 months ago

I have been working with GT Independence for a couple of years now and can not say enough about their outstanding customer service. No matter what the situation is, they will do all they can to find the answer and resolve the problem. They are one of the best companies in communicating details with me! I always know what is going on with my caretakers. I would highly recommend this company to anyone looking for people who do their jobs and keep you updated along the way! LUPE ROCKS!

When a Google review comes in, designated points of contact with access to GT’s Google account receive a notification email. The process of responding to the review depends on whether it includes written feedback and whether it is positive or negative. If a positive review (4 or 5 stars) with no specific feedback, GT replies with a comment such as, “Thank you so much for the 5-star review! We appreciate it!” If a negative review (1 or 2 stars) with no feedback or comment, GT replies with a request for the individual to contact customer service about any issues or concerns. If the review is 1-star with feedback or a specific pain point, GT takes the following steps:



B. Describe the process for reviewing services prior to payment and what actions are taken when an issue is found.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

Throughout the payroll process, GT maintains its person-centered approach by confirming receipt of service documentation and providing ongoing updates on the status of payment for all stakeholders, including contract monitors and state agency staff. GT operations team members review service documentation for completion and errors, and review EVV signatures. GT's internal systems are configured to ensure compliance with all Department of Labor and State of Arkansas laws, as well as the established utilization management policy for the Arkansas program. If there is an issue with documentation not meeting applicable standards, GT rejects the documentation and reaches out to the employer and employee via their preferred method of contact (e.g., phone, text, email) to support them in understanding the documentation errors and successfully submitting accurate and complete service documentation. GT's payroll team uses a checklist to ensure that all duties have been fulfilled prior to making payment, including that all authorizations and individual-directed goods and services are authorized within the employer's individual budget. The checklist is reviewed by the team leader and the operations manager. Multiple reconciliations are performed to ensure service excellence. These include reconciliation by the company's billing department of all claims submitted and also a tax filing reconciliation.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

It is critical to provide payment for employees only within the scope of an authorization and to ensure that authorizations are current before payment is made. GT will establish a process for receiving authorizations and ensuring that payments fall within authorized boundaries. To do so, GT will collaborate with DPSQA to develop a utilization management policy that addresses the handling of service authorizations, validating of service documentation, and ensuring proper utilization levels in order to confirm that DPSQA has authorized all service hours for the participant before a provider is paid.

C. Outline the pro-active strategies used to identify and flag unusual activity for review.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

The company's multi-tiered payroll process includes multiple checks and balances as well as a "Do Not Pay" control that guarantees that employees who are ineligible for pay do not receive funds.

GT's sophisticated information management system receives EVV-compliant service documentation, which minimizes the number of potential errors and also performs quality checks to automatically identify errors and flags. After verification that hours are not over budget, payroll undergoes a proofing process, as outlined in GT's Payroll Department Manual, and is disbursed. If concurrent services, unauthorized dates, or hours over those authorized or budgeted are identified, GT contacts the authorized state agency personnel, the employer, and the employee to resolve the issue in time to make scheduled payroll.

GT's payroll system notifies the GT team when duplicative hours are submitted. The system contains automatic controls and reporting functions that include, but are not limited to, controls for overlapping

time with another employee, overtime, hours being reported that are not in accordance with the authorization and inaccurate calculation of hours worked.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT's real-time reports, along with GPS data for clock-in/clock-out and employer sign-off on shifts, aid in preventing fraud. The company's intelligent reporting system is also capable of catching errors and potentially fraudulent shifts, such as shifts that are over 12 hours. Real-time reports and automatic push notifications can be customized for DPSQA.

D. Describe the Prospective Contractor's approach to ensure timely and accurate payroll processing.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

One of GT's brand promises is to get people paid accurately and on time. To do this effectively, GT has an internally built and managed payroll system that receives service documentation, processes this documentation, performs quality checks (including automatically identifying errors and flags) and issues payroll through direct deposit or debit card. Additionally, GT confirms employer eligibility and that an active authorization for services rendered is on file to ensure that payments are made only for valid claims. GT manages disbursements through purchasing and payroll systems that effectively ensure payments are valid. GT checks for employee eligibility and confirms that payments do not cause overutilization of the employer's authorized service hours. The company has policies, procedures and internal controls for exception management, including issuance of payments outside the normal pay cycle, and garnishments, levies and liens on any applicable employees' payroll checks. [REDACTED]

GT's Brand Promises

- We remove the roadblocks to self-determination
- We bring our values to the table
- We get people paid

Payroll processing includes verification checks of hours worked, including any hours that exceed 40 hours in a given Sunday-to-Saturday workweek, holiday time, billing units and employee new hire orientation, as well as overlapping services. GT enters pay codes into its system for overtime and holiday pay, as applicable, so that employees can record these items in the EVV system. A payroll checklist with multiple verifications helps to ensure accuracy and GT's IT team regularly monitors system updates to ensure taxes and withholdings are calculated correctly. Employees can view and verify gross and net payroll numbers on their weekly paystubs.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

[REDACTED]

E. Describe the Prospective Contractor's methodology for analyzing data to detect quality concerns.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT holds itself to an extremely high standard and maintains a robust set of performance/operational metrics to ensure the company is exceeding its contracted requirements, as well as living up to its brand

promises. Performance/operational metrics are analyzed daily as part of the company's continuous quality improvement initiative. Each metric includes an operational standard, a target metric/goal, a "crisis level" metric, the current monthly/quarterly/yearly result and whether or not the goal was met. The type of metrics GT collects and reviews daily include: enrollments, including monthly new enrollments and the percentage of new enrollments using EVV; processing, including the percentage of new participants completing their new hire paperwork through [REDACTED] and employee eligibility compliance; customer service, including average speed of answer, call abandoned rate, first call resolution and open issue age; payroll accuracy, including error rate and percentage using electronic timesheets; billing, including collections percentage and unbilled percentage; operational efficiency, including the number of active participants to operational staff. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

GT's proprietary technology software is instrumental in the company's day-to-day management of operational functions and its long-term planning. GT's systems provide real-time access to data, which allows operations managers to run daily metrics to ensure the company is meeting its operational standards. If operational standards are not being met, issues can be escalated up the appropriate chain for resolution and root cause analysis. Access to real-time data and longitudinal reports from GT's integrated systems allows the executive leadership to review and analyze metrics and trends, which serve to inform the company's long-term strategic planning and goal setting.

In addition to daily tracking of performance metrics, GT also has a sophisticated internal auditing process, which has allowed the company to create efficiencies, conduct proactive continuous quality improvement and increase state agency partners' overall satisfaction. Throughout this time, GT has never had a significant audit finding. This is further confirmed by GT's external credentialing by CARF. GT met and surpassed over 1,200 standards to earn the full three-year reaccreditation in November 2021. GT has maintained CARF accreditation since 2013 and is the only CARF-accredited national FMS provider.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has worked hard to develop a culture of quality throughout the company, where all staff are driven and empowered to provide the highest quality of services that set the standard for the industry. GT's methodology of applying quality management principles in all aspects of its service delivery includes ensuring all staff approach each task with a desire to deliver the highest quality possible; questioning processes and proposing solutions to improve service delivery; being 200% accountable and ensuring staff complete their work to a high standard; and seeking innovative solutions that improve the stakeholder's experience. GT's quality management approach is broken up into four key pillars:



F. Describe the Prospective Contractor's tracking mechanism used to track and monitor customer support.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has developed and maintains a robust proprietary software system for the tracking of all types of communications, whether from a beneficiary/employer, employee or state agency contact. This log serves as the method for receiving, returning, tracking, listening to and auditing calls and emails during and after extended business hours. The communication log records the names of the beneficiary and their employee, the name of the GT staff member receiving the call, the date of the request for assistance as well as the date the request was retrieved and responded to, details of the request, the action taken from GT staff, the amount time for resolution, any mandatory reporting incidents and the final resolution, the type of communication, the date and summary in addition to other data elements. If a communication is determined to be a complaint, this is noted in the communication log. This allows for easy retrieval of communications and concise management of all interactions about a beneficiary and/or their employees.

Participant: Jane Doe

Employee: John Doe



Customer service team performance is continuously monitored using the following metrics: average speed of answer, hold time, response to open issues and abandoned call rates. GT analyzes performance results daily as part of the company's continuous quality improvement plan. Additionally, when a call is not resolved during the initial contact, GT monitors the length of time it takes to reach resolution on a customer service request and has [REDACTED]. These are factors that contribute to GT's 97.29% satisfaction rating among its customers. Operational measures that support this success include the tracking of all calls, a daily log of open customer service issues, and a robust review of daily activities and metrics.

[REDACTED]
customer service requests resolved during the initial phone call

GT prioritizes timely responses to employers, employees and agency partners. All inquiries are responded to within [REDACTED]. Response times are monitored daily and reviewed by team leaders and managers, who ensure that any outstanding inquiries are addressed immediately. If issues cannot be resolved by customer service, the issue can be escalated to the team leader, then the operations manager and the Director of Operations, if necessary.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT uses communication log software, an electronic database, to track all incoming and outgoing customer service communications. Each communication received by customer service staff is documented electronically and maintained on the company's servers for 10 years. Call data are tracked daily and reviewed on a regular basis by the customer service department. Complaints are tracked and analyzed for quality improvement. Upon request from Arkansas, GT will provide a tracking report of these communications.



Relevant Attachments for E.14

- Attachment 27 – Sample Utilization Management Policy (Pages 328-330)
- Attachment 41 – CARF Accreditation Letter (Pages 373-374)



E.15

| Security

E.15 SECURITY

A. Describe the Prospective Contractor's steps designed to prevent unauthorized access, misuses, reuses or disclosures of confidential information including safeguards and protocols; Include how relevant federal and State confidentiality standards and requirements will be met.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has internal controls, as well as written policies and procedures, that govern its data management process and meet all state requirements and all federal and HIPAA guidelines. GT's systems, policies, and internal controls are designed to prevent unauthorized access, misuses, reuses or disclosures of confidential information.

GT understands the importance of setting data permissions as well as delineating roles for its internal and contracting staff. GT has a sophisticated internally managed system which allows the company to customize access management and ensure only staff with permission are able access files and data they need in order to complete the duties related to their positions within the company.

GT has user access controls in place. GT uses an external IT security service, as well as internal system tools, to conduct vulnerability scans on the company's network. This monitor includes SIEM tool alerts and notifications and also logs events. GT has received [REDACTED] certification, which is the gold standard for IT security and encompasses domains to comply with ISO/IEC 27000-series, NIST and HIPAA standards.

In addition to the elevation in standards required by [REDACTED], GT also conducts internal audits and has third-party penetration tests completed biannually. GT also conducts an annual risk review. All vulnerabilities are identified, reviewed and rectified within the required 30-day time frame required by the Department. GT's system is set up to "deny all" by default by using implicit deny configurations and allows access only to users who need read and write permission.

GT ensures that its employees will not connect any of the company's own equipment to a state LAN/WAN without prior written approval from the state. In addition, GT has antivirus and anti-malware software on all systems, which is automatically deployed to GT employees' hardware and is updated multiple times per day. This is all monitored by the IT team, which uses its robust system policies to guide day-to-day operations.

GT believes that data storage and security are paramount to providing reliable services and has invested heavily in its data storage and security technology to ensure the utmost data safety and integrity. GT has internal controls for establishing and maintaining current and archived files and documentation for participants in a confidential and secure manner for the time period required by applicable federal and state requirements. GT uses firewalls and network access protection, including multifactor authentication, to control access to data. GT blocks authentication to systems from outside the United States. To gain access to GT networks, the user must have approved access and have a source address location within the U.S.

GT adheres to the highest level of data security, including managing data protections and controls. GT has a separate production, test and training environment for operational and external-facing systems. GT has a well-articulated process for managing hardware and software hardening procedures (please

see the attached MasterDRaaS Playbook, Access and Control Policy and Privacy and Security Controls). To preserve data integrity, GT has extensive user controls, which prevent unauthorized access to data, and classifies and segments data within data repositories.

Additionally, to safeguard the unauthorized use, reuse, distribution, transmission, manipulation, copying, modification, access or disclosure of company information – including government information – GT utilizes the following IT security requirements of HIPAA and HITECH:

- Unique passwords and password encryption;
- Encryption of attached documents;
- Encryption of emails and documents attached to emails;
- The removal and/or encryption of identifiers, thereby making the data no longer PHI; and
- User access is assigned based on necessity and when an employee changes positions or is terminated. This is completed and documented on a log by the Network Administrator.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT has received [REDACTED], which is the gold standard for IT security and encompasses the following domains to comply with ISO/IEC 27000-series, NIST, HIPAA and HITECH standards:

- Access control
- Audit logging and monitoring
- Business continuity and disaster recovery
- Configuration management
- Data protection and privacy
- Education, training and awareness
- Endpoint protection
- Incident management
- Information protection
- Mobile device security
- Network protection
- Password management
- Physical and environmental security
- Portable media security
- Risk management
- Third-party assurance
- Transmission protection
- Vulnerability management
- Wireless security

B. Describe your approach to reestablishing operations in the event of a catastrophe, as well your envisioned approach to developing a disaster recovery plan for the State. Include the required components, configurations, and procedures to enable a recovery.

Affirmation of GT’s Ability to Meet Arkansas’ Needs:

The following response confirms GT’s ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT takes the security and storage of protected health information seriously and has received [REDACTED] certification, which is the gold standard for IT security. GT’s data and record systems are maintained by a highly qualified team of developers and systems analysts. GT provides industry-leading security, ease of use and uptime for system users.

GT has a robust disaster response and emergency preparedness plan to enable the company to respond to natural disasters, fires and pandemics, as well as incidents affecting data storage and recovery. The plan includes a detailed chain of communication and command. GT’s headquarters and innovative data center have redundant power provided by batteries and a natural gas generator. GT utilizes alternate data centers, which are 100 miles from the primary operations site, for redundancy and to provide highly available systems. The company’s call center and other systems automatically scale for increased load and failover as needed. GT uses multiple forms of backups and replication to ensure data recovery. Backups and failover systems are tested frequently and GT continues to enhance its disaster recovery and business continuity plans.

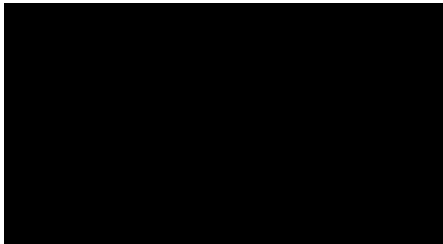
Systems are maintained to allow GT to return to full operations within 24 hours in the event of a data emergency. This recovery time is possible thanks to the company’s redundant hardware hosts for the virtual environment, along with high-availability configurations, off-site backups and redundant replication of servers. GT has a sophisticated approach, with the use of all electronic files, allowing the company to swiftly resume work in the event of a disaster. GT’s duplicative system ensures that only 35 seconds of data will be lost.

For each participant, at the time of enrollment, GT’s customer service team creates a digital file that meets all HIPAA, state and federal compliance requirements. Once created, digital files are backed up immediately during the next scheduled daily complete system backup. Daily digital backup files are stored off-site as an added security measure. Creating digital files that are backed up immediately ensures the continuation of critical business processes in the event of a disaster, as well as the protection and security of data.

GT technology staff regularly perform tests on file servers and backup data to ensure the accuracy of backup data and to test the disaster recovery/emergency preparedness response to a potential data event. GT has a testing schedule that includes weekly, monthly and biannual testing, as outlined in the GT Disaster Recovery and Emergency Preparedness Plan. GT will supply DHS/DPSQA with testing results on an annual basis, or upon request, and will include any shortcomings and/or enhancements made in order to maintain contract requirements. GT will make the disaster plan available to DHS to inspect and practically test upon request.

Plan Testing and Maintenance

This plan will need to be tested on a periodic basis to discover errors and omissions and will need to be maintained to address them. At a minimum, the following critical pieces to DR plan will be tested on a schedule.

Core Function	Frequency
	Weekly
	Monthly
	Monthly
	Annual

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT's rigorous Disaster Recovery and Emergency Preparedness Plan has been successfully executed in several key states that have been heavily impacted by extreme weather events such as hurricanes and winter storms, and most recently by COVID-19. During GT's most recent COVID-19 preparedness procedures, GT seamlessly continued to process timesheet submissions and payments without impact to employers or employees.

C. Describe all privacy and security incidences (i.e., a breach, improper disclosure) affecting the information of over 10,000 individuals that have occurred in systems implemented or maintained by the Respondent (its subsidiaries and affiliates) or any subcontractor within the past five years. Describe how you handled the incident(s).

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT has not had any privacy and security incidences affecting the information of over 10,000 individuals in the last five years.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT is [REDACTED] certified, which is the gold standard for IT security and encompasses compliance with ISO/IEC 27000-series, HIPAA, National Institute of Standards and Technology (NIST) and Health Information Technology for Economic and Clinical Health (HITECH) standards.

D. Provide specifications and security standards for storage and transmission of electronic documentation.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT employs 256-bit encryption on all electronically transmitted protected health information to ensure that HIPAA-compliant security levels are met and exceeded when data are transferred by email and other electronic transfer methods.

In transmission, data is encrypted with a minimum of TLS 1.2. Emails containing sensitive information are encrypted using the keywords and additional software is utilized to make sure emails sent with sensitive information are encrypted. Third parties that are unable to guarantee the receipt and storage of secure messages can access the secured message using GT's web portal. Backups and replicated disaster recovery servers are also stored encrypted. If GT is required to use an untrusted network, GT uses a secure VPN tunnel to maintain data security. GT's TLS 1.2 exceeds the current Federal Information Processing Standards (FIPS), which require at least TLS 1.0.

Demonstrations of Additional Assets and Expertise:

The following information demonstrates supplemental GT services and features that add value and benefit to DHS/DPSQA.

GT's security officer and internal committee hold monthly security meetings to promote continuous quality improvements in GT's data security and to perform maintenance of GT's internal data and security processes. Furthermore, all employees are trained upon hire and annually regarding HIPAA,

confidentiality requirements and data security to promote a base level of understanding of confidentiality, data maintenance and data security requirements.

E. Provide a copy of your disaster recovery plan, that includes both operations and technology plans, and results of the latest test. If the prospective contractor elects to use a cloud based, third-party EVV system, a disaster recovery plan from the EVV system vendor must also be submitted.

Affirmation of GT's Ability to Meet Arkansas' Needs:

The following response confirms GT's ability to meet the needs of DHS/DPSQA outlined within the RFP.

GT's Disaster Recovery and Emergency Preparedness Plan is included as Attachment 24. Also included is the result of GT's most recent security test, which was completed in April 2022 (Attachment 42).



Relevant Attachments for E.15

- Attachment 24 – Disaster Recovery and Emergency Preparedness Plan (Pages 308-323)
- Attachment 25 – Disaster Recovery for Computerized Records (Page 324)
- Attachment 42 – Results of Most Recent Security Test April 2022 (Page 375)
- Attachment 43 – [REDACTED] Certification Letter (Pages 376-377)

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Memorandum of Understanding
Self-Directed Financial Management and Counseling Services
Solicitation No. 710 22 0018

between

The State of Arkansas Department of Human Services (DHS)

and

GT Independence (GT)

Purpose and Scope

The purpose of this Memorandum of Understanding (MOU) is to clearly identify the roles and responsibilities of each party as they relate to the provision of financial management, counseling, payroll administration and other fiscally related services for the Department of Human Services programs that provide a self-directed model.

Self-directed personal assistance services are personal care and related services provided under the Arkansas Medicaid State Plan (IndependentChoices) and Arkansas's section 1915(c) waiver (ARChoices). Collectively, these are Arkansas programs that permit a self-directed model.

Both DHS and GT should ensure that program activities are conducted in compliance with all applicable federal and state laws, rules and regulations with regard to self-directed services.

Transitioning

- A. Prior to rendering services, GT must be an enrolled Arkansas Medicaid provider.
- B. Within forty (40) business days after the project launch meeting, GT shall contact each Program Individual/Participant, identify itself as the new program Contractor, and explain that it will become the program Individual's/Participant's new Financial Management Services (FMS) and Counseling Service Provider. During this period, it shall be the Contractor's responsibility to provide for the following:
 - a. Assign and identify a counselor to each Program Individual/Participant;
 - b. GT shall distribute for signature to each Program Individual/Participant an IRS form 2678, Employer Appointment of Agent form, which designates GT as the new fiscal agent for the Program Individual/Participant and file the completed IRS form 2678 with the IRS for each Program Individual/Participant. GT must

- provide a list to the Division of Provider Services and Quality Assurance (DPSQA) including the names and dates of those who have completed the form;
- c. Provide each Individual/Participant with the telephone number at which they may contact GT to answer questions;
 - d. Have at least one (1) staff member available during the contract start-up period to receive phone calls and other forms of communication should Individual/Participants contact GT before the program is formally transferred, to redirect the Individual/Participant to the incumbent contractor or appropriate authority for service; and
 - e. Provide the Individual/Participants with employer orientation and training in accordance with the philosophy of Self Direction upon referral from DHS.
- C. GT's counseling division shall develop and provide an Individual/Participant (or their representative) employer orientation and skills training, subject to DPSQA approval, in a manner consistent with Participant's self-directed services, decision-making and managerial authority.
- a. Counselors shall orient and train Individuals/Participants (or their representatives) in the operation of the Program face-to-face at the Participant's residence (or a location mutually agreed upon between GT and the Individual). The Counselor shall explain all aspects of the program including, but not limited to, budget management, the role of GT and training that includes the management of their individualized budget. GT shall train prospective participants on principles and practices of self-direction including Employer and Budget Authority.
 - b. GT must provide instructions and training to a prospective Individual/Participant on what is needed to set up services and ensure payment for approved services and supports, beginning with the development of an individualized Cash Expenditure Plan (CEP). Results of each training session shall be electronically stored by GT's data system. GT shall provide data to DHS upon request by close of business on the following business day.
 - c. GT must offer Information and Assistance (I&A) upon prospective and/or enrolled participant's request. GT must educate prospective and/or enrolled participants on the rights, risks and responsibilities of managing one's own care in Self-Direction.
- D. GT shall be responsible for leading and performing the data conversion and migration activities. The State expects that all data (including but not limited to EVV data and tax documents) will be converted and migrated to GT's system(s). The State will require GT to provide auditing reports to validate that all data has been mapped and converted accurately and completely.
- E. Data conversion and migration activities include, but are not limited to, identifying data to be converted, building a data conversion schedule, tracking each data element being converted, validating that all records/images converted equals number of

records/images written to GT’s database, testing the converted data in GT’s database, reporting progress to the State, and ensuring adequate staff is assigned to the effort.

- F. Upon contract award, DHS will provide GT with a list of contacts.
- G. GT shall provide data to DHS as required under the contract and upon DHS request.

Project Organization and Management Requirements

- A. GT shall create and maintain a quality management system supported through an integrated data system to manage active and pending populations. The system must be approved by DHS/DPSQA prior to rendering of services.
 - a. GT must have a robust software system with capability to store, transmit and receive data from the Arkansas DHS Medicaid Management Information System (MMIS), DPSQA and Employment Clearance Registry System (ECRS) data. GT shall provide all data related to this contract directly to the Division of Provider Services and Quality Assurance (DPSQA) upon request by DPSQA and as required in Attachment C: Performance Based Contracting.
 - b. GT must provide a web-based portal, or a comparable mechanism, to provide state agency access to reports, dashboards and other data.
- B. GT’s EVV system must integrate with the State’s EVV system and meet the State’s third-party certification criteria (See Section 2.5.18 Electronic Visit Verification System).
 - a. The software system must be web-based and must not require any software installation at the user sites, other than security certificates and browser plug-ins/controls.
 - b. Security controls must maintain system backups per industry standards.

State of Arkansas

Printed Name

Signature

Date

GT Independence

Printed Name

Signature

Date

Employee Eligibility Requirements for Agency

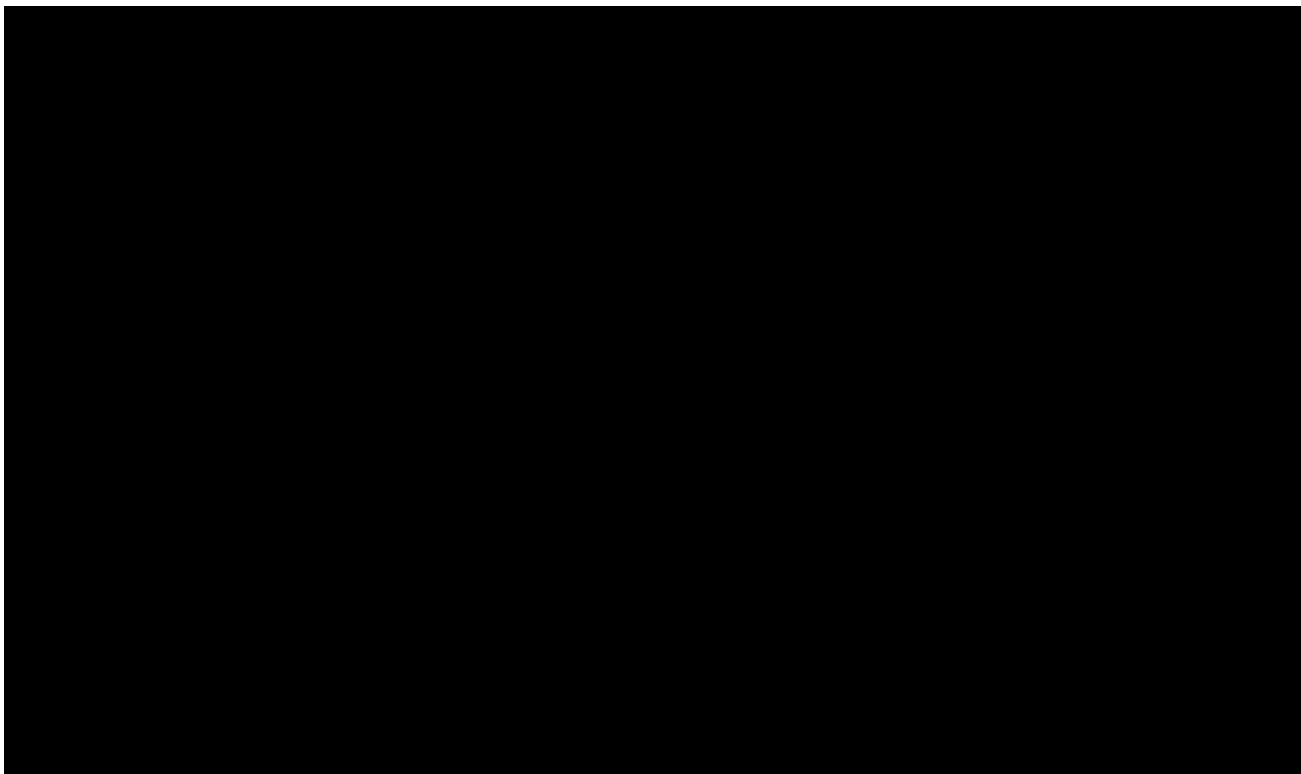
I. PURPOSE: To provide a description of the requirements to be an employee/direct service worker under the fiscal employment agent (FEA) model for Agency.

II. APPLICATION:
The policies and procedures stated herein apply to all employee/direct service workers.

III. DEFINITIONS: Agency – Agency Name

IV. POLICY:
GT Independence will assure employees meet the designated eligibility requirements prior to providing services and receiving payment and continue to maintain those requirements throughout employment.

V.



This Addendum sets forth the current understanding and agreement between the parties regarding employee eligibility requirements prior to the provision of services and may be subject to written change or amendment as additional protocols are developed and/or needed.

GUARDIANTRAC LLC D/B/A GT INDEPENDENCE

AGENCY

By: _____

By: _____

Printed: _____

Printed: _____

Its: _____

Its: _____

Date: _____

Date: _____

- I. PURPOSE: To assure that our services comply with State and Federal promulgations.
- II. APPLICATION: All programs operated directly or under contract with Community Mental Health or other State Agencies
- III. REFERENCE:
- A. MDCH Medicaid Provider Manual
 - B. Internal Revenue Code
 - C. State Departments
 - D. Federal Funding Accountability and Transparency Act
 - E. Patient Protection and Affordable Care Act
 - F. 45 C.F.R. Parts 160–164, Health Insurance Portability and Accountability Act of 1996 (HIPAA, Title II)
 - G. The Security Rule, 45 CFR Part 160 and Subparts A and C of Part 164
 - H. United States Department of Labor Regulations
 - I. United States Citizenship and Immigration Services Regulations
 - J. Americans with Disabilities Act
 - K. Age Discrimination in Employment Act
 - L. Child Labor Laws
 - M. Fair Labor Standards Act
 - N. Family and Medical Leave Act
 - O. National Labor Relations Act
 - P. Occupational Safety and Health Act
 - Q. Retaliation and Whistleblower Laws
 - R. The Federal Unemployment Tax Act (or FUTA, I.R.C. ch. 23) and related publications
 - S. Federal Insurance Contributions Act (FICA) and related publications
 - T. Title VII (Race, National Origin, Religion, and Sex Discrimination)
 - U. Wage and Hour Laws
 - V. Worker Adjustment and Retraining Notification Act
 - W. Treatment of Uncashed or Cancelled Medicaid Checks 42 CFR 433.40
 - X. 42 CFR, part 411, section 12 and part 440, section 167
 - Y. 42 CFR, part 433, section 30 and 40
 - Z. 42 CFR 489, Subpart I
 - AA. 42 CFR 417.436 (d)
 - BB. IRS Revenue Procedure 2013-39 under Section 3504 of the Internal Revenue Code
 - CC. Designation of Agent by Application 26 CFR 31.3504
 - DD. Applied Self-Direction (ASD) (industry group)
 - EE. Uniform Unclaimed Property Act (UUPA)
 - FF. Code of Virginia, Title 55, Chapter 11.1 Disposition of Unclaimed Property (55-210.1 thru 55-210.30)
 - GG. 42 USC code 1320a-7, Federal background exclusions
 - HH. OIG LEIE Exclusion Database
 - II. 31 USC 3720d and CFR 285.11, Federal Administrative Wage Garnishment
 - JJ. IRC 6331; IRC 6332; IRC 6334; IRC 6343, Federal Tax Levies
 - KK. 15 USC 1673 (CCPA) and 29 CFR 870, Creditor Garnishments
 - LL. 15 USC 1673 (CCPA); 29 CFR 870; 42 USC 666, Child Support Orders
 - MM. Recordkeeping Obligations, 29 CFR Part 1602, 29 CFR Part 516, 44 U.S.C. 31, 44 U.S.C. 33, ERISA, COBRA, ADEA, FLSA, IRS Pub 583, FMLA, ADA, Title VII
 - NN. State and Federal memorandums, notices, and publications
 - OO. False Claims Act, 31 U.S.C. §§ 3729 - 3733

IV. DEFINITIONS:

Last Review: 1/10/20
 Approver: Christopher Taylor
 Last Revised: 1/10/20
 Effective: 11/01/05

N/A.

- V. POLICY: GT Independence is committed to providing services that are in compliance with the procedures and rules defined by the State and Federal Agencies that are relevant to our business.
- VI. PROCEDURE: The CEO will direct his assignee to review and train staff on both the guidelines and forms/instructions for applicable federal and state agencies not less than annually including, but not limited to:

A. Federal Agencies:

1. IRS (Key web site: www.irs.gov)
 1. SS4 Application *for Employer Identification Number*
 2. Form 8821 *Tax Information Authorization*
 3. Form 2678 *Employer Appointment of Agent*
 - a. Letter attachment for Form 2678
 4. W4 *Employee Withholding Allowance Certificate*.
 5. 940 *Employers Annual Federal Unemployment Tax Return*.
 6. Form 941, *Employer's QUARTERLY Federal Tax Return*
 7. Form 941c, *Supporting Statement to Correct Information*
 8. 26 U.S. Code § 3504
 9. IRS REG-137036-08
 10. Publication 926, *Household Employer's Tax Guide*
 11. IRS Revenue Procedure 2013-39
 - a. IRS Proc. 70-6
 12. IRS Pub. 15-A
 13. IRS Pub. 15, *Circular E*
 14. Publication 15, *Circular E, Employer's Tax Guide*
 15. IRS 2014-7
2. U.S. Citizenship and Immigration Services (Key web site: www.uscis.gov)
 1. Form I-9 *Employment Eligibility Verification*.
 2. Handbook for Employers M-274, USCIS
3. U.S. Department of Labor, (Key web site: www.dol.gov)
 1. Rules, forms, and instructions relating to household employers and domestic service employees.
 2. Federal Fair Labor Standards
 3. FLSA Home Care Final Rule
 4. Wage and hour rules.
 5. Wage and Hour Division, Fact Sheet #79B: Live-in Domestic Service Workers Under the Fair Labor Standards Act (FLSA)

B. Tax Rate Changes

1. A review of the following taxes will be completed:
 1. Federal Unemployment Tax Act
 2. State Unemployment Tax Act
 3. Federal Insurance Contributions Act
2. A tax change implementation timeline and plan will be created for any changes with an implementation date prior to the date of the tax change
3. Ensure that all impending tax rate changes are tested via payroll data and quality assurance testing through the Quality Department

C. 

Last Review: 1/10/20
 Approver: Christopher
 Last Revised: 1/10/20
 Effective: 11/01/05

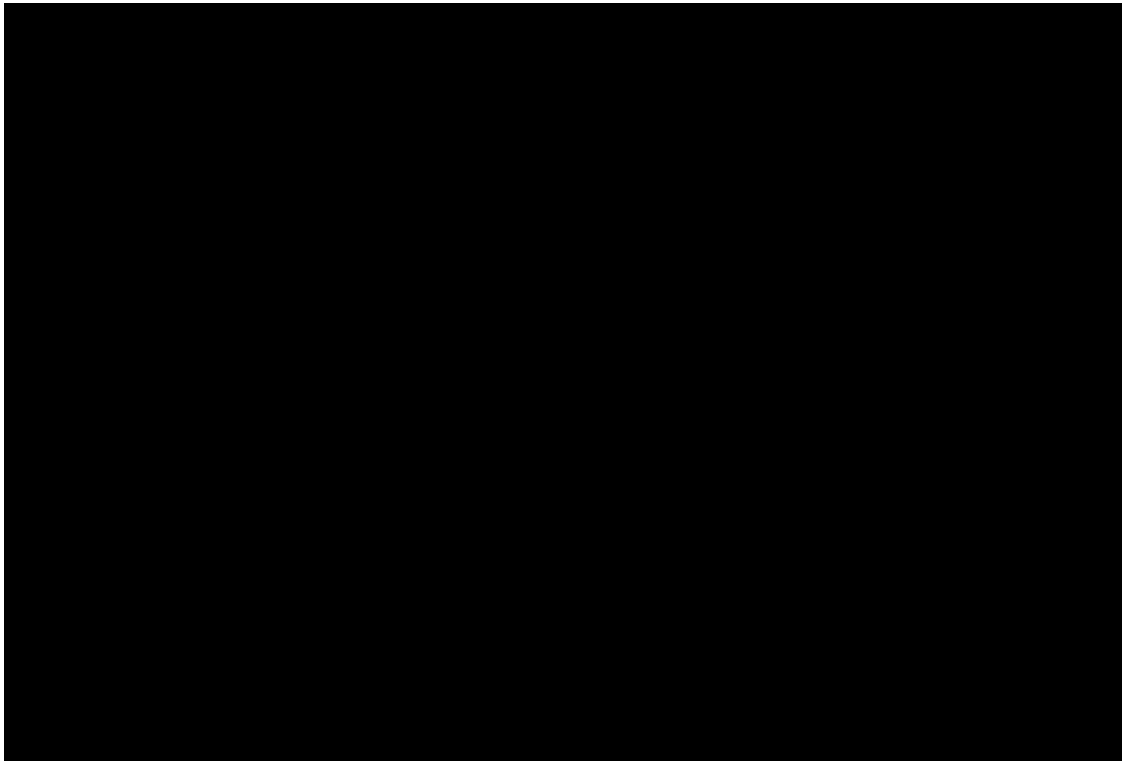
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Last Review: 1/10/
Approver: Christopher Taylor
Last Revised: 1/10/20
Effective: 11/01/05



F.



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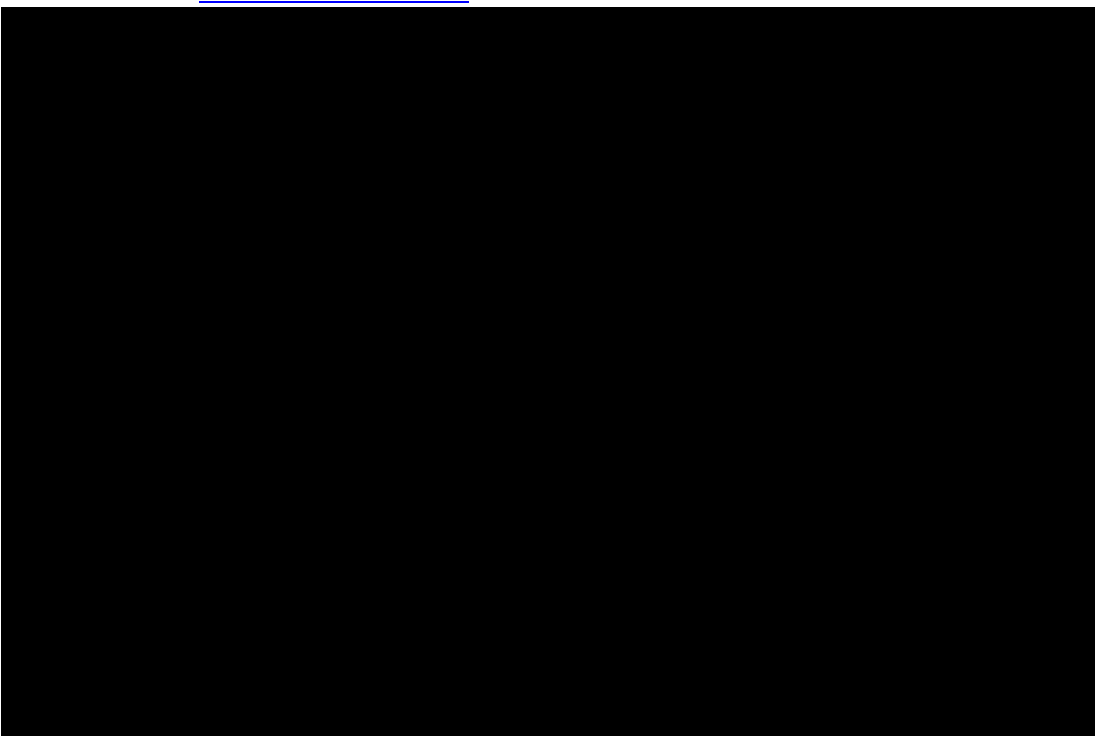
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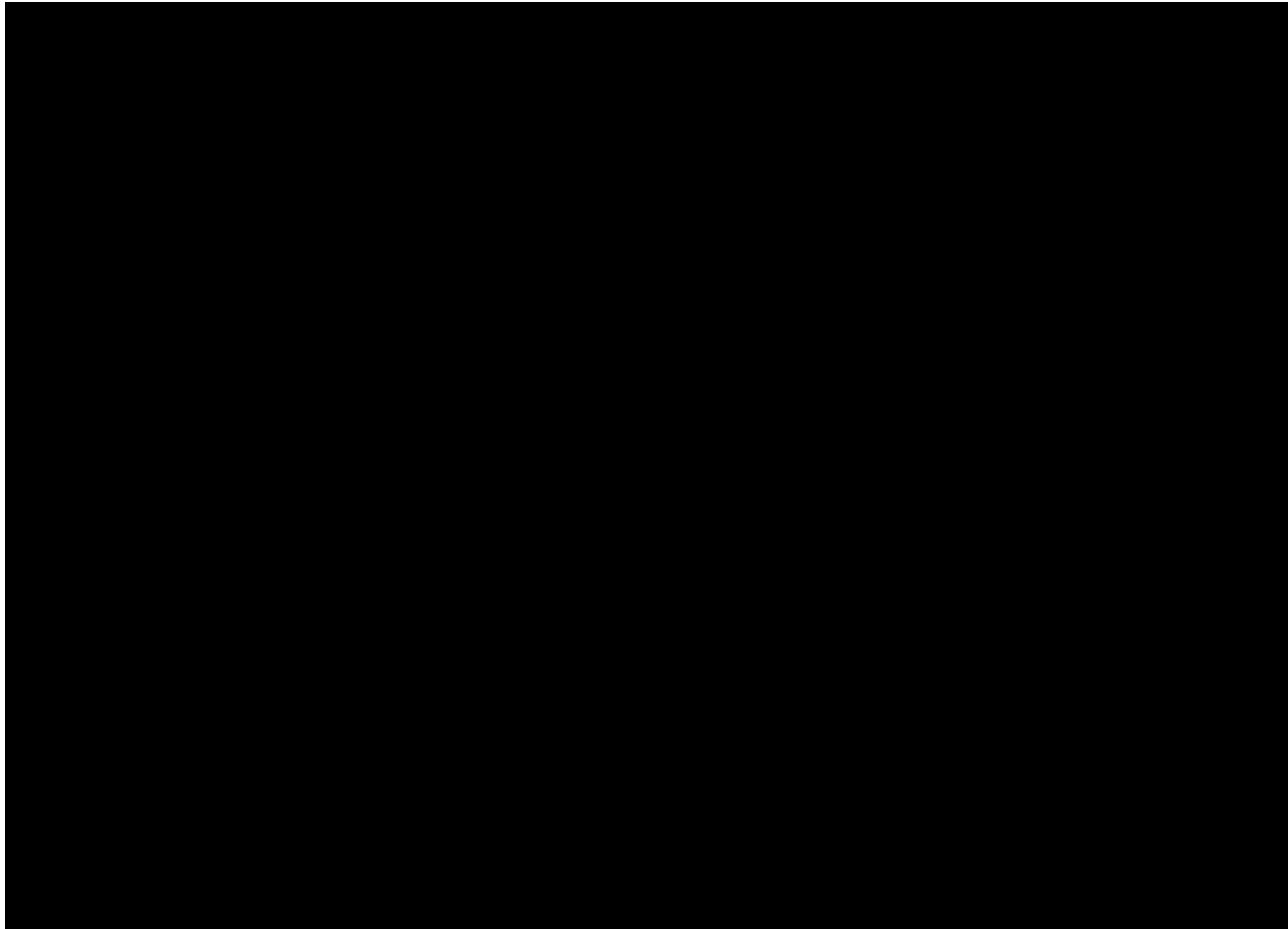
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Last Review: 1/10/20
Approver: Christopher Taylor
Last Revised: 1/10/20
Effective: 11/01/05

 2. California New Hire Reporting

N.



O. Communication and Training of Changes

1. When a change to a law, rule, regulation, or policy is noted then an implementation plan shall be created indicating:
 1. Summary of change
 2. Impact of change
 - a. Affected departments
 - b. Affected processes
 - c. Affected documents/resources, including:
 - Forms
 - Website
 - Portal
 - EVV app
 3. Change management
 - a. Process updates
 - b. Document/resource updates
 4. Communication plan
 5. Implementation target date
2. The implementation plan shall be approved by the Director of Quality and Compliance and the Chief Operating Officer

Once approved the implementation plan shall be executed by the COO or their designee

Last Review: 1/10/20
 Approver: Christopher Taylor
 Last Revised: 1/10/20
 Effective: 11/01/05

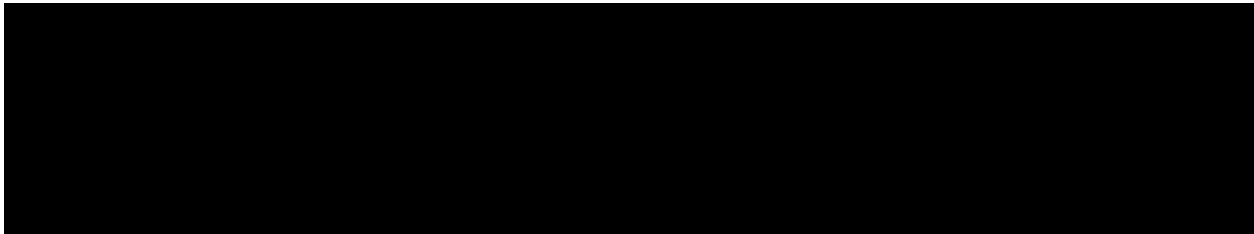


GT Independence
Employer Backup Worker Agreement

Name of Participant: _____

Medicaid #: _____ SS#: _____

Name of Representative (If Necessary): _____



Backup Worker Name: _____

Backup Worker Address: _____

Backup Worker Phone #: _____

Signature of Participant/Representative

Date



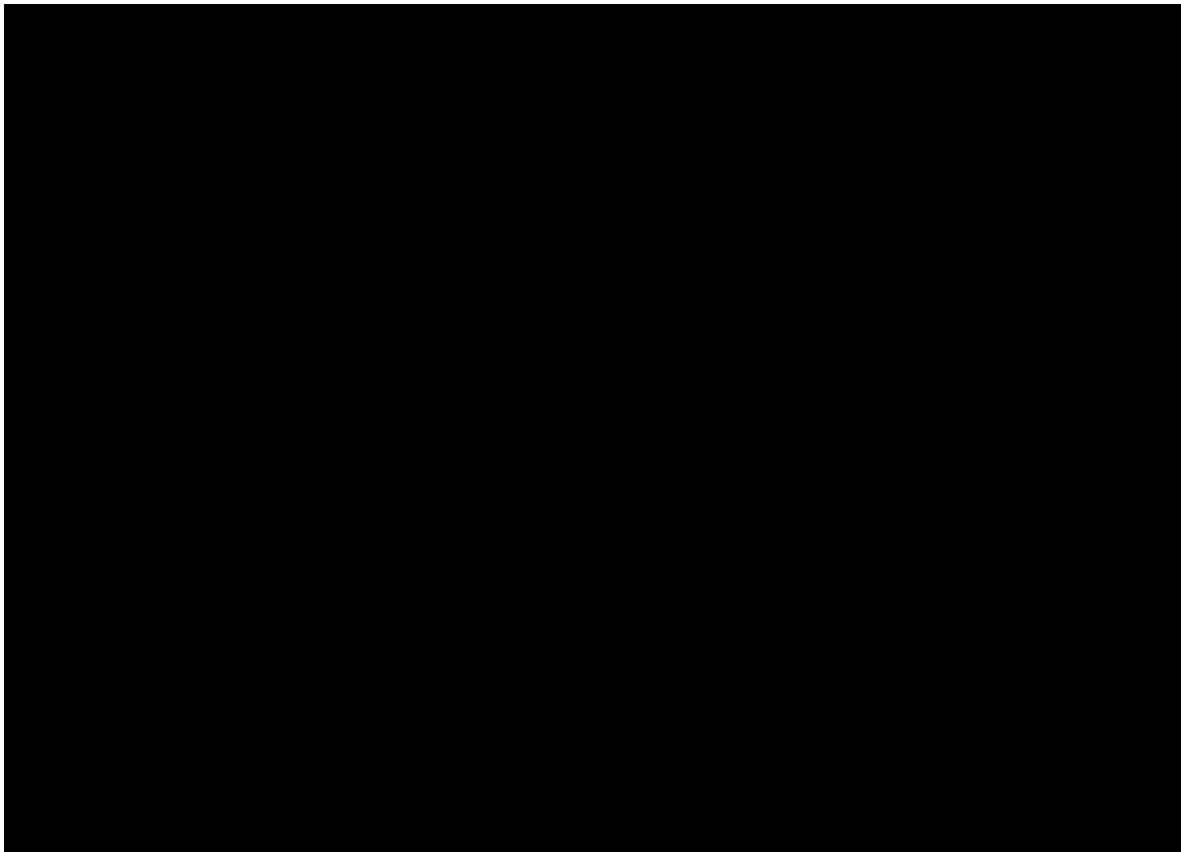
Director of Operations

Supervision Received: Senior Director of Operations
Supervision Given: Operations Manager, Enrollment Lead

POSITION SUMMARY

The Director of Operations position oversees management of all operational units throughout the Company to provide exceptional fiscal intermediary services to those receiving services through self-direction.

RESPONSIBILITIES AND DUTIES



EDUCATION

Bachelor's Degree in business, human services or related field or equivalent work experience

EXPERIENCE AND QUALIFICATIONS

- At least 5 years of experience relevant to the work performed.
- Knowledgebase in supervision, business management, and leadership.
- Excellent written and oral communication skills.
- Extensive experience in working on complex projects with Critical thinking and problem

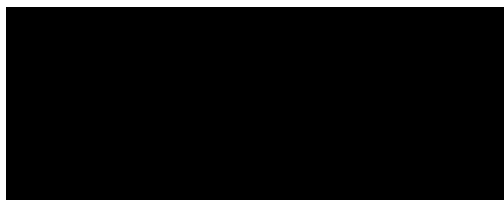


solving.

- Excellent organizational and administrative skills with demonstrated ability to work towards and meet deadlines by planning and organizing.
- Demonstrate the ability to balance work pressure with time management skills.
- Demonstrate ability to build positive relationships and communicate with people of diverse backgrounds and abilities.
- Experience in working, initiating, and maintaining highly effective team.
- Competent in the use of Microsoft Office programs and the Internet.

WORK ENVIRONMENT

Work is performed in a typical office setting or from a home office. Travel may be required.

**OBJECTIVE:**

To consistently be the standard of excellence for self-directed financial management services and ensure that self-direction and choice is available to all individuals.

SUMMARY OF SKILLS:

- Focused leader, respected by team members and recognized for delivering superior results
- Ability to develop, prioritize, and implement strategic plans and innovative ideas
- Comprehensive knowledge of self-directed services including industry trends and software
- Creative thinking, decision making, and project management skills
- Strong written and verbal communication skills, compelling presenter

EXPERIENCE:

06/10 – Present **GT Independence**

Sturgis, MI

Chief Operating Officer (02/16-Present)

Director of Customer Relations (06/10-02/16)

- Collaborate and develop company's strategy, vision, and goals
- Develop budget forecast and monitor resource needs based on growth
- Responsible for all operations including Customer Service, Payroll, Processing, and IT
- Member of Business Development Team, Quality Management Team, and CARF Committee
- Effectively coordinate with agency representatives and work collaboratively within a multi-disciplinary team
- Handle escalated issues including investigating, troubleshooting, and developing long-term solutions
- Develop effective policies, procedures, and workflows
- Develop and coach management team to effectively supervise 300+ front line employees
- Organize and facilitate the company's strategic planning process
- Improved Customer Satisfaction by 5% over two years
- Developed Operational Standards and regular metrics to monitor and improve performance
- Developed winning responses to request for proposals
- Led the implementation of new programs, including one that transitioned 5,000 members in 3 months
- Designed novel EVV reporting to improve health outcomes and prevent fraud, waste, and abuse

11/11 – 12/13 **Blue Skies Adult Day Center**

Sturgis, MI

Director

- Developed effective adult day services program including policies and procedures
- Assessed clientele in multiple areas including activities of daily living and psychosocial functioning
- Organized appropriate community activities for individuals and linked with community resources
- Developed marketing materials and a marketing plan
- Marketed services in the community including presentations and radio interviews
- Negotiated contracts and completed grant proposals
- Prepared billing to multiple agencies as well as private pay individuals

06/10 – 12/13 **Michigan Agency with Choice**

Sturgis, MI

Director

- Managed files for 200+ clients and 30+ employees
- Scheduled needed services and linked clients with community resources
- Organized community activities for groups of individuals
- Worked collaboratively with a multi-disciplinary team
- Improved compliance audit results by 15% over the course of the first year
- Lead committee member to acquire CARF Accreditation for direct services provided

04/11-07/11 **Community Mental Health and Substance Abuse Services of St. Joseph County**
Intern

- Completed Intake Assessments and treatment recommendations

- Completed Individualized Plan of Service through person-centered planning
- Developed discussion topics and materials to lead group therapy sessions

03/09-06/10 **GT Independence**

Sturgis, MI

Supported Employment Specialist

- Established and developed a Supported Employment Program
- Assisted individuals with disabilities to find and maintain competitive employment
- Developed relationships with local businesses
- Worked collaboratively with multi-disciplinary teams
- Developed appropriate on-the-job accommodations as needed
- Acquired industry expertise in Social Security and Medicaid benefits while working

09/08-03/09 **St. Joe Community Co-op**

Sturgis, MI

Job Development Specialist (09/08-03/09)

Job Coach (06/07-09/08)

- Effectively marketed the St. Joe Community Co-op
- Presented to local businesses, chambers, and community organizations
- Established and maintained relationships with business partners
- Developed accommodations needed for individuals to complete jobs
- Organized parts needed for jobs including inspecting received product
- Accurately documented completed jobs and reviewed for quality assurance
- Provided a safe environment for all members

EDUCATION, CERTIFICATIONS:

June 2011, Bachelor's of Social Work Magna Cum Laude, *Western Michigan University*

December 2008, Associate of Arts with Honors, *Kalamazoo Valley Community College*

January 2019, Certified Inclusive Playground Designer, *PlayWorld*

COMMUNITY SERVICE, AWARDS, RECOGNITIONS:

July 2020 – Present, Committee Member, *Sturgis Public Schools Back-to-School Coronavirus Committee*

March 2020 – Present, Committee Member, *City of Sturgis Splash Pad Committee*

October 2019 – Present, Committee Member, *Applied Self Direction Government Policy Executive Think Tank*

September 2015 - Present, Board of Directors, *CDG CARE*

January 2019 – May 2019, Founding Member, *Sturgis Friends of Education*

2018, Voted Best Boss, *Best of the Best Michiana – Sturgis Media Group*

PRESENTATIONS AND PUBLIC SPEAKING EVENTS:

April 2020, Open to Medicaid Agencies – *Families First Coronavirus Response Act (FFCRA) in Self-Direction*

July 2019, 4th World Conference on CDG – *CDG Connect, Patient Registry*

May 2019, Sturgis Public Schools Teaching Staff – *Person Centered Planning in the IEP process*

February 2019, Kiwanis Club, Sturgis, MI – *Inclusive Playground Needs in the Community*

January 2019, City of Sturgis Commissioners – *Inclusive Playground Needs in the Community*

September 2018, Sturgis Public Schools Board of Education – *Gaps in Special Education Services and Inclusion*

January 2018, Applied Self Direction FMS Steering Committee – *The Perception of Fraud in Self-Direction*

*I strive to contribute my skills and energy to support a growth inspired environment.
I possess a strong and intuitive drive for excellence while being an enthusiastic contributor.
I am extremely creative and sharp in my ability to anticipate the needs of a department and its staff to
maximize productivity and to meet essential goals and deadlines.*

EDUCATION

Bachelor of Arts in Psychology August 2004 – April 2009
University of Michigan, Ann Arbor, Michigan

Diploma with Highest Honors August 1999-May 2004
Portage Northern High School, Portage, Michigan

PROFESSIONAL EXPERIENCE

GT Independence August 2011 – Present
Sturgis, Michigan

Senior Director of Operations December 2019 – Present

Supervise all Director of Operations within the company. Monitor new business implementations to completion. Develop innovative processes to ensure efficient, quality services are rendered.

Director of Operations October 2017 – December 2019

Supervise all Operations Managers within the company. Closely monitor metrics to ensure compliance with targets. Evaluate and create new metrics to ensure quality while growing and expanding into new States and programs.

Operations Manager April 2016 –October 2017

Supervise all Operations Staff for Michigan, ensure all deadlines are met, complete business development for newly acquired contracts, monitor workload of staff to ensure a proper distribution of tasks, prepare reports, monitor weekly metrics, create and maintain operational objectives, and build relationships with agency personnel to ensure satisfaction.

Customer Service Manager August 2015-April 2016

Supervise 50 Customer Service Associates and 3 Team Leaders, complete annual performance reviews, coach and mentor team leaders, train new staff and administer subsequent trainings of existing staff.

Michigan Team Leader September 2014-August 2015

Supervise 22 Michigan Customer Service Associates. Deescalate upset Customers, promote intradepartmental collaboration, interview all interested applicants, properly discipline staff in accordance with company policy, and coach/mentor Customer Service Associates.

PROFESSIONAL EXPERIENCE – (Continued)

Assistant Director of Customer Relations

August 2014-September 2014

Field and resolve escalated callers to ensure the highest level of customer service to a diverse population of clientele and agency personnel. Participate in contracted agency conference calls and meetings to discuss updates or concerns. Investigate customer service grievances. Generate and analyze performance data of Customer Service Department staff and formulate plans for improvement regarding data obtained. Assist Director of Customer Relations in all tasks assigned.

Interim Corporate Compliance Manager

July 2014- August 2014

Handle all the tasks of the Corporate Compliance Associate while reporting to the CEO, COO and CFO and managing the team of Corporate Compliance Associates. Complete agency contract applications for new business and expansion of the company. Prepare files, updated policies, and readiness review for yearly auditing by 50+ different Governmental Agencies. Respond to quandaries of auditors while on site and gather additional materials requested. Develop Corrective Action Plans in response to audit findings and carryout the plan of correction in its entirety including all follow-up needed.

Corporate Compliance Associate

November 2013-July 2014

Accountable for all areas of contract management including renewals and ensuring company's compliance to uphold the requirements. Ensure compliance with HIPAA laws and requirements including receiving and investigating violations, creating updated in-service staff training and internal risk analysis. Assist in ensuring continuous CARF accreditation compliance by writing, reviewing and updating policies & procedures, heading the formal grievance and complaint processes and investigations. Website management, social media updates and annual agency surveying and result analysis.

Supported Employment Team Leader

September 2012-November 2013

Maintained client caseload while supervising a team of Supported Employment Specialists ensuring all work was completed and supplying problem resolution assistance to Specialists. Completed billing and progress reporting to referring agencies. Assisted with preparation for CARF Accreditation survey.

Supported Employment Specialist

August 2012-September 2012

Assessed client barriers to promote employment and life skills goals. Assisted an extremely diverse population of clients in employment efforts, completed forms and reporting wages to government agencies. Collaborated with the Government Agency referring staff on client status and progress.

Administrative Assistant

August 2011-August 2012

Provided administrative skills for a professional program providing care and mentorship in-home and in the community for individuals with developmental disabilities and mental illness. Maintained all office correspondence, files and client scheduling while complying with confidentiality policies and HIPAA. Planning, coordinating and directing client socialization program. Assisted a diverse population of customers and vendors in all inquiries and problem resolutions.

PROFESSIONAL EXPERIENCE – (Continued)

ADAPT
Sturgis, Michigan

August 2010-August 2011

Residential Aid

Supervision of adult foster care clients with developmental disabilities and mental illness. Personal care, toiletry, cleaning, and cooking support for clients. Professional communication with physicians, supervisors, ancillary staff, and guardians. Provided excellent 12-hour shift care.

LS&A Central Files – University of Michigan
Ann Arbor, Michigan

January 2005-March 2008

File Clerk

Created student files. Handled complex and confidential materials. Managed incoming and outgoing calls. Assistant to office personnel. Assisted in paper to electronic file conversion process.

ADDITIONAL TRAINING & CERTIFICATION

Assertiveness Training for Women in Business
American Management Association

2016 – Chicago, Illinois

A Comprehensive Guide to HIPAA Compliance:
Medical Law, Mega Rule, and State Law Training

2014 – Grand Rapids, Michigan

Assertive Leadership Skills Training for Managers and Supervisors

2013 – Sturgis, Michigan

Kalamazoo Valley Community College
Post-Baccalaureate Pre-Medical Courses

2009-2011 – Kalamazoo, Michigan

Proficient in Microsoft Programs with 17 years of experience

REFERENCES AVAILABLE UPON REQUEST

Summary

Throughout my professional life, in both the public and private sectors, I have been an advocate for people with disabilities. I have led efforts to organize the disability community around legislative and regulatory issues and have championed the implementation of diversity and inclusion initiatives at private companies and across the federal government. I have also worked directly to help people with disabilities access better educational and employment opportunities, develop independent living skills, and achieve greater economic self-sufficiency. My current focus is on helping individuals with disabilities live their lives according to their own vision through self-directed in-home and community-based care.

Career Experience

GT Independence • July 2020–present

Chief Relationship Officer: Oversee corporate social responsibility, research and innovation, marketing, government relations, and business development for a service provider that advocates for people with disabilities by helping them self-direct their care. Manage 400 contracts in 13 states totaling \$300 million in Medicaid funding, with programs designed to ensure that people with disabilities can receive the services they need while remaining in their communities and homes.

U.S. Department of Labor, Office of Disability Employment Policy • Nov. 2017–June 2020

Director of Employer Policy: Supervised the team that provided expert advice to public and private sector employers on the employment of people with disabilities, with the aim of increasing their workplace success. Responsibilities included:

- Directing the Employer Assistance and Resource Network on Disability Inclusion, a multimillion-dollar grant that provides free resources to help employers tap the benefits of disability diversity by building inclusive workplace cultures
- Leading the creation of the Inclusion@Work Framework, an internationally award-winning multimedia policy tool that outlines seven core components of a disability-inclusive workplace, along with a menu of strategies for achieving them
- Serving as ODEP's primary point of contact for the Office of Federal Contract Compliance Programs
- Implementing a new strategic approach to employer education that increased average webinar attendance from 100 employers to 600 employers and boosted AskEARN.org website traffic 1,245%, from 1,375 unique views to 18,458
- Revitalizing relationships with employer organizations such as chambers of commerce, the National Industry Liaison Group, retail associations and many other employer-membership organizations, leading to the creation of resources geared specifically to meet the needs of employers
- Directing the creation and implementation of DOL's award program to recognize employers for their positive efforts to engage employees with disabilities
- Creating customized in-person training and delivering presentations at national conferences
- Representing DOL at highly critical engagements, including congressional briefings
- Representing ODEP as a member of the State Department delegation to China, providing expert advice on the employment of people with disabilities to the Chinese government and businesses with an international presence

U.S. Office of Personnel Management, Office of Diversity & Inclusion • May 2012–Nov. 2017

Deputy Director • Feb. 2017–Nov. 2017: Served as the senior advisor on OPM's government diversity and inclusion policies and programs. Responsibilities included:

- Leading the creation and implementation of an improved, streamlined reporting method
- Serving as an advisor to the director on diversity and inclusion issues and researching trends in order to identify and/or develop innovative new practices and policies
- Providing strategic counsel to federal agencies, along with the tools, guidance and education needed to effectively implement diversity and inclusion practices, including engaging and establishing employee resource groups
- Developing and executing governmentwide training, best practices and communication strategies to improve integration and collaboration among federal agencies to sustain diversity and inclusion

Acting Deputy Director • Nov. 2014–Feb. 2015: Supervised ODI staff and managed various OPM governmentwide diversity efforts to develop, drive and monitor strategies and initiatives designed to create a more diverse and inclusive federal workforce,

including directing initiatives to increase representation of various diverse communities, such as Asian Americans and Pacific Islanders, African Americans, Hispanics, members of the LGBT community, American Indians, people with disabilities, veterans, and women.

Principal Advisor for Governmentwide Disability Policies and Programs • May 2012–Oct. 2015: Served as the principal advisor on OPM’s governmentwide disability policies and programs, including:

- Increasing the hiring of people with disabilities in the federal government by 100,000 over five years, the highest percentage and real number in 34 years
- Providing authoritative advice on and assistance with the development of policy and regulations related to diversity and inclusion
- Developing partnerships and serving as a coordinator for diversity program managers, disability program managers and selective placement program coordinators in other federal agencies, as well as with external organizations, in order to develop and implement strategies for advancing diversity and inclusion throughout the federal government
- Creating and implementing a mandatory governmentwide training program for managers and supervisors concerning the employment of and accommodations for people with disabilities

American Association of People with Disabilities • Aug. 2010–May 2012 and Oct. 2015–Feb. 2017

Chief Operating Officer • Oct. 2015–Feb. 2017: Supported all aspects of AAPD’s mission to increase the political and economic power of people with disabilities, including:

- Providing authoritative advice and supporting implementation of diversity and inclusion initiatives for private sector companies, including JPMorgan Chase, American Airlines, Walmart, AT&T and Colgate-Palmolive
- Supporting the creation and implementation of the Disability Equality Index, a transparent national annual benchmarking tool that offers businesses an opportunity to receive an objective score on their disability inclusion policies and practices
- Bringing AAPD from an overall deficit in 2015 to a surplus by the end of 2016 by increasing funding and reducing costs
- Developing and implementing the organization’s public policy agenda with members of the board of directors and the disability community to educate members of Congress and other federal and state policymakers on regulations and laws affecting the lives of people with disabilities
- Leading the rebranding of AAPD’s mission, vision and values; increasing trust and visibility across the country; and reestablishing AAPD’s reputation as a leader in the disability and civil rights communities

Director of Programs • Aug. 2010–May 2012: Directed the AAPD Summer Internship Program for college students with disabilities; the AAPD Higher Education Project, which connects college students with disabilities with mentors and resources to support their pursuit of higher education; the Disability Mentoring Day Program, the country’s largest job-shadowing program for jobseekers with disabilities; and the AAPD Leadership Awards Program to recognize emerging leaders in the national disability community.

Disability Rights North Carolina • June 2009–Aug. 2010

Coordinator of Public Outreach: Responsible for developing relationships with the grassroots community to generate support for the organization’s mission to protect and advocate for the rights of North Carolinians with disabilities.

Director of the North Carolina Disability Action Network: Directed the creation of an independent statewide nonprofit to organize the disability community around legislative and regulatory issues.

Disability Rights and Resources Center for Independent Living • May 2008–June 2009

Disability Services Coordinator: Helped center residents with disabilities develop the skills necessary to make lifestyle choices, through services such as peer counseling, the development of independent living skills and individual advocacy training.

Beyond Academics, University of North Carolina at Greensboro • Jan. 2006–May 2008

Lead Teacher and Support Coordinator: Provided education and coordinated services for students with intellectual and developmental disabilities, helping them complete a four-year course of study to prepare them for a self-determined lifestyle.

Education & Other Skills

- B.S., Special Education, University of North Carolina at Greensboro, 2007
- Fluent in American Sign Language

Visionary Technology Leader who builds, drives, and motivates successful technology in global and national organizations. Proven, results-oriented innovator with expertise in a broad range of technology across multiple industries. Analytical thinker who turns complex problems into streamlined work-plans and solutions. Change agent for optimizing performance and utilizing current technology. Noted for scaling platforms, developing strong teams, and building relationships. Select accomplishments:

- **IT Transformation:** Led strategy and transformation of technology platforms for a growing financial services organization into a thriving technology-focused company in 4 years building teams, implementing cloud solutions, and applying Agile methods.
- **Strategy:** Designed a technology roadmap for call center, financial systems, and CRM to optimize functionality and UX for remote work. This allowed for moving over 400 users in 3 days to telecommute during the pandemic.
- **Industry Leading Technology:** Implemented cloud architecture and ██████████ framework for SaaS products. This allowed us to have the industry leading fiscal management systems.

Core Competencies that Drive Results

- | | |
|--|--|
| <ul style="list-style-type: none"> ▪ Growth Strategy Planning Execution ▪ Cloud Computing Architecture ▪ P&L Budget Management ▪ International China, Europe ▪ IT Security HIPAA ▪ IT Infrastructure Disaster Recovery | <ul style="list-style-type: none"> ▪ Vendor Management Strategic Partnerships ▪ Agile Project Management ▪ Business Intelligence Power Platform ▪ Metrics Dashboards ▪ Communication Culture Change ▪ Personnel Development Mentor |
|--|--|

IT Leadership

GT INDEPENDENCE-USA, Sturgis, MI
\$300M in revenue, 500 employees, financial services for healthcare programs

2016 – Present

CHIEF INFORMATION OFFICER (2019-PRESENT)

Transformed the IT organization into highly operational development, support, project management and data teams. Transformed legacy systems to high performance web applications. Adopted frameworks to increase security posture resulting in top-tier compliance and competitive advantage.

- ██████████ CSF certification
- Led the architecture and development for industry-leading SaaS product utilizing native cloud service in AWS and GCP
- Implemented call center and engineering teams to support 50,000+ users of our mobile app and web portal
- Introduced five-year strategic plan to achieve BHAG of becoming the national leader in self-directed services
- Developed disaster recovery plan and contracts with cloud computing vendors to reduce Recovery Point Objectives and Recovery Time Objectives from days to hours

DIRECTOR INFORMATION TECHNOLOGY (2016-2019)

- Led the development of industry-leading Fiscal Management Systems that serves 25,000+ Clients and is customized to meet the needs of over 200 Medicaid and VA contracts
- Implemented cloud call center and integrated IVR that greatly reduced agent calls and call hold times
- Customized and implemented CRM to drive business development resulting in large contract wins
- Led teams that develop Dynamics GP integrations to support Payroll of 30,000+ employees
- Implemented Agile practices in software development

BURR OAK TOOL INC., Sturgis, MI

2007 – 2016

Global manufacturer of industrial machinery for the HVAC industry, 500 employees, manufacturing and assembly facilities in US, China, and Europe

DIRECTOR OF INFORMATION TECHNOLOGY (2008-2016)

Digitally transformed engineering, manufacturing, inventory, and production scheduling processes. Provided strategic plans and executive management for the organization. Provided quality frameworks for ISO, Lean manufacturing, and metrics systems for business intelligence and performance reporting.

Global Supply Chain: Implemented Microsoft Dynamics AX ERP with customized enterprise manufacturing features and production planning for complicated bills of material and routings.

Customer Satisfaction: Designed and implemented a custom CRM solution that tracks engineering data, BOMs, service calls, predictive maintenance for all custom engineered machinery sold. This resulted in increased customer satisfaction, standardization, and efficiency.

Staffing: Built a highly efficient IT team to support global operations and multiple companies. Demonstrated the importance of IT and was the first member of IT to sit on the executive management team

Technology Expertise: Mentored and empowered teams.

- Developed ERP integrations with automatic inventory picking, vertical storage units and shipping software
- Developed robust reporting suites for AX 2012 R3, Dynamics GP, Dynamics CRM, Microsoft Project Server other systems utilizing SSRS
- Implemented Office 365 to increase scalability of email and integration of back office systems

SYSTEMS ADMINISTRATOR (2007-2008)

- Implemented Microsoft Project Server to schedule and track the design and build of large machinery from contract negotiation to shipment and training
- Modernize ERP systems, CRM with digitized workflows to automate processes
- Responsible for network design and security
- Developed custom applications and interfaces using .NET and SQL Server for engineering efficiency
- Designed voice, data and storage networks using VLANs, advanced routing, link aggregation
- Global Windows domain administration, DHCP, Active Directory, DNS and PKI

OWENS PRODUCTS, Sturgis, MI

2005 – 2007

Privately held manufacturer of automotive accessories, running boards, toolboxes, dog boxes.

IT MANAGER

Implemented ERP, developed eCommerce websites and administration of all server and network infrastructure.

- Developed eCommerce websites for multiple sales channels to sell direct to consumer
- Designed and developed manufacturing and inventory systems to greatly increase accuracy and efficiency
- Developed .NET applications to interface SYSPRO ERP with external systems

Education/Certificates /Affiliations

Bachelor of Science Computer Science – Trine University, Angola, IN, 2005

Graduate Level Coursework – DePaul University, Chicago, IL 2009-2010

St. Marys Assumption School Board, 2018-2021

Generate Sturgis Board Member 2013-2014

MCSE

MCSA

Career History	GT Independence , Sturgis, MI Chief Administrative Officer	2021-Present
	Responsibilities Include: <ul style="list-style-type: none"> Leading various company functions such as Accounting and Controlling, Personnel, Quality, Compliance, Administrative Services and Legal Serving on the GT Independence Executive Team to develop Company strategy Leading an overall staff of approximately 50 professionals including their performance, career development and future aspirations. 	
	Inquire Partners Inc. , Sturgis, MI Founder, President & CEO	2012-2021
	Responsibilities Included: <ul style="list-style-type: none"> Leading large-scale consulting projects focused on creating great workplaces with emphasis on strategy, human resources, operations, and facilities. Directing the development of a \$7M+ real estate project involving Brownfield redevelopment, tax increment financing, bank financing and USDA guarantees. Serving on several local boards including Sturgis Hospital, Sturgis Improvement Association, Sturgis Economic Development Corporation, Sturgis Brownfield Redevelopment Authority and Sturgis Downtown Development Authority. 	
	Mercedes-Benz Financial Services , Farmington Hills, MI Vice President Human Resources & Administrative Services	2007-2012
Responsibilities Included: <ul style="list-style-type: none"> Developing overall corporate strategy for Mercedes-Benz Financial Services as a member of the Americas Operations Committee Directing all aspects of Human Resource operations for Daimler's sales and financial services businesses in the Americas including Mercedes-Benz USA, Mercedes-Benz Financial Services USA and related entities in Canada, Mexico, Brazil, Argentina, Colombia, Venezuela, Costa Rica and Nicaragua. Directing corporate security, facilities and procurement operations for Daimler Financial Services in the Americas Directing all aspects of expatriate management and payroll in NAFTA as President of Daimler International Assignment Services Developing and communicating strategies that make Mercedes-Benz Financial Services and Mercedes-Benz USA Great Places to Work 		
Ernst & Young, LLP , Pittsburgh, PA/Chicago, IL	1998-2007	
Senior Manager	October 2002 – August 2007	
Manager	October 2000 – September 2002	
Staff/Senior Consultant	January 1998 – September 2000	
Highmark Blue Cross/Blue Shield , Pittsburgh, PA	1997	
Legal Intern		
Missouri Police Chiefs' Association , Jefferson City, MO	1995	
Registered Lobbyist		
Education	University of Pittsburgh School of Law	1995-1998
	<i>Juris Doctorate</i> with a certificate in Health Law	
	Northwest Missouri State University	1991-1995
<i>B.S. Government</i> with a minor in Criminal Justice		
Intercollegiate Tennis Association Academic All-American		

Other Accomplishments

Volunteer Activities	Interim-CEO and Board President, Sturgis Hospital Inc. Board Member, Sturgis Stingrays YMCA Youth Swim Team
Awards & Membership	Crain's Detroit Business, <i>2009 Top 40 Under 40</i> Licensed Attorney in the State of Michigan Licensed (Inactive) Attorney in the Commonwealth of Pennsylvania
Speaking Engagements	Ernst & Young Global Employers Symposium, November 2008, Scottsdale, AZ PICPA Healthcare Conference, June 2004, Harrisburg, PA Ernst & Young National Health Care Tax Conference, December 2003, Las Vegas, NV
Publications	Key Contributor, <i>Hardwiring Right Retention</i> , Health Care Advisory Board Co-Author, <i>Human Resources Challenges for the Restaurant Industry</i> , Ernst & Young
Project Experience	<p><u>Mergers & Acquisitions</u></p> <ul style="list-style-type: none"> • International due diligence and post-merger design of global compensation plans for the Chinese acquirer of a U.S.-based personal computer manufacturer. • International due diligence for a Fortune 500 computer manufacturer and a global professional services firm. • Post-merger integration of the human resource function and programs for a 14-hospital health system with hospitals in the U.S. and Italy. • Due diligence and post-merger integration of a U.S. based steel company being purchased out of bankruptcy by a Russian steel manufacturer. • Due diligence and post-merger integration of two publicly traded commercial and residential property companies. <p><u>Total Rewards Redesign</u></p> <ul style="list-style-type: none"> • Identified and implemented greater than \$200 million in annual savings opportunities in HR programs and service delivery for clients in the healthcare, utilities, retail, manufacturing and hospitality industries. • Implemented absence management programs including paid time off and integrated disability management that have reduced unscheduled employee absenteeism by an average of more than 1 day per FTE per year. • Implemented changes to compensation and benefit programs that have enabled employers in the healthcare and high-technology industries to reduce the direct cash costs of employee turnover by 25% to 50% while maintaining a positive return on their investment. • Assisted organizations with collective bargaining activities as they related to human resource programs. • Developed an employee commitment survey and preference database for evaluating potential recruitment and retention impact of plan design changes. <p><u>Compensation</u></p> <ul style="list-style-type: none"> • Designed and implemented various broad-based employee compensation systems. • Conducted IRS compliance reviews and designed executive compensation programs for tax-exempt entities. • Implemented short-term and long-term incentive compensation plans for companies operating in healthcare, retail, technology, financial services and manufacturing. • Conducted proxy analyses for purposes of establishing executive and director compensation for companies in several industries. <p><u>HRIS</u></p> <ul style="list-style-type: none"> • Assisted clients with selection and implementation of global payroll, HRIS, and time and attendance systems. • Directed the Human Resource aspects of implementing PeopleSoft 9.0 for all Daimler entities in the NAFTA region.

EDUCATION SUMMARY

Knowledgeable compliance professional with over ten years of experience focused on minimizing company liability with a quality-driven proactive approach of ensuring compliance with established standards and legal requirements. Quality driven and hardworking with proven skills in spotting issues, developing resolutions, and implementing corrective actions. Certified in Healthcare Compliance and Healthcare Privacy.

EDUCATION

Western Michigan University
Kalamazoo, MI

B.A.: Sociology, Criminal
Justice

CERTIFICATIONS

Certified in Healthcare
Compliance (HCCA) Certified
in Healthcare Privacy (HCCA)
Trained Facilitator in
Situational Self & Team
Leadership models

WORK HISTORY

GT Independence - Director of Compliance
Sturgis, Michigan 03/2020 - Current

Supports the accomplishment of corporate strategic plans that achieve high impact and significant improvements in organizational performance. Facilitates and monitors the development and implementation of the quality and compliance program. Assists with planning of quality improvement and compliance training and presentations. Prepares materials that promote and communicate quality improvement and compliance internally and externally. Assists staff with questions regarding quality improvement and compliance. Develops and maintains quality improvement and compliance databases/spreadsheets and reports. Responsible for oversight of internal and external audits, credentialing, and CARF accreditation.

Anthem Insurance -Beacon Health Options - Regional Compliance Manager
05/2018 - 05/2019

Served as the compliance program consultant for the implementation of new contracts. Served as the subject matter expert for compliance best practices and quality control internally and externally.

Maintained current understanding of industry standards and applicable state and federal requirements.
Developed and provided education and training related to compliance, privacy, and ethics
Monitored compliance with company standards, policies, procedures, and legal and contractual requirements; performed investigations.

Summit Pointe - Corporate Compliance & Privacy Officer
02/2016 - 03/2019

Served as a member of the Executive Leadership team; Chaired Board Corporate Compliance Committee; Served as compliance liaison to Board of Directors.
Responsible for implementing and monitoring compliance and quality program; annual auditing and monitoring plan, reporting, HIPAA Risk Assessment, QAPI plan.
Managed compliance and quality teams, was responsible for internal and external investigations and facilitated investigation and breach response teams.
Responsible for maintaining current knowledge of state and federal regulations.
Provided education and training related to compliance, privacy, and ethics throughout agency & provider network.

Southwest Michigan Behavioral Health - Compliance Specialist/ Program Integrity Lead
08/2012 - 05/2015

Served as subject matter expert internally and externally, maintaining current knowledge of industry standards, state and federal regulations.
Developed and implemented agency annual auditing and monitoring plan(s). Managed practical action plans to respond to audit discoveries and compliance violations.
Performed compliance and privacy investigations
Administered annual HIPAA Risk Assessment

Target Corporation, Ann Arbor, MI – September 2003-May 2006

EXECUTIVE TEAM LEADER –LOGISTICS/HARDLINES

- Trained new employees with tools for success
- Used proper tactics to drive sales and increase profitability
- Oversaw guest service and merchandising of five departments with sales ranging from 15 to 20 million dollars annually
- Provided floor leadership during hours of operation, as well as opening and closing the store
- Established excellent rapport with guests and team members
- Supervised the facility and scheduled staff
- Maintained quality performance objectives and assisted in cost control programs
- Received recognition for transitioning the 60 member Flow Team from third to first shift
- Developed space management protocol for stockroom

EDUCATION

Central Michigan University, Mount Pleasant, MI
Bachelor of Science in Business Administration, December 2003
Majors: Marketing, Logistics Management

REFERENCES

Professional references provided upon request

Business Development and Government Relations focused Human Services Executive

Transforming Practice, Creating Consistency, and Engaging Employees Proactively

Experienced Executive Leader with over 20 years of clinical and health care experience, including 10+ years of government experience focusing on transforming policy and practice to achieve high quality outcomes. Through this challenging work, has created consistency, adherence to best practice standards, and strategic leadership to address systemic and internal needs.

- Strategic Management
- Data Driven Results
- Internal and External Stakeholder Engagement
- Full System Evaluation
- Responsible Implementation of Needed System Changes

GT Independence | Maine/Michigan

2019 - present

Director of Business Development, (2020 – 2021)

- Provide local, state and federal education and advocacy for self-determination
- Perform market research, develop key stakeholder relationships and conduct forecasting for new development opportunities
- Write RFP and business proposals and secure new contracts for business growth
- Perform government relations activities including written public comments and engagement in key stakeholder policy initiatives and activities

Director of State Services, Maine (2019 – 2020)

- Serves as the key representative for stakeholders including government officials, clients and other key stakeholders
- Oversees operations for all state programs including day to day operations within the field team, reporting, and strategic performance
- Provides education and advocacy for self-determination at the local and state levels

DEPARTMENT OF HEALTH AND HUMAN SERVICES | Maine

2012 - 2019

Associate Director, Office of Child and Family Services (2016 – 2017, 2019 – 2019)

- Served as a key member of the Office of Child and Family Services executive team with direct leadership over state and community programs for early intervention and prevention services
- Created and implemented strategic planning and management of programs including state general funds and federal grant funds to adhere to state, federal and best practice requirements
- Focus on prevention of child abuse and neglect, family violence, sexual assault, and human trafficking, and behavioral health needs
- Effectively maintain relationship with internal and external stakeholders at the local and federal levels

Acting Director, Office of Child and Family Services (2017 – 2019)

- Serves as a key member of the Department of Health and Human Services Commissioner's team with direct leadership responsibility for a state office including management of a \$200+ million-dollar budget comprised of state and federal funds and over 670 employees
- Strategic management of statewide child welfare practice, children's behavioral health services, early intervention and prevention services and operations within the Office of Child and Family Services to meet state, federal and best practice requirements
- Focus on creating statewide consistency with high-quality practice that is both efficient and effective in meeting the needs for children and families in Maine
- Responsible for directly working with the Legislature during active sessions
- Strategic internal and external communication related to office matters
- Management of over 150 contracts for community services

Program Manager, Office of Aging and Disability Services (2012 – 2016)

- Managed eight statewide programs including Brain Injury Service programs (outpatient services, waiver services, nursing facility services, HRSA grant services), Other Related Conditions Waiver services, Gero-Psychiatric Nursing Facility Services, PASRR services, and Constituent Response Services.
- Designed, implemented and managed two statewide Home and Community Based Waivers: the Brain Injury Waiver and the Other Related Conditions Waiver
- Oversaw and managed all Medicaid services for brain injury in the state of Maine including fiscal management, stakeholder engagement, and policy reform
- Reformed, implemented, and managed the statewide PASRR (Pre-Admission Screening and Resident Review) program
- Designed and successfully obtained \$1million Traumatic Brain Injury State Partnership grant and continue to manage the contracts for this grant and the ongoing service
- Managed the statewide Gero-Psychiatric Nursing Facility programs including contract management
- Designed and delivered presentations on many topics including stress management, time management, challenging behavior, PASRR, HCBS Waivers, State services, transitioning to college, FISH philosophy, the Keys to Success, and other clinical topics.
- Created the Health and Safety Assessments for both the Brain Injury Waiver and the Other Related Conditions Waiver
- Created and implemented the Behavior Plans and Monitoring System for the Brain Injury Waiver

DIVISION OF DEVELOPMENTAL AND DISABILITY SERVICES | Delaware 2005 - 2008
Behavior Analyst Supervisor, Office of Child and Family Services (2007 – 2008)

- Supervised Psychological Assistants and Behavior Analyst with the New Castle County region of the Delaware Division of Developmental and Disability Services
- Clinically reviewed statewide treatment plans for individuals with developmental disabilities
- Managed micro-budget for countywide clinical services including contract development and management

- Served on a statewide committee to review treatment plans for behavioral, ethical, and legal considerations
- Reviewed psychotropic medications to ensure appropriate amount and type of medications are being prescribed
- Created multiple databases to efficiently manage and organize information

Psychological Assistant II (2005 – 2007)

- Designed and implemented clinical behavior plans for individuals with developmental disabilities and mental illness
- Delivered individual and group mental health counseling with individuals diagnosed with developmental disabilities
- Trained direct care staff on clinical techniques for working with individuals diagnosed with developmental disabilities and mental illnesses

CRISIS AND COUNSELING, INC. | Augusta, Maine

2003 - 2005

Clinician/Team Leader

- Managed crisis workers including triaging cases, monitoring work progress, and approving case dispositions to maintain community safety
- Delegated crisis cases to allow for a smooth and timely assessment of clients in need
- Developed and facilitate multiple groups including substance abuse and anger management
- Assessed mental stability to determine crisis status and special management needs of inmates

THOMAS COLLEGE | Waterville, Maine

2010-2012

Peer Mentor Coordinator

- Managed peer mentoring program for college campus including supervising, creating training program to continue national certification, and day to day oversight
- Created and delivered a 35 hour/year training program for college level peer mentors
- Presented at multiple regional conference including panel presentations and a poster presentation on the Thomas College Peer Mentoring Program
- Taught courses on topics of First Year Experience and RAMP UP
- Provided academic coaching for at-risk students
- Implement college campus wide educational programs to address at risk behaviors for first year students
- Created and facilitated multiple Summer Bridge programs and other intensive programs for at risk college students



EDUCATION

Master of Science Degree in Applied Psychology
UNIV OF SOUTH ALABAMA, 2000

Bachelor Degree in Psychology
UNIV OF SOUTH ALABAMA, 1998

REFERENCES

Available upon request.

Director of Relationships

Function as the liaison between agencies and GT Independence to expand home and community-based services and advocate for self-directed services nationwide.

Experience

2021 - Current

Director of Relationships *GT Independence*

Expand existing markets through driving enrollments in existing contracts, supporting Directors of Business Development in open new opportunities within the market, strengthen relationships with contract holders, identify areas of systematic improvements and partnering with operations to implement changes. Serve the market in developing relationships with decision makers, advocates, and legislative stake holders to drive policy that increases self-direction.

2019-2021

Director of State Services *GT Independence*

Successful lead and supervise staff of Enrollment Specialists and Enrollment Leads to educate external stake holders on self-directed services, roles, duties and responsibilities. Ensure the enrollment process is understood by staff and supply ongoing training to ensure successful program usability and experience. Support professional development to associates and develop clear goals and expectations to reach desired career path.

2016-2019

Field Service Representative *GT Independence*

Schedule and conduct enrollment visits with external stakeholders across Florida for all existing contracts. Ensure deep understanding of technology needed to have success self-directing care was supplied to stake holders and their caregivers. Have clear communication with operations daily and weekly to guarantee optimal functional area achievement.

Education

2011

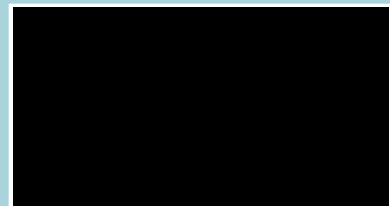
Bachelor of Hospitality Management

Florida International University

Core Competencies

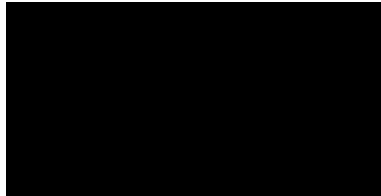
- Leadership
- Organization
- Training and Development
- Problem Solving
- Teamwork
- Communication Skills

Contact



Technologist – Consultant - Architect

Contact



Objective

_Technology Executive, Manager, and Architect with over 20 years of experience designing software and technology-based business solutions for public and private sector clients.

_Skilled in product and service innovations leading to operational and strategic gains. Demonstrated mastery in software delivery, portfolio management, and planning, integration, and service activation.

_Proven collaborator, communicator, and training lead with expertise in cross-functional teams to drive a shared vision.

Education

Grand Valley State University
Master of Science – CIS 2011
Grand Valley State University
Bachelor of Science – Political
Science and Philosophy 1994

Experience

Feb 2021 – Present

Director, Software Engineering / Development • GT Independence
Strategic

- Responsible for leading and managing ongoing strategic direction, design, development, and support of GT Independence's application platforms to ensure predictable and reliable operations and capabilities.
- Accountable for building relationships and strategic alliances with business partners, colleagues, suppliers and managing organizational priorities.
- leading software application design, development, testing, deployment, and support across business functions, driving standardization and simplification of the IT landscape.
- *Manage* short and long-term IT investments supporting the organization and designing IT software, systems strategy, and tactics.

Tactical

- Build and deploy every aspect of the software engineering process.
- Design and deploy the SDLC, DevOps, CI/CD elements of the organization.
- Design purchase and integrate SAST and DAST security components.
- Implement an Agile process in support of software development projects.
- Review, architect and refactor legacy applications with a more modern architecture
- Determine organizational messaging, microservice and API architectures.

Nov 2019 – Feb 2021

Sr. Product Architect • Tata Consultancy Services
Strategic

- Manage Solution Architects, development teams, and Product Owners on pharmacy renewal project replacing existing mainframe system with microservices oriented cloud solution.
- Budgetary responsibilities including personnel, software systems and tools.
- Architectural parameters for infrastructure and software design stipulate billions of transactions per year.
- Manage project deliverables, tasks and integration efforts.
- Attend and lead architectural governance council focusing on KPI's.
- Work with the domain, product management and product engineering teams in the solution engineering efforts.
- Define logical and physical architecture for Walgreens assembly pharmaceutical renewal project.

Tactical

- Design messaging sequencing and payloads between microservices.
- Determine initial software templates for starter projects on behalf of engineering.
- Determine and deploy initial persistence data layer based on microservice needs.
- Determine and deploy new barcode symbology based on new product needs and specifications.
- Participate in API lifecycle development; responsible for software design and code quality of fulfillment areas.
- Design, build and test RESTful API's for Fulfillment areas of Pharmacy Renewal project including:
 - Assembly process
 - Product Review process
 - Point of sale integration
 - Product to Patient process (Mark As Sold)
 - Bin Management and reconciliation
- Design messaging sequencing and payloads between microservices (API's).
- Manage and add to the architectural portal containing swagger-based interfaces.

Jan-2019 – Sep-2019

Sr. Solution Architect • Dewpoint (contract)

- Establish Agile and DevOps commercial sales avenue, building out professional teams and technical sales material for new market Agile and DevOps offerings.
- Identify, interview and hire agile coaches and team member professionals in support of new service offerings.
- Lead effort to identify and prioritize partnership opportunities.
- Manage new offerings project detailing scope, timeframe and deliverables.
- Identify and direct new product and service offerings.
- Ensure new offering portfolio investment and budgeting prioritization.
- Work with customers to determine agile KPI's.
- Analyze and define system architecture requirements.
- Formulate strategic plans to sustain future project objectives.
- Develop SAFe agile service offering with existing clients.
- Construct and advice on Azure cloud architectures.
- Design RHEL based Ansible automation system and related playbooks.

Aug 2014 – July 2018

Sr. Coordinator / Architect • Innovations • Meijer

- Lead strategic portfolio planning and budgeting of innovation initiatives.
- Work closely with cross functional teams and departments ensuring innovation coordination across the organization.
- Project manage innovation projects, process and deliverables.
- Roadmap creation and adherence to innovation KPI's.
- Drive the IT vision and strategy to enable achievement of organizational Innovation objectives.
- Work with team leaders to set priorities for activities and resource allocation.
- Work with leadership, developers, and architects determining emerging technology, Cloud and DevOps directions.
- Collaborate with the Technology leadership team to design and implement cloud-based migrations of infrastructure.
- Present organizational and retail innovation opportunities to C-Suite for review and organizational prioritization.
- Design, develop and implement IOT based in-store innovation opportunities utilizing Azure cloud IOT and BLE beacons.
- Define, manage, and deliver market driven technologies, such as digital/mobile technology.
- Collaborate and direct resources internal and external to Meijer on innovation opportunities.
- Build architectural approaches integrating with developers and operations.
- Architect and deploy cloud based mobile development architecture.
- Plan, facilitate and implement corporate cloud lift and shift migrations for on-prem SQL Server VM's.
- Azure SqlServer design and implementation on behalf of Digital services.
- Architect and prototype IAAS migration from on premise to Azure based PAAS and IAAS structures.
- Design, develop and deliver DevOps / SAFe agile training seminars organization wide (business and IT).
- Training lead on MS DevOps tools for organizational wide SAFe agile initiative
- Architect and deploy Azure test environments for mobile development, IOT devices and micro-service architecture.
- Design, Develop and deploy mobile applications on behalf of workforce enablement.
- Formulate strategic plans for component development to sustain future project objectives.
- Design and implement Git branching and source control strategy.
- Design and implement Docker and Kubernetes implementation.
- Design and Build initial IBM api management gateway with initial organizational test groups of marketing and internal communications groups.
- Familiarity with IBM DataPower Service Gateway and/or IBM API Connect

May 2013 – Sep 2014

Sr. Global Digital Business Analyst, Amway; Ada, Mi.

- Assembling and leading project team, determination of resources and budget.

- International project collaboration and partnering Amway China, Amway India, Amway Japan.
- Project planning, documentation and estimation of resources, work requirements, priorities, budget.
- Change management, project progress and risk mitigation communication responsibilities.
- Determine project scope, goals and objectives with clients.
- Analyze and define client's business strategy and determine system architecture requirements to achieve business goals.
- Work with Okta on initial corporate and worldwide Single Sign-On project implementing SSO across the ABO and corporate environments, 8 million-dollar 5-year contract negotiation.
- Formulate strategic plans for component development to sustain future project objectives.

Mar 2013 – Aug 2014

Director of Development, People Design; Grand Rapids, Mi.

- Project planning and estimation of resources, work requirements, budgeting.
- Determine project scope, goals and objectives with clients.
- Direct and focus the efforts of technical and design project teams.
- Draw appropriate cross functional teams together to address technology initiatives.
- Guide staff on procedures, technical issues, work priorities, and special requests.
- Direct development and design resources on software initiatives.
- Act as head or lead on software initiatives.
- Architect, design, develop and deploy e-commerce tools and website on behalf of carpet textile client.
- Architect, design, develop and deploy marketing and tool selection website and mobile application on behalf of carpet textile client.
- Architect, design, develop and deploy marketing-based website on behalf of packaging organization.
- Develop API services in an Agile environment.

2006 – 2011

Director of Web & Media, Davenport University; Grand Rapids, Mi.

- Create Initialize and communicate portfolio prioritization and strategic goals.
- Project planning and estimation of resources, work requirements, priorities, budget.
- Hire and mentor engineering, development, design and administration teams.
- Determine project scope, goals and objectives with internal clients.
- Change management, project progress and risk mitigation communication responsibilities.
- Direct and focus the efforts of technical and design project teams.
- Recommend skill set acquisition in support new internal and external programs.
- Budgeting CapX and OpX for Web and Media tools, personnel and assets.
- Direct internal teams of developers, technical assets, designers and administrators.
- Establish KPI's for the Digital team and manage to KPI goals.

- Work with executive leadership team on strategic initiatives and tactical solutions.
- Implement strategic initiatives on behalf of executive stakeholders and Davenport main constituents' staff, professors and students.
- Prioritize development goals and resources against strategic goals and priorities.
- Develop for and integrate with existing ERP systems (Banner SCT, Blackboard, PeopleSoft, Luminous) on tactical initiatives.
- Work with admissions on lead generating software / systems and reporting.
- Work with marketing on strategic initiatives around branding of the university as well as tactical initiatives in support of the same.
- Development in support of Human Resources involving a customized performance evaluation system for the university.
- Lead team of Black Board administrators on initiatives involving long-distance learning and integrations / reporting on the same.
- Lead media specialists on digital signage initiatives in support of student and professor awareness of university initiatives and marketing initiatives.
- Implement and integrate strategic initiatives using proximity cards on behalf of facilities security.
- Blackboard curriculum definition and deployment.
- Blackboard upgrades and patching responsibilities.
- Setup, deployment and faculty training of blackboard.
- Define, consult on and implement security initiatives surrounding Family Educational Rights and Privacy
- Act (FERPA) where it touches on software initiatives and proprietary software systems at the University.
- Acting head of IT on software and development related issues.
- Acting lead digital infrastructure, servers and operating systems.

Mar 2004 – Aug 2006

Sr. .NET Developer, Davenport University; Grand Rapids, Mi.

- Work on tactical initiatives around embedded systems and web application development in support of Students, Professors, Marketing, Human Resources, Student Services and Executive Leadership.
- .NET web applications development.
- Web applications security principles.
- Solid understanding of the ASP.NET applications event model.
- XML data access in ADO.NET 2.0 applications.
- Data synchronization in ADO.NET 2.0 applications.
- Data access implementation by using Microsoft SQL Designer.
- Planning and designing user interaction solutions.

Successes

*Led and participated in MyBiz - design, requirements analysis, systems implementations, development, creation of marketing material and review of marketing analytics on behalf of Amway Business Owners across several channels, worldwide. MyBiz cleared millions in synergies and sales opportunities. Included multi-million-dollar SSO negotiation on behalf of millions of Amway Business Owners

*Meijer - Architect Azure cloud-based solutions and Migrate all development personnel as well as business customers from internal TFS on-premise to cloud-based MS DevOps system. 1000s of users and growing. And, first ever company wide Hack-A-Thon.

My team worked with business stakeholders to illustrate the business value and get strategic alignment, budget and resources as well as working with developers directly in a change management capacity to ensure a smooth migration and a transparent end state.

*Davenport - ERP vetting and ERP customizations surrounding Davenports Banner SCT implementation. Banner® by Ellucian is the world's leading higher education ERP. The Web and Media team responsibilities were to implement and support the web based interface to students, faculty and staff, the interface is still used today for student, faculty and staff related concerns.

Key Skills

Marketing
Project Management
Budget Planning
Social Media
Planning

Leadership

Meijer Hackathon termed Hack4Meijer innovation startup, leading new product development initiatives identifying trends in areas of commercialization. Hack4Meijer was designed to overcome the struggle of accepting innovation within the company. Meijer is always looking to solve challenges ranging from day-to-day workflow issues and software solutions to customer service concerns and even new product development. Simply put, the intent of Hack4Meijer was to reinvigorate Meijer's innovation culture and capabilities. Von led this initiative coordinating and promoting project vetting and selection, logistics, judging, awards ceremonies and follow-up demonstrations to Meijer corporate.

References

[Available upon request.]



Summary of Qualifications:

Detail oriented, result driven, positive professional with a passion for excellence. Proven ability to adapt to a changing environment, while delivering accurate and timely support. Able to motivate team members to achieve objectives to the desired timeline. Wide array of technological experience with basic troubleshooting and everyday maintenance.

- Multiple Operating systems platforms
- Patch and change management
- Project management
- Ticket and Resource management
- User account maintenance
- File maintenance and Data Loss prevention
- Virtual System and cloud administration
- System hardening and Auditing
- Incident response
- Customer support
- Microsoft and O365 Management
- Security Accreditation for HIPAA, PCI and SOC 2

Work Experience:

Director of IT Infrastructure
February 2017 - Present

GT Independence
Sturgis, MI

- Manage and maintain all operating systems.
- Create and manage policies and procedures for end-users and support staff.
- Direct help desk operations and reporting requirements.
- Define security procedures and policies and apply industry best practices.
- Manage Microsoft and Windows system infrastructure such as Office 365, Active Directory, Exchange and WSUS
- Establish security and auditing controls that align with industry compliance standards
- Engineered and manage security and system controls leading to a [REDACTED] accreditation

System Administrator
August 2016 - February 2017

Indiana Toll Road Concession Company
Granger, IN

- Maintained 126 virtual and physical servers, enabling continual hybrid system integration and 100% accountability for customer transactions.
- Created and Implemented domain security practices, ensuring PCI compliance was met, allowing the company to avoid hefty fees and continue to process credit cards.
- Coordinated hardware expansion for VMware and Office 365 transition, enhancing the company's disaster recovery plan.

Configuration Management Technician
September 2014 - August 2016

U.S. Air Force
Joint Base Elmendorf-Richardson, AK

- Directed a four-member team to virtualize 10 systems integral to an increase of processing capabilities.
- Authored standard operating procedures, enabling system administrators to provide continual secure network management.
- Maintained Active Directory, group policy, user accounts for over 400 users and file security and maintenance of 30 TB of data.

Supervisor Intelligence Maintenance Control Function U.S. Air Force
September 2010 - September 2014 Ramstein, Air Base Germany

- Managed Server incident identification, reporting and resolution; maintaining the confidentiality, availability and integrity of over \$200 million of equipment.
- Authored and distributed quarterly operations plan for six organizations.
- Managed baseline, enabling intelligence package generation for over 27 organizations.

Client Systems Technician U.S. Air Force
November 2008 - September 2010 Shaw Air Force Base, SC

- Created and reported incident reporting metrics, identifying preventative measures, increasing overall end user experience.
- Coached system security practices to supported community, eliminating any unreported security incidents.

Customer Service Representative Indiana Chair Frame
August 2007 - October 2007 Middlebury, IN

- Provided a continual relationship between manufactures and sales representatives, resulting in 150 sale catalogs being distributed.
- Coordinated freight pickup and delivery for manufactured products, ensuring the transportation of all ordered products.

Rebate Processor/Intern Wintergreen Systems
August 2004 - February 2006 Elkhart, IN

- Provided timely and accurate customer service support for 5,000 rebates.
- Interned with accounting department, learning basic financial reporting.

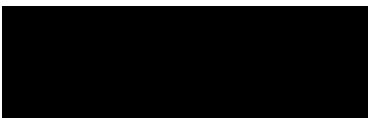
Military Service:

Branch: U.S. Air Force
November 2008 to June 2016

Education:

Masters of Science in Cybersecurity, Maryville University, December 2019

Bachelors of Science in Computer and Information Science, University of Maryland
University College, April 2016



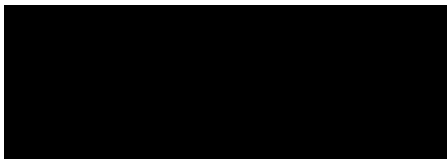
Associate of Applied Science in Information Systems Technology, April 2012

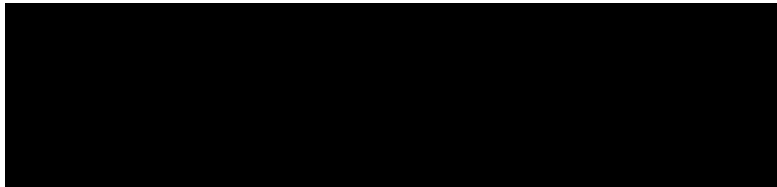
Industry Certifications:

Information Technology Infrastructure Library(ITIL) Foundations, Axelos, December 2014

CompTIA Advanced Security Practitioner (CASP+), June 2021 to June 2024

Certified ScrumMaster (CSM), February 2021 to February 2024





Core Qualification(s):

- Oversight of a large remote operations team in different states within the United States
- Previous multi-departmental senior leadership in clinical operations
- Experience negotiating contracts with vendors and other entities
- Extensive experience leading teams and leaders to comply with Federal and State regulatory bodies
- Extensive experience leading health care teams and Executive leaders in safety, risk, quality improvement and process improvement initiatives across the continuum of patient care

Professional Experience:

GT Independence, Sturgis, MI

November 2020 - Current

Director of Operations

- Managerial oversight of all operational units that provide financial management services to individuals receiving services through self-direction
- Responsible for the daily management of referrals and enrollments of individuals in financial management services
- Responsible for the adherence to contracts and operational policies and procedures within Michigan, Maine, New Hampshire and Delaware

GT Independence, Sturgis, MI

June 2020 - Current

Director of State Services

- Serves as the primary Liaison/Point of Entry on contractual requirements for agencies that fund self-directed programs
- Responsible for the daily management of field services and contracts within Michigan, including monitoring and analyzing operational functions

Spectrum Health System: System Quality Improvement, Grand Rapids, MI

August 2016 – May 2020

Senior Improvement Specialist

- Serves the organization as a proactive consultant, educator, and advisor in the use of system design and quality improvement process, tools, and philosophy
- Assists in the successful development and operation of all improvement processes and procedures and partners with process owners to architect quality systems to meet future business needs
- Uses project planning and management methods to implement changes directed at improvement, measures the extent of improvement achieved, converts data into useable

information, facilitates group and teamwork and assures that improvement activities are documented and reported

- Facilitates meeting regulatory standards, including value-based payment programs and promotes collaboration with internal and external customers
- Promotes patient and employee safety behaviors among clinicians

Steward Health Care System: Carney Hospital, Boston, MA

December 2015 - May 2016

Practice Administrator

- Management of a complex hospital-based clinic that includes Occupational Medicine, the Tufts School of Medicine Family Medicine residency program, the integration of Internal Medicine and other medical sub-specialties, including Cardiology and the initiation and development of a Breast Surgery Center
- Management of a mid-sized medical, clinical and support-staff group
- Review of clinical practice programs and initiation of new methods and processes modification to provide better care and greater efficiency in operations
- Oversight of Billing/Budget, Revenue Cycle Management
- Management of overall patient experience, customer service and advocacy
- Oversight of Quality Improvement and value-based programs via Blue Cross Blue Shield of Massachusetts

DotHouse Health, Boston, MA

October 2013 - December 2015

Practice Administrator/HIPAA Privacy Officer

- Senior leadership of a large FQHC/PCMH/Affordable Care Organization (ACO) consisting of eleven departments, including Internal Medicine, Pediatrics, Women's Health, Family Medicine and community-based services
- Develop and implement plans, policies and programs that support efficient operations of systems and the implementation of the quality program entitled Patient-Centered Medical Home
- Review, monitor and provide analysis and reports on the practice's operating results including revenue, visits and productivity, expenses and other available data
- Responsible for the communication, implementation and maintenance of all quality, compliance, accreditation and regulatory issues pertaining to the operations
- Implement and monitor Emergency Management Plan and Continuity of Operations Plan with Boston EMS and Boston Medical Center
- Coordinate initiatives and special projects as assigned by the Chief Executive Officer
- Lead quality and process improvement efforts

BAYADA Home Health Care, Newton & South Easton, MA

July 2012 - May 2013

Client Services Associate (Newton)/Client Services Manager (South Easton)

- Develop and maintain relationships with external referral sources with a goal to grow the business and service more people
- Maintain effective fiscal management of a caseload using growth metrics
- Provide supervision and support to field staff

- Human Resources activities: recruiting, hiring, on-boarding and managing field staff, maintaining employee files, providing training and skills in compliance with CHAP (Community Health Accreditation Partner) regulations
- Field staff supervision in people's homes
- Perform Annual Performance Evaluations
- Working knowledge of regulatory requirements

Education:

Babson College, F.W. Olin Graduate School of Business, Babson Park, MA
Master of Business Administration

The City University of New York, Hunter-Bellevue School of Nursing, New York, NY
Bachelor of Science in Nursing

Certificate(s)/Certification(s):

- American Association of Colleges of Nursing End-of-Life Nursing Education Consortium (ELNEC)
- Institute for Healthcare Improvement (IHI) Basic Certificate in Quality & Safety
- Certified Professional Health Care Quality
- Certified Healthcare Financial Professional (Pending Exam 2020)

Association(s):

- American College of Health Care Executives
- Institute for Healthcare Improvement
- National Association for Healthcare Quality

Volunteer:

- American College of Health Care Executives – Great Lakes Chapter:
 - Program Committee

CAREER SUMMARY

Confident, highly motivated leader with more than 20 years of leadership experience; offering impeccable communication skills, a professional demeanor, and commitment to organizational excellence. Ability to motivate staff, while maintaining an environment of teamwork and cohesiveness, as well as an unwavering focus on quality.

EXPERIENCE

GT Independence | *Operations Manager* Sturgis, MI

01/2017 – present

- Collaborated with internal departments and IRIS program partners to identify areas for improvement. Implemented processes focused on accountability and efficiency which led the IRIS program to more than double in size, to 3000 participants.
- Successfully transitioned IRIS processing to Sturgis office, reducing packet processing time from 10 days to 2 days.
- Unit metrics meet or exceed the expectation. No quarterly metrics in crisis level throughout my leadership as Operations Manager.
- Led ongoing, productive communication with DHS and IRIS Consulting Agencies (ICA). The creation and sharing of monthly overspend and overtime reports with each ICA and DHS has opened the door for participant budget training and a reduction in overutilization.

Inspired Concepts | *Multi-Unit Supervisor* Mt. Pleasant, MI

10/2014 – 11/2016

- Created weekly newsletter publication, “The Watering Hole”, communicating company focus and strategic plans. Continuously challenged the field to increase average check by suggestive selling of specific menu items, resulting in check average increases of \$2.00 or more.
- Identified and coached at least 10 manager candidates internally, utilizing tailored training plans for each. This resulted in 100% of them being promoted throughout the company.
- Led a team of managers to innovate quarterly promotional directives including menu development, product sourcing, price negotiations, POP development, and field training. Consequently, company restaurants and other franchisees adopted many of our recommendations, in the absence of a corporate marketing team or support.

Ponderosa – LaBelle Management | *General Manager* Coldwater, MI

04/1997 – 10/2014

- Recruited, hired, and retained a team of 45+ employees, evaluating their performance on a 90-day rotation. Implementation of this more frequent 1:1 feedback resulted in a sharp decline in employee turnover.
- Quarterly financial planning and goal setting with direct reports, ensuring team was working towards the same goals. Because of this, our team consistently led the region in revenue growth while controlling costs, resulting in role model profit extraction.
- Collaborated with brand leadership to revise internal audit system focusing on food quality, guest service levels and cleanliness standards. Completed field training with peers resulting in an average increase of 3-5% in bi-annual inspection scores.

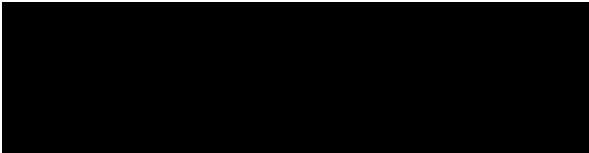
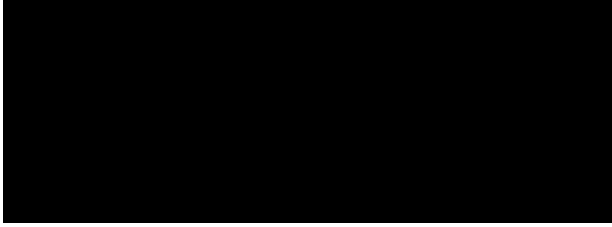
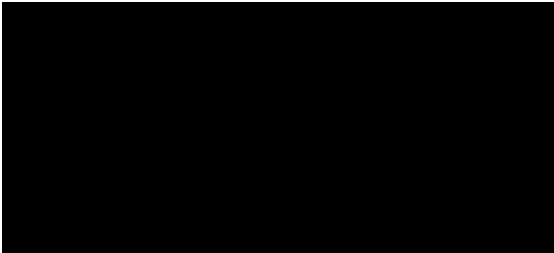
EDUCATION

Kellogg Community College | Battle Creek, MI
Associate in Applied Science
Member of Honors program and Phi Theta Kappa

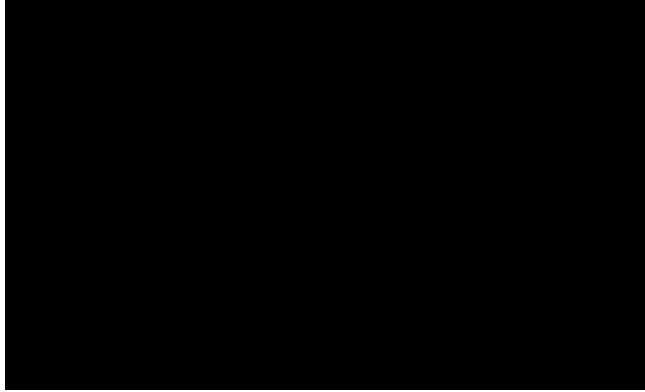
Siena Heights University | Adrian, MI
Bachelor of Business Administration
Summa Cum Laude



GT Independence EOR Training Checklist

Content Discussed/Covered	Documentation/Handouts given
<p><u>Program Overview</u></p> 	<p><u>Handouts</u></p>  <p><u>Module 1 Handouts</u></p>
<p><u>Training Module 1</u></p> 	
<p><u>Training Module 2</u></p> 	<p><u>Module 2 Handouts</u></p> 
<p><u>Training Module 3</u></p> 	<p><u>Module 3 Handouts</u></p> 

GT Independence EOR Training Checklist



Module 4 Handouts



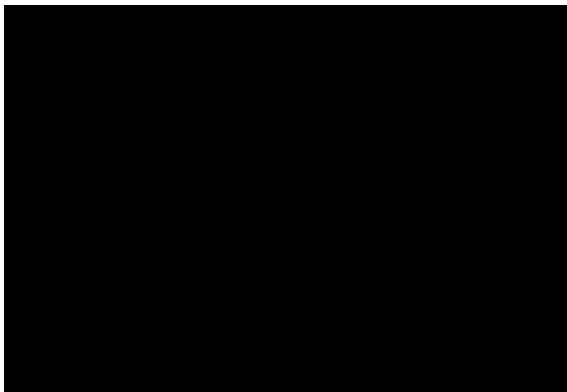
Training Module 5



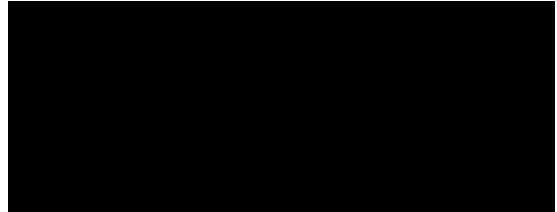
Module 5 Handouts



Training Module 6



Module 6 Handouts



GT Independence EOR Training Checklist

Training Module 7



ing

Module 7 Handouts



Training Module 8



Module 8 Handout



- I, _____ have completed the full training and have received copies of all the items checked in the second column.

Signature of EOR

Signature of Community Guide

Direct Service Worker Training Attestation Form

I, _____ (Direct Service Worker), have received training on these items.

Initial next to each item below:

- _____ First Aid/CPR
- _____ Universal Precautions/Bloodborne Pathogens
- _____ HIPAA and Confidentiality
- _____ Overview of PDO Program and Self-Direction
- _____ Caring for Elderly & Disabled
- _____ Fraud, Waste, Abuse, & Neglect
- _____ Critical Incident Reporting
- _____ Documenting and Submitting Time Worked
- _____ Payroll Schedule
- _____ Employment Agreement
- _____ Job Description

I understand the information that was reviewed with me.

Direct Service Worker

Date

GT Independence Representative

Date



GT Independence
Fiscal Intermediary Agreement

The purpose of this agreement is to define the roles and duties of all parties. This includes the Fiscal Intermediary referred to as GT Independence. This also includes the Person Served, or the Business Owner if different than the Person Served, referred to as the Person Served/Employer of Record.

This agreement is subject to, and governed by, the laws of the State in which the Person Served resides. This agreement shall remain in effect until such time it is ended. Any of the above-named parties may end this agreement with thirty (30) days prior written notification.

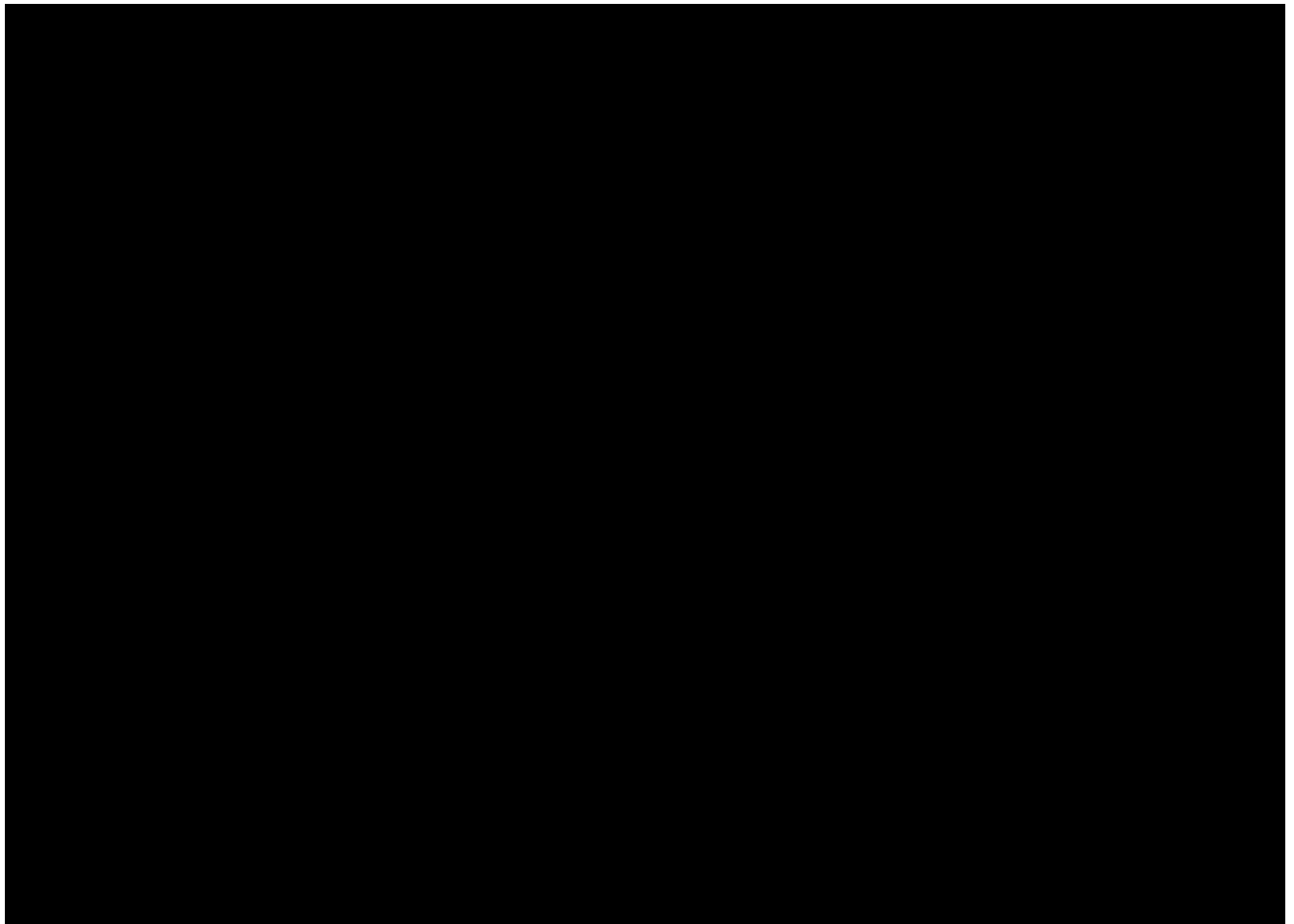
This agreement is entered into by and between the Fiscal Intermediary, GT Independence, and the Person Served/Employer of Record: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Email: _____

Section I – Person Served/Employer of Record:





GT Independence
Fiscal Intermediary Agreement

11.

12.

13.

14.

15.

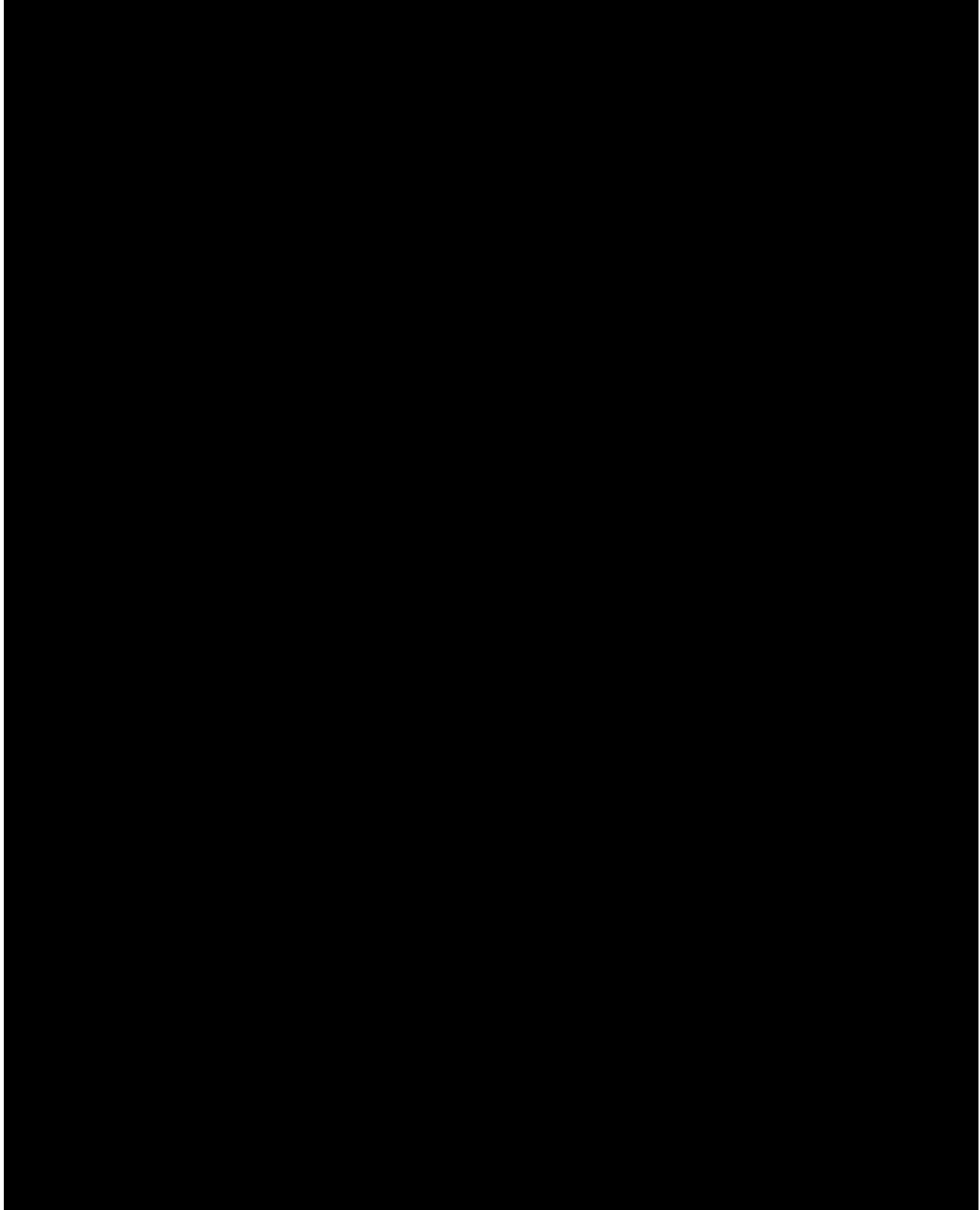
16.

17.

18.

19.

20.

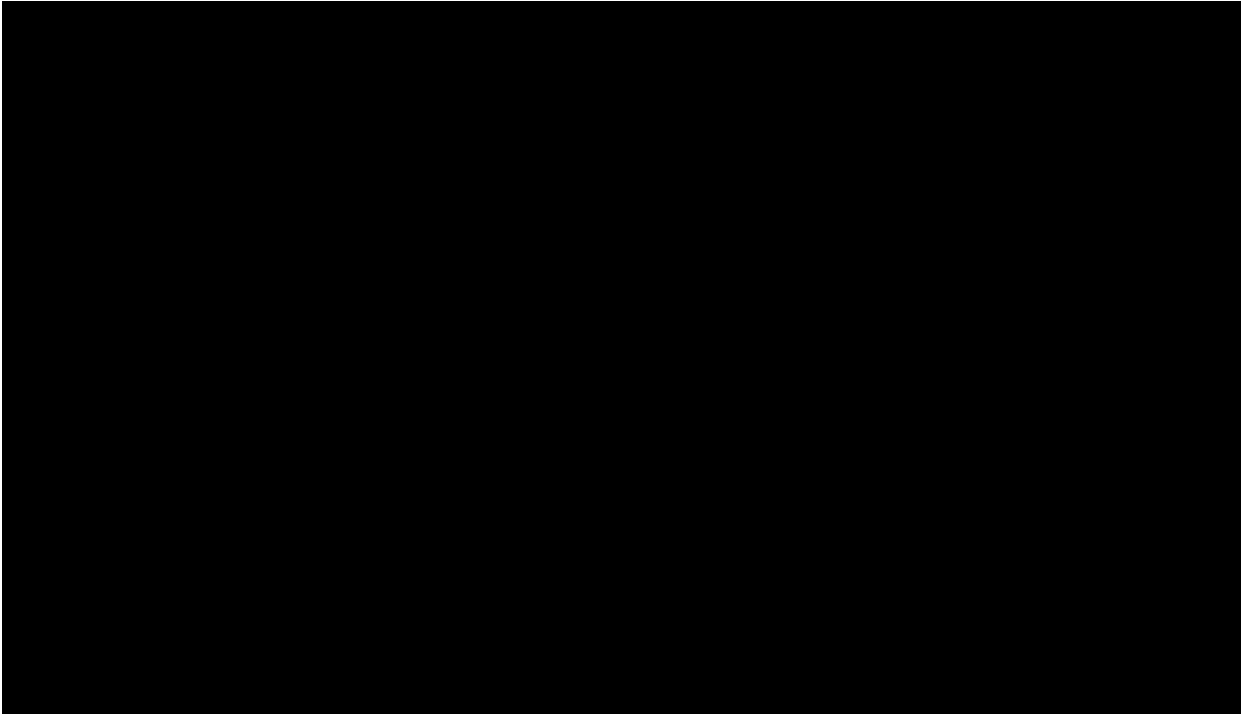




GT Independence
Fiscal Intermediary Agreement

Section III - General Terms:

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.



I have read, understand, and hereby agree to the terms of this agreement effective as of the date of signing.

Person Served/Employer of Record Printed Name

Date

Person Served/Employer of Record Signature

Date

Fiscal Intermediary/GT Independence

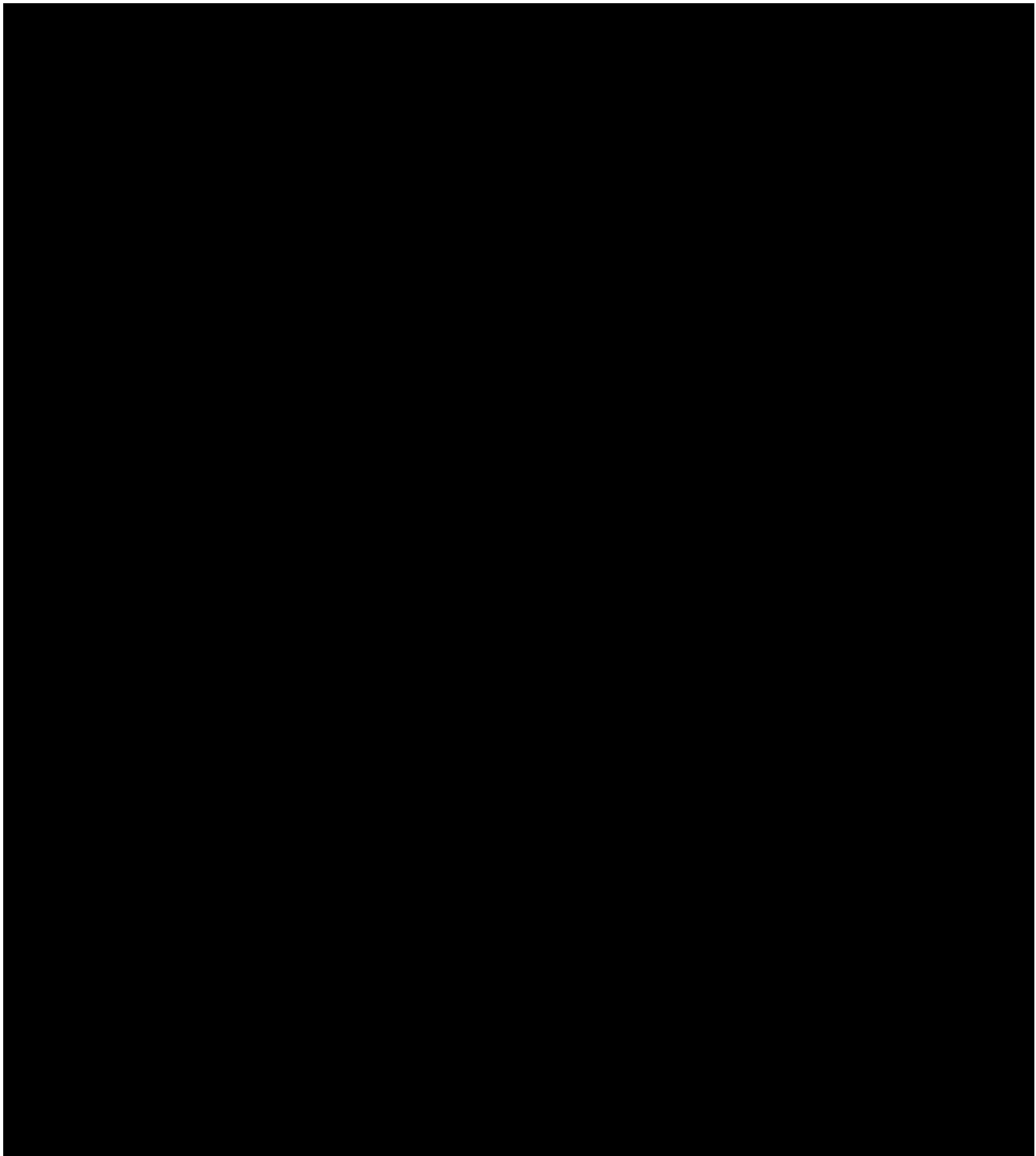
Date



GT Independence
Fiscal Intermediary Agreement

Section II – GT Independence:

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.





GT Independence
Person Served Information Form

Person Served Information

Name: _____

Phone Number: _____ Email: _____

Physical Address: _____

City: _____ State: _____ ZIP Code: _____

Mailing Address (if different): _____

City: _____ State: _____ ZIP Code: _____

County: _____ Region: _____

Gender: _____ Date of Birth: _____ SSN: _____

Agency ID #: _____ Medicaid ID #: _____

Employer of Record

Name: _____ SSN: _____

Address: _____

City: _____ State: _____ ZIP Code: _____

Phone Number: _____ Email: _____

Authorized Representative

Name: _____

Address: _____

City: _____ State: _____ ZIP Code: _____

Phone Number: _____ Email: _____

GT Independence Staff Only

Agency Name: _____ Waiver Type: _____

Care Manager Name: _____

Phone Number: _____ Email: _____

Expected Authorization Start Date: _____ GT Participant ID: _____

Service Code: _____ Total Units: _____

Service Code: _____ Total Units: _____

Enrollment Specialist: _____ Enrollment Date: _____



Self-Determination Appointment of Representative Form

The Self Determination Program is an option that helps people to direct their own care. You have the option to choose a representative to help you with certain employer responsibilities. A representative helps with directing the Person Served's services and supports. A representative should help, of their own free will, with these duties.

I choose _____ as my representative in the program.

A representative could be any of the following.

- A guardian
- A family member
- Any other supporter

My representative can help me with my budget, updating information, and payroll matters. My representative will follow my wishes and respect my decisions. My representative will use sound judgement to act on my behalf. I understand I can remove or add a representative at any time by contacting GT Independence.

Representative Name

Date

Address: _____

City: _____ State: _____ Zip Code: _____

Phone: _____

Person Served Signature

Date

I agree to follow the wishes of the Person Served and respect their decisions while acting in sound judgement.

Representative Signature

Date



GT Independence
Email Consent Form

I understand the possible risks of sending health information by e-mail. I understand that my E-mails may be intercepted or misdirected. I understand that there are other ways to send forms either by fax or mail. I understand it is my duty to inform my employees if I do **not** want them to e-mail forms. I understand GT Independence is not responsible for any e-mail sent to them in error. GT Independence will inform the sender of the error and then destroy the information.

I understand that the security of sending information over the Internet cannot be guaranteed. I understand that I must keep my password and username private. I understand I am responsible for any activity done under my account. I understand that my username and password serve as my signature. I will inform GT Independence right away if someone uses my account without my permission.

- I **do** agree to receive and/or submit information by electronic methods.
- I **do not** agree to receive or submit any information by electronic methods.

Person Served/Employer of Record or Legal Representative* Signature

Date

*Legal representative for the purposes of this form refers to a legal guardian, power of attorney, or custodial parent of minor child.



GT Independence Self Determination Employment Agreement

8.

9.

10.

11.

\$ _____ per hour for _____ Services

\$ _____ per hour for _____ Services

\$ _____ per hour for _____ Services

\$ _____ per hour for _____ Services

\$ _____ per hour for _____ Services

12.

13.

14.

15.

16.

Employer Duties

1. I will give the required forms to ensure my employee is paid.

2. I will pay my employee:

\$ _____ per hour for _____ Services

\$ _____ per hour for _____ Services

\$ _____ per hour for _____ Services

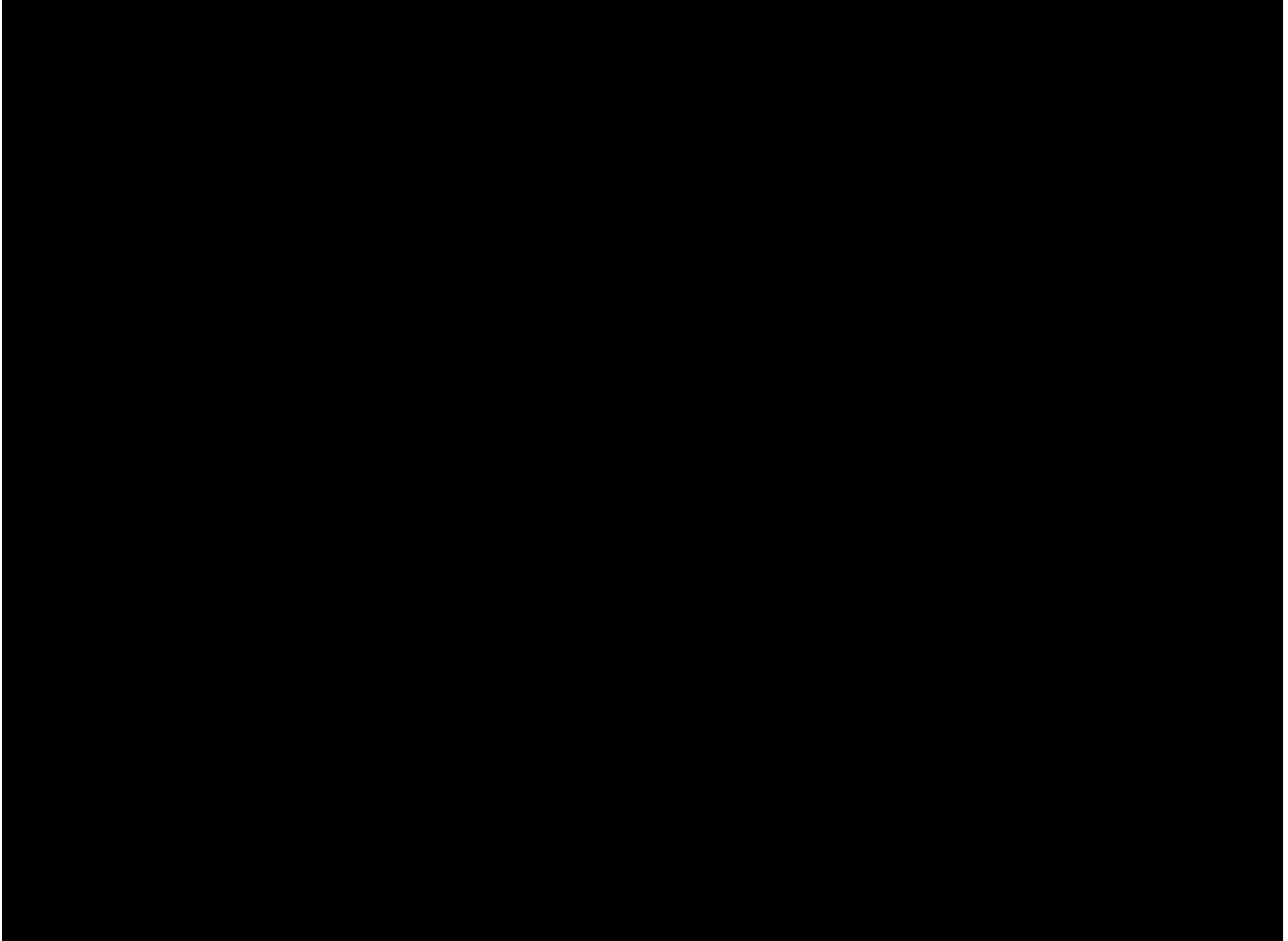
\$ _____ per hour for _____ Services

\$ _____ per hour for _____ Services



GT Independence
Self Determination Employment Agreement

- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.
- 12.
- 13.



Employee Signature

Date

Employer Signature

Date



GT Independence Job Description

Person Served's Name: _____

Employee Name: _____

Position: _____

Reports To: _____

Qualifications:

- Will complete all required training,
- meets legal age requirements for employment according to labor rules and regulations, and
- is in good standing with the law.

Essential Job Functions:

- Assistance with personal care as needed
- Assistance with household tasks
- Assisting with access to the community

Daily tasks:

- Meal preparation
- Laundry
- Shopping
- Eating
- Taking a bath
- Getting dressed
- Using the bathroom
- Make the bed, dust, and vacuum
- Monitor health and safety
- Taking the Person Served to places they enjoy

All other duties as requested.

- _____
- _____
- _____

This job description is to be reviewed annually by the employer and employee and updated as needed.

Employee Signature

Date

Person Served/Employer of Record's Signature

Date

Phone: 877-659-4500 • Fax: 888-972-3891 • E-mail: customerservice@gtindependence.com



GT Independence
Employer Backup Worker Agreement

Name of Participant: _____

Medicaid #: _____ SS#: _____

Name of Representative (If Necessary): _____

I understand that I need to have a Backup Worker to help me when my Worker cannot work for me.

- My Backup Worker is a natural support and will help me without being paid;
- I will pay my Backup Worker when they work. I cannot pay my Backup worker until all needed forms are turned in.

Backup Worker Name: _____

Backup Worker Address: _____

Backup Worker Phone #: _____

Signature of Participant/Representative

Date

Direct Service Worker Training Attestation Form

I, _____ (Direct Service Worker), have received training on these items.

Initial next to each item below:

- _____ First Aid/CPR
- _____ Universal Precautions/Bloodborne Pathogens
- _____ HIPAA and Confidentiality
- _____ Overview of PDO Program and Self-Direction
- _____ Caring for Elderly & Disabled
- _____ Fraud, Waste, Abuse, & Neglect
- _____ Critical Incident Reporting
- _____ Documenting and Submitting Time Worked
- _____ Payroll Schedule
- _____ Employment Agreement
- _____ Job Description

I understand the information that was reviewed with me.

Direct Service Worker

Date

GT Independence Representative

Date

Form 2678 Employer/Payer Appointment of Agent

(Rev. August 2014) Department of the Treasury — Internal Revenue Service

OMB No. 1545-0748

Use this form if you want to request approval to have an agent file returns and make deposits or payments of employment or other withholding taxes or if you want to revoke an existing appointment.

For IRS use:

- If you are an employer or payer who wants to request approval, complete Parts 1 and 2 and sign Part 2. Then give it to the agent. Have the agent complete Part 3 and sign it.

Note. This appointment is not effective until we approve your request. See the instructions for filing Form 2678 on page 3.

- If you are an employer, payer, or agent who wants to revoke an existing appointment, complete all three parts. In this case, only one signature is required.

Part 1: Why you are filing this form...

(Check one)

- You want to **appoint** an agent for tax reporting, depositing, and paying.
- You want to **revoke** an existing appointment.

Part 2: Employer or Payer Information: Complete this part if you want to appoint an agent or revoke an appointment.

1 Employer identification number (EIN)

--	--	--	--	--	--	--	--	--	--	--

2 Employer's or payer's name
(not your trade name)

3 Trade name (if any)

4 Address

Number Street Suite or room number

--	--	--

City State ZIP code

--	--	--

Foreign country name Foreign province/county Foreign postal code

5 Forms for which you want to appoint an agent or revoke the agent's appointment to file. (Check all that apply.)

	For ALL employees/ payees/payments	For SOME employees/ payees/payments
--	---------------------------------------	--

- Form 940, 940-PR (Employer's Annual Federal Unemployment (FUTA) Tax Return)*
- Form 941, 941-PR, 941-SS (Employer's QUARTERLY Federal Tax Return)
- Form 943, 943-PR (Employer's Annual Federal Tax Return for Agricultural Employees)
- Form 944, 944(SP) (Employer's ANNUAL Federal Tax Return)
- Form 945 (Annual Return of Withheld Federal Income Tax)
- Form CT-1 (Employer's Annual Railroad Retirement Tax Return)
- Form CT-2 (Employee Representative's Quarterly Railroad Tax Return)

*Generally you cannot appoint an agent to report, deposit, and pay tax reported on Form 940, Employer's Annual Federal Unemployment (FUTA) Tax Return, unless you are a home care service recipient.

- Check here if you are a home care service recipient, and you want to appoint the agent to report, deposit, and pay FUTA tax for you. See the instructions.

I am authorizing the IRS to disclose otherwise confidential tax information to the agent relating to the authority granted under this appointment, including disclosures required to process Form 2678. The agent may contract with a third party, such as a reporting agent or certified public accountant, to prepare or file the returns covered by this appointment, or to make any required deposits and payments. Such contract may authorize the IRS to disclose confidential tax information of the employer/payer and agent to such third party. If a third party fails to file the returns or make the deposits and payments, the agent and employer/payer remain liable.

X Sign your name here

Print your name here

Print your title here

Date

Best daytime phone

Now give this form to the agent to complete. ➡

Part 3: Agent Information: If you will be an agent for an employer or payer, or want to revoke an appointment, complete this part.

6 Agent's employer identification number (EIN)

		-							
--	--	---	--	--	--	--	--	--	--

7 Agent's name (not trade name)

8 Trade name (if any)

9 Address

Number Street Suite or room number

--	--	--

City State ZIP code

--	--	--

Foreign country name Foreign province/county Foreign postal code

Check here if the employer is a home care service recipient receiving home care services through a program administered by a federal, state, or local government agency.

Under penalties of perjury, I declare that I have examined this form and any attachments, and to the best of my knowledge and belief, it is true, correct, and complete.

X Sign your name here

Print your name here

Print your title here

Date

Best daytime phone

Form **8821**
 (Rev. January 2021)
 Department of the Treasury
 Internal Revenue Service

Tax Information Authorization

- ▶ Go to www.irs.gov/Form8821 for instructions and the latest information.
- ▶ Don't sign this form unless all applicable lines have been completed.
- ▶ Don't use Form 8821 to request copies of your tax returns or to authorize someone to represent you. See instructions.

OMB No. 1545-1165
For IRS Use Only
 Received by: _____
 Name _____
 Telephone _____
 Function _____
 Date _____

1 Taxpayer information. Taxpayer must sign and date this form on line 6.

Taxpayer name and address	Taxpayer identification number(s)
	Daytime telephone number
	Plan number (if applicable)

2 Designee(s). If you wish to name more than two designees, attach a list to this form. **Check here if a list of additional designees is attached** ▶

Name and address	CAF No. _____
	PTIN _____
	Telephone No. _____
	Fax No. _____
Check if to be sent copies of notices and communications <input type="checkbox"/>	Check if new: Address <input type="checkbox"/> Telephone No. <input type="checkbox"/> Fax No. <input type="checkbox"/>

Name and address	CAF No. _____
	PTIN _____
	Telephone No. _____
	Fax No. _____
Check if to be sent copies of notices and communications <input type="checkbox"/>	Check if new: Address <input type="checkbox"/> Telephone No. <input type="checkbox"/> Fax No. <input type="checkbox"/>

3 Tax information. Each designee is authorized to inspect and/or receive confidential tax information for the type of tax, forms, periods, and specific matters you list below. See the line 3 instructions.

By checking here, I authorize access to my IRS records via an Intermediate Service Provider.

(a) Type of Tax Information (Income, Employment, Payroll, Excise, Estate, Gift, Civil Penalty, Sec. 4980H Payments, etc.)	(b) Tax Form Number (1040, 941, 720, etc.)	(c) Year(s) or Period(s)	(d) Specific Tax Matters

4 Specific use not recorded on the Centralized Authorization File (CAF). If the tax information authorization is for a specific use not recorded on CAF, check this box. See the instructions. If you check this box, skip line 5 ▶

5 Retention/revocation of prior tax information authorizations. If the line 4 box is checked, skip this line. If the line 4 box isn't checked, the IRS will automatically revoke all prior tax information authorizations on file unless you check the line 5 box and **attach a copy** of the tax information authorization(s) that you want to retain ▶
 To revoke a prior tax information authorization(s) without submitting a new authorization, see the line 5 instructions.

6 Taxpayer signature. If signed by a corporate officer, partner, guardian, partnership representative (or designated individual, if applicable), executor, receiver, administrator, trustee, or individual other than the taxpayer, I certify that I have the legal authority to execute this form with respect to the tax matters and tax periods shown on line 3 above.

▶ IF NOT COMPLETED, SIGNED, AND DATED, THIS TAX INFORMATION AUTHORIZATION WILL BE RETURNED.

▶ DON'T SIGN THIS FORM IF IT IS BLANK OR INCOMPLETE.

Signature	Date
Print Name	Title (if applicable)

AR-1R

Clear Form

Print Form

ARKANSAS DEPARTMENT OF FINANCE AND ADMINISTRATION Combined Business Tax Registration Form

PO Box 8123 Little Rock, AR 72203-8123

Read instructions carefully before completing this form. For assistance call (501) 682-1895. Register a new business online using ATAP at www.atap.arkansas.gov

REASON FOR SUBMITTING THIS FORM

Check One: New Business - Never Registered Add Additional Location Add Additional Tax Type Ownership Change ATAP Third Party Access

SECTION A - TAX TYPES

Type of Registration: (Check all that apply)

- | | | | | |
|---|--|---|--|--|
| <input type="checkbox"/> Sales and Use | <input type="checkbox"/> Dyed Diesel | <input type="checkbox"/> Liquor | <input type="checkbox"/> Catfish Feed | <input type="checkbox"/> Construction |
| <input type="checkbox"/> Withholding Wage | <input type="checkbox"/> Brine Severance | <input type="checkbox"/> Wine | <input type="checkbox"/> Corn/Grain Sorghum | <input type="checkbox"/> Telecommunications |
| <input type="checkbox"/> Withholding Pass Through | <input type="checkbox"/> Natural Gas Severance | <input type="checkbox"/> Cigarette | <input type="checkbox"/> Rice | <input type="checkbox"/> Merchandise Vending |
| <input type="checkbox"/> Withholding Pension | <input type="checkbox"/> Oil Severance | <input type="checkbox"/> Cigarette Papers | <input type="checkbox"/> Soybean | <input type="checkbox"/> Amusement |
| <input type="checkbox"/> Corporation Income | <input type="checkbox"/> Timber Severance | <input type="checkbox"/> Other Tobacco Products | <input type="checkbox"/> Wheat | <input type="checkbox"/> Bingo/Raffle |
| <input type="checkbox"/> Partnership Income | <input type="checkbox"/> Other Severance | <input type="checkbox"/> Soft Drink | <input type="checkbox"/> Bovine/Pseudorabies | <input type="checkbox"/> Beauty Pageant |
| <input type="checkbox"/> Motor Fuel | <input type="checkbox"/> Beer | <input type="checkbox"/> Beef | <input type="checkbox"/> Waste Tire | |

SECTION B - OWNER INFORMATION

Ownership Type: (Check only one)

- Corporation Partnership LLC Government Fiduciary / Trust Non-Profit

Federal Identification Number (FEIN): (Required) -

OR

- Sole Proprietor

Social Security Number: (Required) - -

Owner's Name: (Enter full legal name of Business. If you selected Sole Proprietor owner type, enter first name, middle name, and last name.)

DBA: (Enter full Doing Business As Name, if applicable.)

Primary Business Activity: (Enter the NAICS code that best matches your business (see instructions) and describe your business activity.)

a) NAICS

b) Brief Description

Physical Location Address

a) Street (Not PO Box)

b) Unit

c) Phone Number: (Include Area Code)

d) City

e) County

f) State

g) Zip Code

Mailing Address

a) In Care Of

b) Street Address or PO Box

c) City

d) State

e) Zip Code

SECTION C - RESPONSIBLE PARTY

- Complete this line for each responsible party who is an owner, partner, member, corporation officer or trustee.
- Attach additional pages if needed.
- In the case of limited partnerships, complete this section for each general partner.
- See instructions for additional information.

8.	a) Name of Responsible Party			b) SSN or FEIN	
	c) Title	d) Effective Date	e) Phone Number (Include Area Code)		f) E-Mail Address
	g) Street Address or PO Box		h) City, State, Zip Code		
9.	a) Name of Responsible Party			b) SSN or FEIN	
	c) Title	d) Effective Date	e) Phone Number (Include Area Code)		f) E-Mail Address
	g) Street Address or PO Box		h) City, State, Zip Code		
10.	a) Name of Responsible Party			b) SSN or FEIN	
	c) Title	d) Effective Date	e) Phone Number (Include Area Code)		f) E-Mail Address
	g) Street Address or PO Box		h) City, State, Zip Code		
11.	a) Name of Responsible Party			b) SSN or FEIN	
	c) Title	d) Effective Date	e) Phone Number (Include Area Code)		f) E-Mail Address
	g) Street Address or PO Box		h) City, State, Zip Code		
12.	Contact Information				
	a) Name		b) Title	c) Contact Phone Number: (including area code)	
	d) E-Mail Address		e) Fax Number		

SECTION D - SIGNATURE

13.	Important - Read Before Signing. This registration form must be signed by a responsible party who is authorized to sign on behalf of the organization. The Proprietor must sign for sole proprietorship. I declare under the penalties of perjury that the information provided (including any accompanying statements) has been examined by me, and to the best of my knowledge and belief, is true, correct, and complete.				
	a) Signature			b) Date	
	c) Printed Name		d) Title		

SECTION E - SALES AND USE

14.	a) Date Activity Begins in AR	b) DBA (if applicable)			
	c) NAICS	d) Description of Business Activity			
15.	a) Physical Location Address (if different from Section B)	b) City	c) County	d) State	e) Zip Code
	f) Mailing Address (if different from Section B)	g) City	h) State	i) Zip Code	
16.	a) Are you renting/leasing the property? <input type="checkbox"/> Yes <input type="checkbox"/> No	b) If yes, provide a copy of the Lease Agreement. (Required)			
17.	a) Did you purchase the inventory, fixtures, or equipment of an established business? <input type="checkbox"/> Yes <input type="checkbox"/> No				
	b) If Yes, attach a copy of the Bill of Sale and enter name of previous owner:			c) Former Business Account ID:	
18.	a) What is the dollar value of your inventory?	b) Equipment and Fixtures?			
19.	Does this business sell or serve alcoholic beverages? If so, please check each that applies and enter the ABC permit number: _____				
	<input type="checkbox"/> Beer <input type="checkbox"/> Wine <input type="checkbox"/> Liquor <input type="checkbox"/> Mixed Drink <input type="checkbox"/> Private Club <input type="checkbox"/> Off-Premises Consumption <input type="checkbox"/> On-Premises Consumption				
20.	a) Do you operate more than one business in Arkansas? <input type="checkbox"/> Yes <input type="checkbox"/> No	b) If yes, attach a separate schedule. Include all location's names and addresses.			
21.	a) Do you operate a business at your resident address? <input type="checkbox"/> Yes <input type="checkbox"/> No	b) If yes, attach a copy of your city business license or a statement that a license is not required.			
22.	Do you perform any type of service (including repair) within the State of Arkansas? If yes, describe exactly the service performed.				
23.	Special Additional Taxes: Check all that apply to your type of business. See instructions for detailed information on each tax.				
	<input type="checkbox"/> Short Term Rental Vehicle Tax <input type="checkbox"/> Tourism Tax <input type="checkbox"/> Wholesale Vending Tax <input type="checkbox"/> Sell Aviation Fuel <input type="checkbox"/> Short Term Rental Tax <input type="checkbox"/> Aviation Tax <input type="checkbox"/> Residential Moving Tax				
24.	<p>a) Important Information: A \$50.00 non-refundable application fee is required of all Arkansas vendors on a retail or wholesale basis. Out-of-state vendors that lease property into Arkansas or perform taxable services in Arkansas are required to pay the \$50 non-refundable application fee. (IF you answer yes to 1, 2, or 3 below, the fee is required.)</p> <p>1. Do you have an Arkansas location or have inventory in Arkansas AND make sales on a retail basis? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>2. Do you perform a taxable service in Arkansas? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>3. Do you lease or rent tangible property in Arkansas? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>4. Will the business make purchases of services or tangible personal property (e.g. equipment, furnishings, materials, or supplies) from vendors located outside the state of Arkansas? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b) Arkansas Code Annotated 26-52-207 states that the tax liability of the former owner transfers to the new owner when the business is sold. No permit will be issued to the new owner until all tax liability is paid.</p> <p>c) The former owner of a business must surrender the permit, and report and pay all taxes due by the business through the transfer date. A lien will attach to the stock and fixtures to secure the State of Arkansas for delinquent taxes and is enforceable against the purchaser.</p> <p>d) Arkansas law requires each location collecting Sales or Use Tax to register and pay the \$50.00 non-refundable application fee.</p>				

SECTION F - WITHHOLDING WAGE

25.	a) Date Arkansas Withholding required	b) FEIN:	c) DBA (if applicable)		
26.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code	

SECTION G - WITHHOLDING PASS THROUGH

27.	a) Date Arkansas Withholding required	b) FEIN:	c) DBA (if applicable)		
28.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code	

SECTION H - WITHHOLDING PENSION

29.	a) Date Arkansas Withholding required	b) FEIN:	c) DBA (if applicable)		
30.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code	

SECTION I - CORPORATE INCOME (INCLUDING SUB S ELECTION)

31.	a) Date Activity Begins in AR	b) DBA (if applicable)		
32.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

For Sub S Election please complete and attach form [AR1103](#).

SECTION J - PARTNERSHIP INCOME

33.	a) Date Activity Begins in AR	b) DBA (if applicable)		
34.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION K - MOTOR FUEL

35.	a) Date to start purchasing or importing Fuel into Arkansas:	b) DUNS Number:		
	c) DBA (if applicable)			
36.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code
37.	Please check the Fuel Type you plan to import or purchase for resale or distribution in Arkansas. <input type="checkbox"/> Gasoline <input type="checkbox"/> Distillate Special Fuels <input type="checkbox"/> Liquefied Gas <input type="checkbox"/> Natural Gas			
38.	If importing or exporting Fuel, what means of Transport will you utilize? <input type="checkbox"/> Truck <input type="checkbox"/> Rail <input type="checkbox"/> Barge <input type="checkbox"/> Pipeline			
39.	Do you transport petroleum in any device having a carrying capacity exceeding 9,500 gallons? <input type="checkbox"/> Yes <input type="checkbox"/> No			
40.	a) Have you previously held a Motor Fuel Tax License in Arkansas? <input type="checkbox"/> Yes <input type="checkbox"/> No	b) License Number		
41.	Are you acquiring an existing business that held a Motor Fuel Tax License? <input type="checkbox"/> Yes <input type="checkbox"/> No			
42.	a) Company Name	b) Account Number		
43.	Do you have Bulk Storage Facilities in Arkansas? <input type="checkbox"/> Yes <input type="checkbox"/> No			
44.	Estimate the number of gallons to be reported in the State of Arkansas each month.	a) Gasoline	b) Diesel	
45.	If you are granted a License, do you expect to: <input type="checkbox"/> Import Fuel into Arkansas? <input type="checkbox"/> Have any Transactions in Dyed Petroleum Products? <input type="checkbox"/> Sell Fuel to other Arkansas Licensed Distributors? <input type="checkbox"/> Export Fuel from Arkansas? <input type="checkbox"/> Take Ownership of Fuel at an Arkansas Terminal? <input type="checkbox"/> Sell Fuel to Non-Licensed Reseller or Consumer? <input type="checkbox"/> Blend Gasoline or Diesel Fuel with Alcohol or Ethanol, other Petroleum Products, Agricultural or Waste of such Products?			

SECTION L - DYED DIESEL

46.	a) Date Activity Begins in AR	b) DBA (if applicable)		
47.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION M - BRINE SEVERANCE

48.	a) Date Activity Begins in AR	b) DBA (if applicable)		
49.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
50.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION N - NATURAL GAS SEVERANCE

51.	a) Date Activity Begins in AR	b) DBA (if applicable)		
	c) Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser		d) AR Oil/Gas Commission Operator Number (if applicable):	
52.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION O - OIL SEVERANCE

53.	a) Date Activity Begins in AR	b) DBA (if applicable)		
54.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
55.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION P - TIMBER SEVERANCE

56.	a) Date Activity Begins in AR	b) DBA (if applicable)		
57.	Please check the applicable classification. <input type="checkbox"/> Primary Processor/Producer <input type="checkbox"/> Purchaser			
58.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION Q - OTHER SEVERANCE

59.	a) Date Activity Begins in AR	b) DBA (if applicable)		
60.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
61.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION R - BEER

62.	a) Date Activity Begins in AR	b) DBA (if applicable)		
63.	a) Please check the applicable classification. <input type="checkbox"/> Distributor Only <input type="checkbox"/> Native Brewery/Distributor	b) ABC Permit Number:		
64.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION S - LIQUOR

65.	a) Date Activity Begins in AR	b) DBA (if applicable)		
66.	a) Please check the applicable classification. <input type="checkbox"/> Manufacturer <input type="checkbox"/> Distributor/Wholesaler	b) ABC Permit Number:		
67.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION T - WINE

68.	a) Date Activity Begins in AR	b) DBA (if applicable)		
69.	a) Please check the applicable classification. <input type="checkbox"/> Distributor <input type="checkbox"/> Small Farm Winery	b) ABC Permit Number:		
70.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION U - CIGARETTE

71.	a) Date Activity Begins in AR	b) DBA (if applicable)		
72.	Please check the applicable classification. <input type="checkbox"/> Manufacturer <input type="checkbox"/> Wholesaler			
73.	Shipper Type #1:	Shipping Account Information:		
	Shipper Type #2:	Shipping Account Information:		
74.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION V - CIGARETTE PAPERS

75.	a) Date Activity Begins in AR	b) DBA (if applicable)		
76.	Please check the applicable classification. <input type="checkbox"/> Retailer <input type="checkbox"/> Wholesaler <input type="checkbox"/> Manufacturer			
77.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION W - OTHER TOBACCO PRODUCTS

78.	a) Date Activity Begins in AR	b) DBA (if applicable)		
79.	Please check the applicable classification. <input type="checkbox"/> Retailer <input type="checkbox"/> Wholesaler <input type="checkbox"/> Manufacturer			
80.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION X - SOFT DRINK

81.	a) Date Activity Begins in AR	b) DBA (if applicable)		
82.	Please check the applicable classification. <input type="checkbox"/> Retailer <input type="checkbox"/> Wholesaler <input type="checkbox"/> Manufacturer			
83.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION Y - BEEF

84.	a) Date Activity Begins in AR	b) DBA (if applicable)		
85.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
86.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION Z - CATFISH FEED

87.	a) Date Activity Begins in AR	b) DBA (if applicable)		
88.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
89.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION AA - CORN/GRAIN SORGHUM

90.	a) Date Activity Begins in AR	b) DBA (if applicable)		
91.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
92.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION AB - RICE

93.	a) Date Activity Begins in AR	b) DBA (if applicable)		
94.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
95.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION AC - SOYBEAN

96.	a) Date Activity Begins in AR	b) DBA (if applicable)		
97.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
98.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION AD - WHEAT

99.	a) Date Activity Begins in AR	b) DBA (if applicable)		
100.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
101.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION AE - BOVINE/PSEUDORABIES

102.	a) Date Activity Begins in AR	b) DBA (if applicable)		
103.	Please check the applicable classification. <input type="checkbox"/> Producer <input type="checkbox"/> Purchaser			
104.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code

SECTION AF - WASTE TIRE				
105.	a) Date Activity Begins in AR	b) DBA (if applicable)		
106.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code
SECTION AG - CONSTRUCTION				
107.	a) Date Activity Begins in AR	b) DBA (if applicable)		
108.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code
SECTION AH - TELECOMMUNICATIONS				
109.	a) Date Activity Begins in AR	b) DBA (if applicable)		
110.	PSC Permit Number			
111.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code
SECTION AI - MERCHANDISE VENDING (PLEASE COMPLETE AND ATTACH SUPPLEMENTAL FORM AR-1R-VEN.)				
112.	a) Date Activity Begins in AR	b) DBA (if applicable)		
113.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code
SECTION AJ - AMUSEMENT (PLEASE COMPLETE AND ATTACH SUPPLEMENTAL FORM AR-1R-AMU.)				
114.	a) Date Activity Begins in AR	b) DBA (if applicable)		
115.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code
SECTION AK - BINGO/RAFFLE (PLEASE COMPLETE AND ATTACH SUPPLEMENTAL FORM AR-1R-BRDM or AR-1R-BRLAO.)				
116.	a) Date Activity Begins in AR	b) DBA (if applicable)		
117.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code
SECTION AL - BEAUTY PAGEANT (PLEASE COMPLETE AND ATTACH SUPPLEMENTAL FORM AR-1R-BPG.)				
118.	a) Date Activity Begins in AR	b) DBA (if applicable)		
119.	a) Mailing Address (if different from Section B)	b) City	c) State	d) Zip Code



P.O. Box 8007
Little Rock, AR 72203-8007
Telephone (501) 682-3798

STATUS REPORT

Report To Determine Liability Under The Department of Workforce Services Law

IDENTIFICATION SECTION

1. ACCOUNT NUMBER ASSIGNED BY DWS (IF ANY)		2. FEDERAL EMPLOYER I.D. NUMBER	
3. TYPE OF OWNERSHIP (CHECK ONE)			
3. <input type="checkbox"/> Individual (Sole Proprietor)		4. <input type="checkbox"/> Professional Association	
8. <input type="checkbox"/> Political Subdivision		9. <input type="checkbox"/> Trust	
1. <input type="checkbox"/> Corporation		1a. <input type="checkbox"/> LLC	
5. <input type="checkbox"/> Limited Partnership		6. <input type="checkbox"/> Estate	
7. <input type="checkbox"/> Partnership		10. <input type="checkbox"/> Leasing (PEO)	
7. <input type="checkbox"/> State Agency			

IF THE TYPE OF BUSINESS IS A CORPORATION/LLC ENTER THE CORPORATE NAME IN ITEM 4 BELOW.

4. NAME		5. MAILING ADDRESS	
CITY	STATE	ZIP CODE	PHONE NUMBER ()

6. ENTER THE NAME (OR FIRM NAME) AND BUSINESS ADDRESS WHERE PAYROLL RECORDS ARE KEPT (IF DIFFERENT FROM ITEM #5).

NAME		MAILING ADDRESS	
CITY	STATE	ZIP CODE	PHONE NUMBER ()

If the type of ownership is an individual or partnership, enter the name(s) and social security number(s) as applicable below, or if the type of ownership is a corporation/LLC, complete the information for two officers. Do not list Board Members or Directors.

7. Owners Or Corporate Officers <small>Attach Additional Sheet If Necessary</small>	NAME	SOCIAL SECURITY NUMBER	TITLE	RESIDENCE ADDRESS, CITY, STATE, ZIP	
8. Business PHYSICAL LOCATION In Arkansas REQUIRED <small>Attach Additional Sheet If Necessary</small>	TRADE NAME	STREET ADDRESS, CITY, ZIP, COUNTY		TELEPHONE NO.	No. of Employees

9. IF YOUR BUSINESS IS A CORPORATION/LLC, ENTER: ▶▶	ORIGINAL CORPORATE NAME, IF DIFFERENT THAN ABOVE					
10. IF THE BUSINESS IN ARKANSAS WAS ACQUIRED FROM ANOTHER LEGAL ENTITY ENTER: ▶▶	PREVIOUS OWNER'S ACCOUNT NUMBER (IF KNOWN)		DATE OF ACQUISITION: ▶▶	MONTH	DAY	YEAR
	NAME OF PREVIOUS OWNER		ADDRESS	CITY		STATE
	WHAT PORTION OF THIS ACCOUNT WAS ACQUIRED? (CHECK ONE) <input type="checkbox"/> ALL. <input type="checkbox"/> PART(SPECIFY PERCENTAGE) _____					

EMPLOYMENT SECTION

11. ENTER THE DATE YOU BECAME LIABLE FOR STATE UNEMPLOYMENT (HAD ONE OR MORE EMPLOYEES IN SOME PART OF TEN DAYS) (ACA 11-10-209)(1). SEE INSTRUCTIONS ▶▶			MONTH	DAY	YEAR
11a. ENTER THE DATE YOU FIRST PAID WAGES IN ARKANSAS ▶▶					
12. IF YOUR ACCOUNT HAS BEEN INACTIVE:	ENTER THE DATE YOUR ORGANIZATION RESUMED EMPLOYING SOMEONE IN ARKANSAS. ▶▶				
13. IF YOU ARE EXEMPT FROM FEDERAL INCOME TAXES UNDER INTERNAL REVENUE CODE OF 1954 SECTION 501 (C)(3), ATTACH A COPY OF YOUR EXEMPTION LETTER. INDICATE YOUR PREFERENCE: <input type="checkbox"/> REIMBURSE <input type="checkbox"/> CONTRIBUTORY					

DOMESTIC - HOUSEHOLD EMPLOYMENT SECTION

Complete 14 only if you have domestic or household employees(Includes maids, cooks, chauffeurs, sitters, etc.)

14. ENTER THE ENDING DATE OF THE FIRST CALENDAR QUARTER IN WHICH YOU PAID GROSS WAGES OF \$1,000 OR MORE TO EMPLOYEES PERFORMING DOMESTIC SERVICE: ▶▶			MONTH	DAY	YEAR
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REPORTING SECTION

DWS ENCOURAGES **ALL EMPLOYERS** TO REGISTER AND FILE ONLINE AT: www.ar-tax.org

AGRICULTURE EMPLOYMENT SECTION

15. ARE YOU AN AGRICULTURAL EMPLOYER? (FARM OR RANCH)..... YES NO

16. ENTER THE ENDING DATE OF THE TWENTIETH WEEK IN WHICH YOU HAD AT LEAST TEN EMPLOYEES IN ARKANSAS PERFORMING AGRICULTURAL LABOR: ▶▶

	MONTH	DAY	YEAR
--	-------	-----	------

17. ENTER THE ENDING DATE OF THE FIRST CALENDAR QUARTER IN WHICH TOTAL WAGES OF \$20,000.00 OR MORE WERE PAID FOR AGRICULTURAL LABOR: ▶▶

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VOLUNTARY ELECTION SECTION

18. IF YOU ARE NOT LIABLE UNDER A COMPULSORY PROVISION OF THE DEPARTMENT OF WORKFORCE SERVICES LAW, AND WISH TO VOLUNTARILY ELECT COVERAGE FOR YOUR EMPLOYEES; CHECK HERE , AND ENTER THE YEAR YOU WISH LIABILITY TO BEGIN: _____

AT THE END OF TWO (2) YEARS FROM THIS DATE, OR AT THE END OF ANY SUBSEQUENT CALENDAR YEAR, YOU MAY WITHDRAW THIS ELECTION BY FILING A WRITTEN REQUEST.

YOU WILL BE NOTIFIED OF THIS DETERMINATION IN WRITING.

NATURE OF BUSINESS SECTION

19. DESCRIBE FULLY THE NATURE OF YOUR BUSINESS IN ARKANSAS AND LIST THE PRINCIPAL PRODUCTS IN ORDER OF IMPORTANCE: ▶▶

<p>CODE SHORT TITLE</p> <p>11 Agricultural, Forestry, and Hunting</p> <p>111 - Crops Production</p> <p>112 - Animal Production</p> <p>113 - Forestry and Logging</p> <p>114 - Fish, Hunting, and Trapping</p> <p>115 - Support Services for Agriculture and Forestry</p> <p>21 Mining</p> <p>211 - Oil and Gas Extraction</p> <p>212 - Mining (except Oil and Gas)</p> <p>22 Utilities</p> <p>221 - Utilities</p> <p>23 Construction</p> <p>236 - Construction of Buildings</p> <p>237 - Heavy and Civil Engineering Construction</p> <p>238 - Specialty Trade Contractors</p> <p>31-33 Manufacturing</p> <p>311 - Food Manufacturing</p> <p>312 - Beverage and Tobacco Product Manufacturing</p> <p>313 - Textile Mills</p> <p>314 - Textile Product Mills</p> <p>315 - Apparel Manufacturing</p> <p>316 - Leather and Allied Product Manufacturing</p> <p>321 - Wood Product Manufacturing</p> <p>322 - Paper Manufacturing</p> <p>323 - Printing and Related Support Activities</p> <p>324 - Petroleum and Coal Products Manufacturing</p> <p>325 - Chemical Manufacturing</p> <p>326 - Plastics and Rubber Products Manufacturing</p> <p>327 - Nonmetallic Mineral Product Manufacturing</p> <p>331 - Primary Metal Manufacturing</p> <p>332 - Fabricated Metal Product Manufacturing</p> <p>333 - Machinery Manufacturing</p> <p>334 - Computer and Electronic Product Manufacturing</p> <p>335 - Electrical Equipment, Appliance, and Component Manufacturing</p> <p>336 - Transportation Equipment Manufacturing</p> <p>337 - Furniture and Related Product Manufacturing</p> <p>339 - Miscellaneous Manufacturing</p> <p>42 Wholesale Trade</p> <p>423 - Merchant Wholesalers, Durable Goods</p> <p>424 - Merchant Wholesalers, Nondurable Goods</p> <p>425 - Wholesale Electronic Markets and Agents and Broker</p> <p>44-45 Retail Trade</p>	<p>CODE SHORT TITLE</p> <p>441 - Motor Vehicle and Parts Dealers</p> <p>442 - Furniture and Home Furnishings Stores</p> <p>443 - Electronic and Appliance Stores</p> <p>444 - Building Material and Garden Equipment and Supplies Dealers</p> <p>445 - Food and Beverage Stores</p> <p>446 - Health and Personal Care Stores</p> <p>447 - Gasoline Stations</p> <p>448 - Clothing and Clothing Accessories Stores</p> <p>451 - Sporting Goods, Hobby, Book, and Music Stores</p> <p>452 - General Merchandise Stores</p> <p>453 - Miscellaneous Store Retailers</p> <p>454 - Nonstore Retailers</p> <p>48-49 Transportation and Warehousing</p> <p>481 - Air Transportation</p> <p>482 - Rail Transportation</p> <p>483 - Water Transportation</p> <p>484 - Truck Transportation</p> <p>485 - Transit and Ground Passenger Transportation</p> <p>486 - Pipeline Transportation</p> <p>487 - Scenic and Sightseeing Transportation</p> <p>488 - Support Activities for Transportation</p> <p>491 - Postal Service</p> <p>492 - Couriers and Messengers</p> <p>493 - Warehousing and Storage</p> <p>51 Information</p> <p>511 - Publishing Industries (except internet)</p> <p>512 - Motion Picture and Sound Recording Industries</p> <p>515 - Broadcasting (except internet)</p> <p>516 - Internet Publishing and Broadcasting</p> <p>517 - Telecommunications</p> <p>518 - Internet Service Providers, Web Search Portals, and Data Processing Services</p> <p>519 - Other Information Services</p> <p>52 Finance and Insurance</p> <p>521 - Monetary Authorities - Central Bank</p> <p>522 - Credit Intermediation and Related Activities</p> <p>523 - Securities, Commodity Contracts, and Other Financial Investments and Related Activities</p> <p>524 - Insurance Carriers and Related Activities</p> <p>525 - Funds, Trusts, and Other Financial Vehicles</p> <p>53 Real Estate and Rental and Leasing</p> <p>531 - Real Estate</p> <p>532 - Rental and Leasing Services</p>	<p>CODE SHORT TITLE</p> <p>533 - Lessors of Nonfinancial Intangible Assets (except Copyrighted Works)</p> <p>54 Professional, Scientific, and Technical Services</p> <p>541 - Professional, Scientific, and Technical Services</p> <p>55 Management of Companies and Enterprises</p> <p>551 - Management of Companies and Enterprises</p> <p>56 Administrative and Support and Waste Management and Remediation Services</p> <p>561 - Administrative Support Services</p> <p>562 - Waste Management and Remediation Services</p> <p>61 Educational Services</p> <p>611 - Educational Services</p> <p>62 Health Care and Social Assistance</p> <p>621 - Ambulatory Health Care Services</p> <p>622 - Hospitals</p> <p>623 - Nursing and Residential Care Facilities</p> <p>624 - Social Assistance</p> <p>71 Arts, Entertainment, and Recreation</p> <p>711 - Performing Arts, Spectator Sports, and Related Industries</p> <p>712 - Museums, Historical Sites, and Similar Institutions</p> <p>713 - Amusement, Gambling, and Recreational Industries</p> <p>72 Accommodation and Food Services</p> <p>721 - Accommodation</p> <p>722 - Food Services and Drinking Places</p> <p>81 Other Services (except Public Administration)</p> <p>811 - Repair and Maintenance</p> <p>812 - Personal and Laundry Services</p> <p>813 - Religious, Grantmaking, Civic, Professional, and Similar Organizations</p> <p>814 - Private Household</p> <p>92 Public Administration</p> <p>921 - Executive, Legislative, and Other General Government Support</p> <p>922 - Justice, Public Order, and Safety Activities</p> <p>923 - Administration of Human Resource Programs</p> <p>924 - Administration of Environmental Quality Programs</p> <p>925 - Administration of Housing Programs, Urban Planning and Community Development</p> <p>926 - Administration of Economic Programs</p> <p>927 - Space Research and Technology</p> <p>928 - National Security and International Affairs</p>
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AGENCY USE ONLY	NAICS CODE:	BLS OWN CODE:	AUX CODE:	COUNTY CODES:	SEASON CODE	Type Reimbursable _____
				STATUS BLS		Origination Code _____

SIGNATURE SECTION

20. I HEREBY CERTIFY THAT THE PRECEDING INFORMATION IS TRUE AND CORRECT, AND THAT I AM AUTHORIZED TO EXECUTE THIS STATUS REPORT ON BEHALF OF THE EMPLOYING UNIT NAMED HEREIN. **(AUTHORIZED SIGNATURES: OWNER, OFFICER, PARTNER OR AUTHORIZED AGENT PER POWER OF ATTORNEY. IF APPLICABLE, PLEASE ATTACH COPY OF POWER OF ATTORNEY.)**

SIGNED BY:	TITLE:		
CONTACT E-MAIL ADDRESS:	FAX NO.:	TELEPHONE:	DATE:



State of Arkansas

Department of Finance and Administration

Power of Attorney

Date of Revocation

1 Taxpayer Information

Taxpayer name(s) and address (Please type or print)	Social Security Number(s)	Employer Identification Number
	Primary	
	Spouse	
	Sales tax permit number	Daytime Telephone Number

hereby appoint(s) the following representative(s) as attorney(s)-in-fact:

2 Representative(s)

Name and address (Please type or print)	Telephone Number
	Fax Number
Name and address	Telephone Number
	Fax Number

to represent the taxpayer(s) before the Arkansas Department of Finance and Administration for the following tax matters:

3 Tax Matters

Type of Tax (Sales, Use, Income, etc.)	Year(s) or Period(s)

4 Acts Authorized

The representatives are authorized, subject to revocation by the taxpayer, to receive and inspect confidential tax information and to perform any and all acts that I (we) can perform with respect to the tax matters described in line 3, including the authority to sign any agreements, consents, waivers or other documents.

The authority does not include the power to receive refund checks, the power to substitute another representative, the power to sign returns, or the power to execute a request for disclosure of tax returns or return information to a third party.

List any specific additions or deletions to the acts otherwise authorized in this power of attorney:

5 Computer generated notices will continue to be sent to taxpayer as required by law (see instructions).**6 Signature of Taxpayer(s)**

If signed by a corporate officer, partner, guardian, executor, receiver, administrator, or trustee on behalf of the taxpayer, I certify that I have the authority to execute this form on behalf of the taxpayer. If a tax matter concerns a joint return, **both** husband and wife must sign if joint representation is requested.

If not signed and dated, this power of attorney will be returned.

Signature	Date	Title
-----------	------	-------

Signature	Date	Title
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Instructions for Department of Finance and Administration

Power of Attorney form

PURPOSE

The purpose of this form is to authorize an individual to represent you before the Department of Finance and Administration.

AUTHORITY GRANTED

This power of attorney form authorizes the representative to perform any and all acts you can perform, with the exception of receiving refund checks, the power to substitute another representative, the power to sign returns, or the power to execute a request for disclosure of tax returns or return information to a third party.

NOTICES TO TAXPAYER

The computer generated notices will continue to be sent to you, the taxpayer. Proposed Assessment and Final Assessment notices are required to be mailed to the taxpayer by law, Arkansas Code Ann §§ 26-18-307, 26-18-403, and 26-18-401. You may share these notices with your attorney or other individual that you delegate as your representative.

REVOCAION or Withdrawal of Representative

To revoke a Power of Attorney form, mail or fax this form with the date of Revocation in the box in the upper right hand column of the form to the same office it was originally sent. If you do not have a copy of the form, mail or fax a letter stating that you want to revoke the Power of Attorney. If the taxpayer is revoking the power of attorney, the letter must list the names of the representatives and it must be signed and dated by the taxpayer. If the representative is withdrawing, list the name, address and Employer Identification number and Sales tax permit number and date of revocation.

WHERE TO FILE

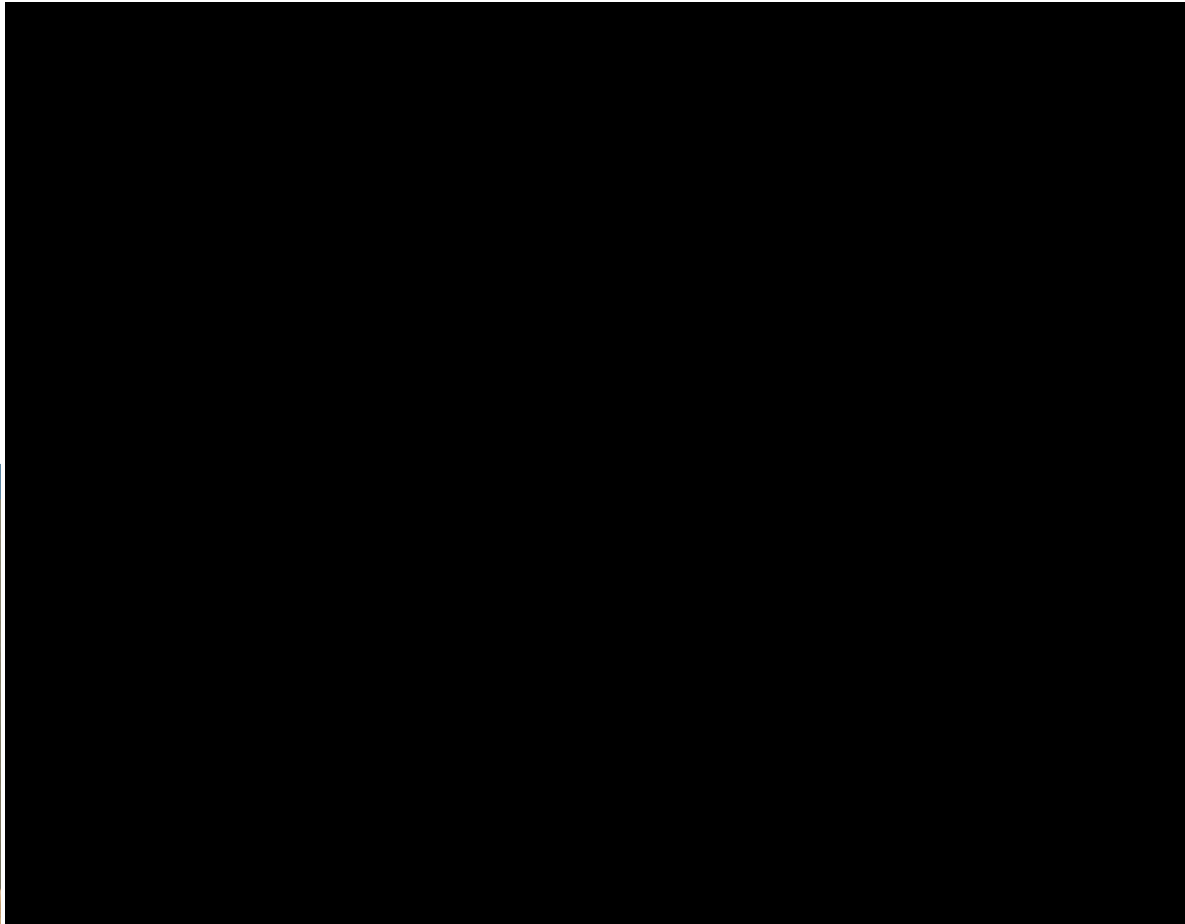
Mail or fax the Power of Attorney form to the office handling the tax matter.

The federal Form 2848 may be used in lieu of this form. (Provided the proper Arkansas tax type(s), tax form references, and tax period(s), or year(s) are identified on the federal form.)

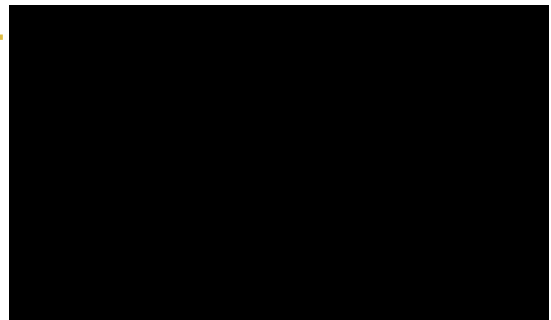
Support Made Simple

Welcome to the GT Portal for Participants

Helpful features and tools that make managing your self-directed services effortless.



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Log in to the GT Portal today and explore the helpful tools



portal.gtindependence.com

Get the Support You Need

Need help logging in or exploring the features of the portal? Our knowledgeable and friendly customer service team is available to help.

Contact Customer Service

1.877.659.4500

customerservice@gtindependence.com



Tell Us About Your Experience

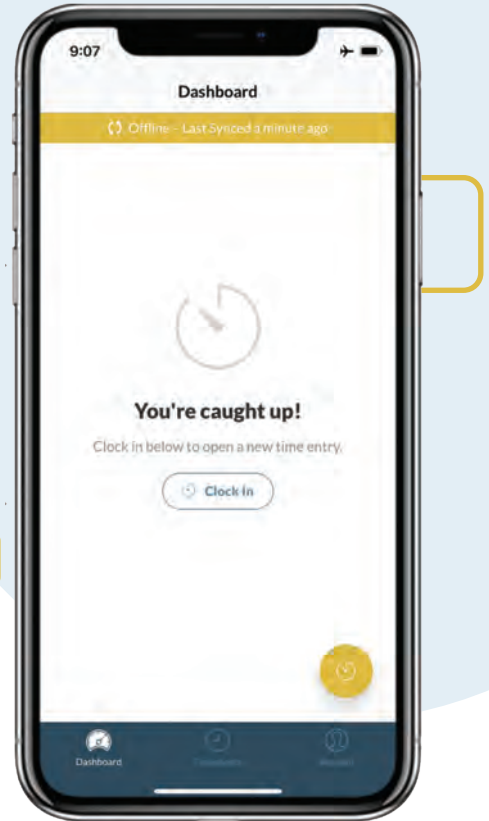
The GT Portal was built based on valuable insights and feedback from people like you. We are committed to making your experience the best it can be and creating features that make your life easier.

To submit feature requests, make a suggestion, or just tell us something you love about the portal, please email feedback@gtindependence.com.

Track Your Time On-the-Go With the **Caregiver App**

Caregiver by GT Independence lets you log your care hours, get approval from your employer, and turn in timesheets for payment. And you can do it all from the palm of your hand.

Designed for your phone or tablet, the free app is an easy way to track your time.



Track Your Hours

Keep track of your care hours anytime, anywhere

Get Fast Approval

Your employer can review and approve your hours right on your device

Download for Free

The app is free on the App Store and Google Play for iOS and Android

How to Get Started

- 1 Download the Caregiver app from the App Store or Google Play.
- 2 Create your account on the app (or log in with your GT Portal username and password).
- 3 Follow prompts in-app to set up a security pin and notifications.
- 4 Clock in or out to start your timesheet.

Get Support

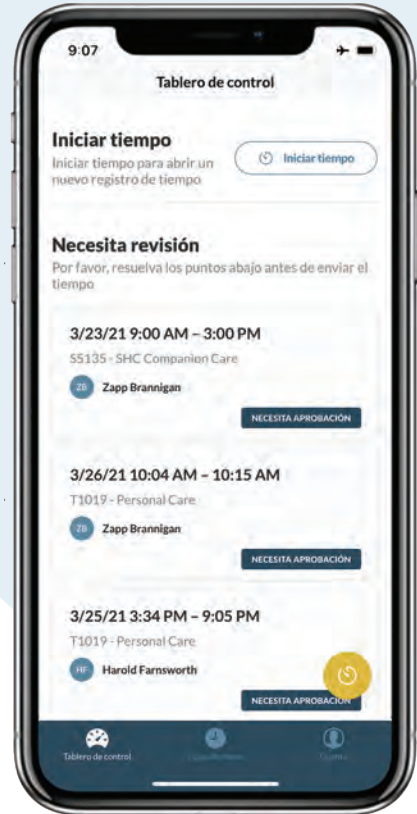
gtindependence.com/contact-us
customerservice@gtindependence.com
 877.659.4500



Registre su tiempo en activo con la aplicación Caregiver

La aplicación Caregiver de GT Independence permite registrar sus horas de atención, obtener la aprobación de su empleador y entregar las hojas de asistencia para el pago. Y se puede hacer todo esto desde la palma de su mano.

Diseñada para su teléfono o tableta, la aplicación gratis es una forma sencilla de registrar su tiempo.



Registre sus horas

Controle sus horas de atención a cualquier hora y lugar

Aprobación rápida

Su empleador puede revisar y aprobar sus horas directamente en su dispositivo

Descárguela gratis

La aplicación es gratis en la App Store y en Google Play para iOS y Android

Cómo empezar

- 1 Descargue la aplicación Caregiver desde la App Store o en Google Play.
- 2 Crea su cuenta en la aplicación (o inicie sesión con su nombre de usuario y contraseña del portal de GT).
- 3 Siga las indicaciones de la aplicación para configurar un pin de seguridad y las notificaciones.
- 4 Registre su hora de entrada o salida para iniciar su hoja de asistencia.

Obtenga ayuda

gtindependence.com/contact-us
customerservice@gtindependence.com
 877.659.4500





GT Independence Notice of Privacy Practices

This notice tells you how information about you may be used or shared. It also tells you how to access this information.

Please review it carefully.

If you have any questions about this notice, please contact us at privacyofficer@gtindependence.com

Or call: 877-659-4500

Or write: GT Independence, 215 Broadus St., Sturgis, MI 49091

Your Rights

You have certain rights. This section explains your rights and our duty to help you.

Get a copy of your paper or electronic health and claims records

- You can ask to view or get a copy of the health information we have about you. Ask us how to do this.
- We will provide a copy of your health records. Your copy will be sent typically within 30 days. We may charge a reasonable, cost-based fee.

Ask us to correct your health records

- You can ask us to correct your health records if you think they are incorrect or incomplete. Ask us how to do this.
- We may say “no” to your request. We’ll tell you why in writing within 60 days.

Request confidential contact

- You can ask us to contact you in a specific way. This can be a home or office phone or other phone of your choice. You can ask us to send mail to a different address.
- We will consider all reasonable requests. We must say “yes” if you tell us you would be in danger if we do not.

Ask us to limit what we use or share

- You can ask us not to use or share certain health information.
- We are not required to agree to your request. We may say “no” if it would affect your care.
- If you pay for a service or health care item out-of-pocket, you can ask us to not inform your health insurer. We will say “yes” unless a law requires us to share that information.

Get a list of those with whom we’ve shared health information

- You can ask for a list of the times we’ve shared your health information. This list can be for six years prior to the date you ask. We will include who we shared it with, and why.
- We will include all the disclosures except those about treatment, payment, and health care operations. We’ll provide one list per year for free. For additional copies, we may charge a reasonable, cost-based fee.

Get a copy of this privacy notice

- You can ask for a paper copy of this notice at any time. We will provide you with a paper copy at no cost to you.



GT Independence Notice of Privacy Practices

Choose someone to act for you

- Your Power of Attorney or legal guardian can exercise your rights. They can make choices about your health information.
- Before any actions, we will make sure the person has this authority.

File a complaint if you feel your rights are violated

- You can complain if you feel we have violated your rights by contacting us.
- You can file a complaint with the U.S. Department of Health and Human Services Office for Civil Rights by sending a letter to 200 Independence Avenue, S.W., Washington, D.C. 20201, calling 1-877-696-6775, or visiting www.hhs.gov/ocr/privacy/hipaa/complaints/
- We will not retaliate against you for filing a complaint.

Your Choices

For certain health information, you can tell us your choices about what we share. If you have a preference for how we share your health information, talk to us. Tell us what you want us to do. We will follow your instructions.

In these cases, you have both the right and choice to tell us to:

- Share health information with your family, close friends, or others who pay for your care
- Share health information in a disaster relief situation

If you cannot tell us your preference we may share your health information if we think it is in your best interest. An example is if you were to become unconscious. We may share your health information when needed in an emergency. This is to lessen a serious and imminent threat to health or safety.

We never share your health information without written permission for:

- Marketing purposes
- Sale of your information

Our Uses and Disclosures

How do we typically use or share your health information?

We use or share your health information in the following ways.

Help manage the health care treatment you receive

- We can use your health information and share it with those who are treating you.
Example: A health plan sends us information about your diagnosis and treatment plan.

Run our Company

- We can use and share your health information to run our company. We can contact you when necessary.
Example: We use health information about you to provide better services for you.
- We cannot use genetic information to decide whether we will provide service or the price of that service.



GT Independence Notice of Privacy Practices

Pay for your health services

- We can use and share your health information as we pay for your health services.
Example: We share information with your health plan to obtain payment for your services.

Administer your plan

- We may share your health information with your health plan for plan administration.
Example: We may provide your company with certain statistics to explain our charges.

How else can we use or share your health information?

- We can share or may be required to share your health information in other ways. These are in ways that contribute to the public good. This could be public health or research. We must follow the law to share your health information for these purposes.
- For more information see:
www.hhs.gov/ocr/privacy/hipaa/understanding/consumers/index.html

Help with public health and safety issues

We can share health information about you for certain situations such as:

- Preventing disease
- Helping with product recalls
- Reporting adverse reactions to medications
- Reporting suspected abuse, neglect, or domestic violence
- Preventing or reducing a serious threat to anyone's health or safety

Do research

- We can use or share your health information for health research.

Comply with the law

- We will share health information about you if state or federal laws require it. This includes with the Department of Health and Human Services. This is to show we comply with federal privacy law.

Respond to organ and tissue donation requests

- We can share health information about you with organ procurement companies.
- We can share health information when an person dies with:
A coroner, medical examiner, or funeral director.

Address workers' compensation, law enforcement, and other government requests

- We can use or share health information about you:
 - For workers' compensation claims
 - For law enforcement purposes or with a law enforcement official
 - With health oversight agencies for activities authorized by law
 - For military, national security, and presidential protective services



GT Independence Notice of Privacy Practices

Respond to lawsuits and legal actions

- We can share health information for a court order.
- We can share health information to respond to a subpoena.

Our Duties

- The law requires us to keep your health information private and secure.
- We will tell you right away if your health information was shared when it shouldn't have been.
For example: If a breach occurs that may have caused your health information to not be secure.
- We must follow the duties and privacy practices described in this notice. We must give you a copy of this notice.
- We will not use or share your health information other than as described here. You must tell us in writing before we can share your health information in other ways. If you tell us we can, you may change your mind at any time. Let us know in writing if you change your mind.

For more information see:

www.hhs.gov/ocr/privacy/hipaa/understanding/consumers/noticepp.html

Changes to the Terms of This Notice

- This notice is effective September 23, 2013. We can change the terms of this notice.
- The changes will apply to all information we have about you.
- The new notice will be mailed to you.
- You can ask for another copy any time.

This Privacy Notice applies to GuardianTrac LLC, DBA GT Independence; GT Financial Services; Michigan Agency with Choice LLC; GT Financial Services of Wisconsin LLC; Wisconsin Agency with Choice LLC; GT Financial Services of North Carolina LLC; North Carolina Agency with Choice LLC; and GT Independence of Florida, LLC. These entities provide services to the states of Michigan, Florida, North Carolina, Wisconsin, Maine, Minnesota, Kansas, Texas, Hawaii, California, Colorado, Missouri, Illinois.



GT Independence Grievance Policy

GT Independence is committed to providing the best customer service. GT Independence employees should help you resolve any concerns quickly. Everyone has the right to state concerns. You may file a formal Grievance. Below is a step by step process you use to resolve your concern if a Supervisor cannot help you.

Before filing a Grievance, we urge you to talk with those involved to try and quickly resolve the matter.

Call right away if you suspect fraud, waste, abuse, neglect, or a recipient rights violation.

If you feel an issue has not been properly resolved, you may choose to file a Grievance. The form will be sent to you by e-mail, fax, or mail at no cost to you. The form is also on our website www.gtindependence.com. If you need help or have questions, please contact GT Independence Quality and Compliance Department:

- By mail at 215 Broadus St. Sturgis, MI 49091
- By email at compliance@gtindependence.com
- By telephone at 269-651-4500

The Grievance Process:

- 1) All Grievance Forms submitted will be sent to GT Independence Quality and Compliance Department. GT Independence will let you know that we received your form within five business days.
- 2) A Manager will investigate and document the actions taken. You will receive a results summary within ten business days. This will include information on the appeal process.
- 3) If you are not happy with the results, an appeal may be sent to the CEO.
 - The appeal should include why you are not happy with the outcome.
 - The CEO will oversee an investigation of the appeal.
 - A final decision will be sent to you within 30 days.

GT Independence will not retaliate if you file a grievance. You will still receive services as normal.

You can also file your complaint with any outside agency you feel is appropriate such as Community Mental Health, Department of Human Services, Office of Civil Rights, or Administration on Aging.



Privacy Notice and Grievance Policy Acknowledgement

I have been provided a copy of GT Independence's Privacy Notice. I know that I can request limits to be placed on how my information is used or released by one of the following methods:

- By mail at GT Independence, 215 Broadus St, Sturgis, MI 49091
- By email at privacyofficer@gtindependence.com
- By telephone at 269-651-4500

I have been provided a copy of the Grievance Policy and Form for GT Independence. I know that I have the right to file a Grievance at any time and may request

- By mail at GT Independence, 215 Broadus St, Sturgis, MI 49091
- By email at compliance@gtindependence.com
- By telephone at 269-651-4500

Person Served Printed Name

Date

Person Served Signature

Date



GT Independence Employee Packet Information and Instruction Sheet

Please find a list of the forms included in this packet below along with a brief description of why they are required. Please check off each item as you complete the form to ensure everything is being returned to GT Independence.

<input type="checkbox"/>	in	
<input type="checkbox"/>	pr	
<input type="checkbox"/>	th	
<input type="checkbox"/>	se	
<input type="checkbox"/>	e	
<input type="checkbox"/>	ta	
<input type="checkbox"/>	ov	
<input type="checkbox"/>	pa	e
<input type="checkbox"/>	D	
<input type="checkbox"/>	ch	
<input type="checkbox"/>	yc	e
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<input type="checkbox"/>	cl	
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<input type="checkbox"/>	cc	
<input type="checkbox"/>	ca	/
<input type="checkbox"/>	Co	
<input type="checkbox"/>	ag	
<input type="checkbox"/>		



GT Independence Employee Packet Information and Instruction Sheet

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- rec
- Rig
- vio



Please complete the new Hire Packet and return it using one of the following options:

Mail: 215 Broadus St.
Sturgis, MI 49091
Fax: 888-972-3891
Email: customerservice@gtindependence.com

If you have any questions, do not hesitate to contact us at 877-659-4500. We are here to help!

Sincerely,

GT Independence
215 Broadus St, Sturgis, MI 49091
Office: (877) 659-4500
Fax: (888) 972-3891
www.gtindependence.com



GT Independence
Provider Information Form

Instructions: Potential Employees should review and/or complete the information below.

Provider Information

Employer Name: _____

Employee Name: _____

Aliases/Maiden Name: _____

Phone1: _____ Phone2: _____

Email: _____

Physical Address: _____

City: _____ State: _____ Zip Code: _____

Mailing Address: _____

City: _____ State: _____ Zip Code: _____

County: _____ Region: _____

Gender: _____ Date of Birth: _____ SSN#: _____

State of Birth: _____ Country, if not born in the USA: _____

Race: _____ Height: _____ Weight: _____ Eye Color: _____ Hair Color: _____

Preferred Language:

- | | |
|----------------------------------|---|
| <input type="checkbox"/> Arabic | <input type="checkbox"/> Korean |
| <input type="checkbox"/> ASL | <input type="checkbox"/> Somali |
| <input type="checkbox"/> Chinese | <input type="checkbox"/> Spanish |
| <input type="checkbox"/> English | <input type="checkbox"/> Tagalog |
| <input type="checkbox"/> French | <input type="checkbox"/> Vietnamese |
| <input type="checkbox"/> Hmong | <input type="checkbox"/> Other – please specify _____ |

For GT Independence Use Only:

GT Field Representative: _____ Enrollment Date: _____

GT Employee ID #: _____ GT Assignment ID #: _____

Start Date: _____ (All Employee Eligibility Requirements Met)

Phone: 877-659-4500 • Fax: 888-972-3891 • E-mail: customerservice@gtindependence.com

Employment Application

Participant you are applying to work for:		Authorizing Waiver Agent/Referring Agency:	
Last Name		First Name	Middle Initial
Street Address		City	State/Zip
Best Contact Phone #		E-mail Address	
Are you at least 18 years old? Yes / No			
<u>Education:</u>			
High School		From	To
Did you graduate? Yes / No		Diploma / GED	
College		From	To
Did you graduate? Yes / No		Degree	
Other		From	To
Did you graduate? Yes / No		Degree	
<u>Employment History (starting with the most recent position)</u>			
Dates employed		Job Title	
Reason for leaving			
Employer	Supervisor	Supervisor Phone#	
Address	Starting Salary	Ending Salary	
Duties and Responsibilities			
Dates employed		Job Title	
Reason for leaving			
Employer	Supervisor	Supervisor Phone#	
Address	Starting Salary	Ending Salary	
Duties and Responsibilities			
May we contact your current and former employers for references?			
Do you have any experience as a caregiver? Yes / No			
Please Describe			
Will you be able to perform the essential job functions for the position you are applying for with or without reasonable accommodation?			
Have you ever been convicted of a crime which has not been annulled, expunged or sealed by court? (A yes response does not automatically disqualify your application)			

I am an equal opportunity/affirmative action employer. All qualified applicants will be considered without regard to age, race, color, sex, religion, nation origin, marital status, ancestry, citizenship, veteran status, sexual orientation or preference, or physical or mental disability.

Applicant's Signature:

Date:



GT Independence

Criminal Record and/or Driving Record Consent Form

Name of the Individual you are applying to work and/or drive for: _____

Agency Referred by: _____

Employee's Full Name: _____

Date of Birth: _____ Social Security Number: _____

Gender: _____ Race: _____ (For Identification Only)

List any other names you have used or are known by: (Include maiden name)

Street Address: _____

City: _____ State: _____ Zip: _____

How long have you resided in this state? _____ Years _____ Months

If less than 5 years, list previous locations you have lived in the past 5 years (attach additional pages if necessary):

City: _____ State: _____ Zip: _____

City: _____ State: _____ Zip: _____

_____ State: _____ No: _____

Expiration Date: _____

Please select and include the documents you intend to use to complete your I-9 form (list of acceptable documents attached). Check all that apply:

Driver's License Social Security Card

Birth Certificate Passport Other (Please Specify): _____



GT Independence

Criminal Record and/or Driving Record Consent Form

I have a valid Driver's License and will be driving the person served.

I understand that I must not transport the person served until GT Independence lets me know I have passed the required driver's license check required by my State/Program. If for any reason I cannot drive, I must report this to GT Independence no later than the next working day.

I understand that I must stop providing transportation to the Person Served and let GT Independence know if any of the following occur:

- My driver's license becomes expired,
- My driver's license becomes suspended,
- My driver's license becomes revoked,
- My driver's license becomes restricted,
- My insurance expires, or
- My registration lapses.

I will NOT be providing transportation because of the following (please choose at least one):

I am not authorized to provide this service.

My driver's license is not currently valid, but I have had a valid driver's license in the past.

I have never had a valid driver's license.

I understand that I cannot transport the person served until I have contacted GT Independence and provided the needed documents. I understand I will need to provide a current copy of my automobile liability insurance. I understand I will need to provide a copy of my valid driver's license. I will not be able to provide transportation until GT Independence has informed me that I have passed the driving record review.

Employee's Printed Name: _____

Employee's Signature: _____ Date: _____



GT Independence Relationship Disclosure Form

Employee Name: _____

Person Served: _____

Employer (Employer of Record): _____
(This may, or may not, be the same name as the Person Served)

I understand that my relationship to my Employer may, or may not, grant me the eligibility to be exempt from certain taxes. These taxes may include FICA (Social Security and Medicare), FUTA (Federal Unemployment), and/or SUTA (State Unemployment).

I know that I can get more information from my local unemployment office. Even with tax exemptions, I still must follow all employment requirements. This includes criminal background checks, trainings, and the completion of all employment required forms.

I will notify GT Independence within 5 business days if there is a change in the relationship with my Employer. If I fail to let GT Independence know of any changes in my relationship to the employer, I understand that it may result in the need for me to pay back taxes.

Please answer the questions below about the relationship between you the Employee and your Employer.

1. Are you related to _____, the Employer?
 Yes, I am related to the Employer. (Go to next question)
 No, I am not related to the Employer. (Go to question 8)
2. Are you a child of _____, the Employer?
 Yes, I am a child of the Employer and I am **over** the age of 21. (Go to question 9)
 Yes, I am a child of the Employer and I am **under** the age of 21. (Go to question 9)
 Yes, I am a stepchild of the Employer. (Go to question 9)
 No, I am not a child of the Employer. (Go to next question)
3. Are you a parent of _____, the Employer?
 Yes, I am a parent, or adoptive parent, of the Employer. (Go to question 9)
 Yes, I am a stepparent of the Employer. (Go to question 9)
 No, I am not a parent of the Employer. (Go to next question)
4. Are you a grandparent of _____, the Employer?
 Yes, I am a grandparent to the Employer. (Go to question 9)
 No, I am not a grandparent to the Employer. (Go to next question)
5. Are you a grandchild of _____, the Employer?
 Yes, I am a grandchild to the Employer. (Go to question 9)
 No, I am not a grandchild to the Employer. (Go to next question)

Phone: 877-659-4500 • Fax: 888-972-3891 • E-mail: customerservice@gtindependence.com



GT Independence
Relationship Disclosure Form

6. Are you a spouse of _____, the Employer?

Yes, I am a spouse to the Employer. (Go to question 9)

No, I am not a spouse to the Employer. (Go to next question)

7. Are you a domestic partner of _____, the Employer?

Yes, I am a domestic partner to the Employer. (Go to question 9)

No, I am not a domestic partner to the Employer. (Go to question 8)

8. If none of the above relationship types apply, please describe what your relationship is to _____, the Employer?

9. If _____, the Employer is not the same person as _____, the Person Served, then please describe your relationship, if any, to _____, the Person Served.

10. Are you legally responsible for _____, the Person Served?

Yes, I am the **one** of the following:

Power of Attorney (POA)

Guardian

Co-Guardian

Legal Representative

Parent of a Minor (Biological or Adoptive)

In Loco Parentis

Other: _____

No, but I am **one** of the following:

Alternate Power of Attorney (POA)

Stand by Guardian

Alternate Guardian

Other: _____

Employer Signature: _____ Date: _____

Employee Signature: _____ Date: _____



Employee Name: _____

Participant Name: _____

Employer of Record Name (if different): _____

This form should be completed when the Employee and Employer live at the same address.

Live-In Exemption from Overtime Pay

The Fair Labor Standards Act requires household employers to pay employees overtime pay for any hours worked over 40 in a workweek.

An exemption from this rule is available when either:

- The employee lives in the employer's home permanently.
- The employee lives in the employer's home for long periods of time. (lives, works, and sleeps at least 5 consecutive days or nights per week and/or 120 hours or more)

You can find more information about the Live-In Exemption from Overtime here:

<https://www.dol.gov/whd/regs/compliance/whdfs79b.htm>

<https://www.dol.gov/whd/homecare/faq.htm>

Yes, the employee qualifies for this exemption. All hours over 40 in a workweek will be paid at the regular hourly rate. **The State of Minnesota requires overtime to be paid for any hours worked over 48 hours in a workweek**

No, the employee does not qualify for this exemption.

Difficulty of Care Federal Income Tax Exclusion

IRS Notice 2014-7 states that employees who provide Medicaid services in the home that they reside in can be excluded from federal income tax. It does not matter who owns the home.

You must meet certain criteria to qualify including:

- The employee lives with the person receiving services permanently.
- The employee does not have a separate home that they reside in.
- The home is where the employee regularly performs the routines of their private life. This includes shared meals and holidays with family.

You can find more information about Difficulty of Care Federal Income Tax Exclusion here:

<https://www.irs.gov/individuals/certain-medicaid-waiver-payments-may-be-excludable-from-income>

<https://www.irs.gov/pub/irs-drop/n-14-07.pdf>



GT Independence
Live-In Form

Yes, the employee qualifies for Difficulty of Care Federal Income Tax Exclusion. GT Independence will not withhold federal income tax from my payroll.
 Under penalties of perjury, I declare that I am an individual care provider receiving payments under a State Medicaid Home and Community-Based Services Waiver Program for care I provide in my home.

No, the employee does not qualify for Difficulty of Care Federal Income Tax Exclusion. GT Independence will withhold federal income tax based on the completed IRS Form W-4.

I understand that I must update GT Independence anytime this status changes. I have reviewed the information available on the Live-In Overtime Exemption and Difficulty of Care Federal Income Tax Exclusion. It is my responsibility to determine whether I meet the required qualifications. I agree that the information above is accurate and true. GT Independence is not responsible for wages or taxes owed due to an incorrect selection on this form.

 Employer/Representative Signature

 Date

 Employee Signature

 Date



GT Independence
Self Determination Employment Agreement

The start date of this agreement is _____ and is between _____
 the Employer and _____ the Employee.

Employee Duties

I agree to the following terms of employment:

1. If the employer's involvement in this program ends, the employee's employment also ends.
2. Services will be given and received in a safe, respectful, and competent manner.
3. I will fill out any forms required by my employer or Funding Agency. These records belong to my employer. I will keep these records safe and not share them with anyone without permission from my employer. I will give these records back to my employer if my employment ends.
4. I will call 911 if my employer has a medical emergency or illness right away.
5. I agree to attend any meetings if requested to do so by my employer.
6. I agree to follow all of my employer's rules and the Funding Agency regulations. The rules are described below regarding my employment duties to the employer:
 - a. I meet the legal age requirements for employment according to labor rules and regulations, and a US Citizen or Legal Alien.
 - b. I am able to prove my ability to perform tasks my employer requests.
 - c. I will complete the training required by the Funding Agency.
 - d. I am not the Participant's Representative for the Self-Determination Program.
 - e. I am not a legally responsible relative of the Participant (spouse/guardian).
 - f. I will submit the time I've worked each day using one of the approved time recording methods (paper timesheets, Electronic Visit Verification (EVV) or the GT Independence Portal).
7. This is an at will employment agreement. The employer or the employee can cancel this agreement at any time, for any reason. But my employer cannot end my employment on the basis of my race, religion, sex, disability, or other protected status under Federal or State Law. In addition, I agree to give 7 (seven) days written notice to my employer if I end my employment.



GT Independence
Self Determination Employment Agreement

8. It is my responsibility to notify my employer and GT Independence when I am no longer employed.
9. The employee is not an employee of GT Independence or the funding agency.
10. I agree to not sue GT Independence or the funding agency for their role in my employer's program.
11. The pay for the work I complete will be:
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services
12. I agree to sign a Medicaid Provider Agreement but understand that the participant is my employer. I understand that my employment requires that I complete this agreement.
13. Services cannot be provided while the employer is a patient in a hospital or other medical care setting.
14. I will not submit time for any hours I have not worked. Submitting time that I did not work is cause for legal and/or criminal action.
15. I will not work hours over the authorized amount.
16. It is my duty to repay any overpayments that are made to me.

Employer Duties

1. I will give the required forms to ensure my employee is paid.
2. I will pay my employee:
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services
 - \$_____ per hour for _____ Services



GT Independence
Self Determination Employment Agreement

3. I understand I will have to talk with my Supports Coordinator before I can let my employee work more hours.
4. GT Independence will pay my employee and withhold taxes.
5. I will make sure my employee has the right training.
6. I will gauge how good my employee is doing. I will let them know what they need to do better to make sure that I am getting the care I need.
7. I will make sure that my employee signs a Medicaid Provider Agreement with the Funding Agency.
8. I understand that if I go into the hospital or other medical care setting, my employee cannot be paid during that time.
9. I will approve the submitted time for the hours that my employee works. Approving time that I know, or should know, to be wrong is cause for legal and/or criminal action.
10. I understand I must treat my employee with respect.
11. I will not approve time that exceeds my authorized hours.
12. It is my responsibility to notify GT Independence if my worker is no longer employed.
13. It is my duty to repay any overpayments that were authorized by me and made to my employees.

 Employee Signature

 Date

 Employer Signature

 Date



GT Independence Job Description

Person Served's Name: _____

Employee Name: _____

Position: _____

Reports To: _____

Qualifications:

- Will complete all required training,
- meets legal age requirements for employment according to labor rules and regulations, and
- is in good standing with the law.

Essential Job Functions:

- Assistance with personal care as needed
- Assistance with household tasks
- Assisting with access to the community

Daily tasks:

- Meal preparation
- Laundry
- Shopping
- Eating
- Taking a bath
- Getting dressed
- Using the bathroom
- Make the bed, dust, and vacuum
- Monitor health and safety
- Taking the Person Served to places they enjoy

All other duties as requested.

- _____
- _____
- _____

This job description is to be reviewed annually by the employer and employee and updated as needed.

Employee Signature

Date

Person Served/Employer of Record's Signature

Date

Phone: 877-659-4500 • Fax: 888-972-3891 • E-mail: customerservice@gtindependence.com



GT Independence
Medicaid Provider Agreement

This agreement explains the requirements that you have as a Medicaid provider and serves to ensure consent with 42 USC 1902 (a)(27).

Employee Suitableness:

- Has completed all required training.
- Meets legal age requirements for employment according to labor rules and regulations.
- Is in good standing with the law.

The Funding Agency will make sure the employee is eligible to provide services with assistance from GT and the employer. The Funding Agency will make certain the care follows the needs in the service plans. The Funding Agency authorizes the service plans.

The employee agrees to the following:

1. To keep all records regarding the services provided to the Person Served/Employer of Record.
2. Provide the records to the Funding Agency if requested.
3. Upon request, provide any records and/or related invoices or billings to the following:
 - The Participant
 - The Funding Agency
 - The State Medicaid Agency
 - The Secretary of the Department of Health and Human Services
 - The State Medicaid fraud control unit
4. To obey with the ownership disclosure duties stated in 42 CFR 455, subpart B, as applicable.
5. As applicable, comply with the advance directive duties stated in 42 CFR 489, Subpart I and 42 CFR 417.436 (d).

The Person Served/Employer of Record is the sole employer. Neither the Funding Agency nor GT Independence is the employer of the Medicaid Provider/Employee.

I agree to the terms of this agreement.

 Medicaid Provider/Employee Print Name

 Medicaid Provider/Employee Signature

 Date

 Funding Agency Personnel

 Date

Phone: 877-659-4500 ○ Fax: 888-972-3891 ○ E-mail: customerservice@gtindependence.com



GT Independence
Preferred Payment Method Form

Name of Person receiving the funds: _____

Date of Birth: _____ Social Security Number: _____

Payment Options:

***Please be advised that per **National Automated Clearing House Association (NACHA)** guidelines, GT Independence has full rights to take back from your bank account a direct deposit, made in error, within five business days. GT Independence will notify you that funds have been removed from your account. ***

Please complete the section that applies below.

I am an Employee/Provider/Caregiver receiving wage payments

I am a Person Served receiving reimbursements

Incomplete or inaccurate information will be sent back to you for completion.

Pay Card:

Pay card number: _____

I choose and consent to receive my wage payment or reimbursement on a pay card. I have received a copy of the terms, conditions, and possible fees with using this pay card. This consent shall remain in effect until fourteen (14) days after I end it in writing.

Direct Deposit:

Name(s) on Account (First and Last Name): _____

Account Type: Checking Savings

ABA/Routing #: _____

Account #: _____

Bank Name: _____

Account Owner's relationship to employee: Self Other: _____

Additional Information for Direct Deposit: _____

Please provide one of the items below so the Name, Routing and Accounting Number can be verified:

Voided check (not a deposit slip)

Documentation of Account Information from the bank.

Bank Statement with the Account and Routing number.

I attest that this information is accurate, and I will ensure employee wage payment are paid to the employee and not the Person Served/Employer of Record. I also attest that reimbursements will be paid to the Person Served and not to the employee.



GT Independence
Preferred Payment Method Form

Pay will be deposited into your account within 2 pay periods.

It is your duty to notify GT Independence of any changes. If you do not notify GT Independence, this may delay your wage payments or reimbursements.

Only applies to Employee/Provider/Caregiver receiving wage payments

Green Initiative: You are automatically enrolled in our Green Initiative Program, unless you check the box below.

Green Initiative Opt-Out: I prefer to receive paper copies of paystubs. By checking this box, I have chosen to opt out of the Green Initiative Program.

Electronic Paystubs: I choose and consent to receive my paystubs through my Portal account. I can also access paystubs by mail, fax, or e-mail by calling Customer Service at 877-659-4500.

I am a Vendor providing a contracted service

Incomplete or inaccurate information will be sent back to you for completion.

Direct Deposit:

Name(s) on Account (First and Last Name): _____

Account Type: Checking Savings

ABA/Routing #: _____

Account #: _____

Bank Name: _____

Account Owner's relationship to Vendor: Self Other: _____

Additional Information for Direct Deposit: _____

You must provide one of the items below so the Name, Routing and Accounting Number can be verified
Voided check (not a deposit slip)

Documentation of Account Information from the bank.

Bank Statement with the Account and Routing number.

Pay will be deposited into your account within 2 pay periods.

It is your duty to notify GT Independence of any changes. If you do not notify GT Independence, this may delay your pay.

I have reviewed and understand the content of this form.

Signature Authorizing Payment Method

Signature Date

Phone: 877-659-4500 Fax: 888-972-3891 E-mail: customerservice@gtindependence.com



GT Independence Caregiver Link Application

Do you have an interest in additional work hours? GT independence has a resource called Caregiver Link, which is an online caregiver directory. The directory works to connect people seeking a caregiver with people who enjoy working in the caregiving field.

Please fully complete this form so we can add your information to our caregiver directory. Please remember that just because you have completed this form it is **NOT** a guarantee for employment; however, it may provide you with an opportunity to provide caregiver services for one or more additional people. GT Independence encourages you to meet and interview with any opportunities to provide supports for additional people.

I do not agree to be on the Caregiver Link. *(Please, just sign and date the bottom of the form.)*

I do agree to be on the Caregiver Link. *(Please, complete the remainder of the form. By signing, you are consenting to GT Independence sharing your name and phone number with individuals needing services/supports and Care Managers with Managed Care Organizations.)*

Applicant's Name: _____

Street Address: _____

City: _____ State: _____ Zip Code: _____

Phone Number: _____ Email Address: _____

Are you of legal age to work in your State? Yes No

(To receive Medicaid funds, you must meet the minimum working age requirement of your State.)

Do you have your own transportation? Yes No

Do you have experience being a caregiver? Yes No

Please list below all the shifts and days that you are available to work:

Days Nights Weekends

Monday Tuesday Wednesday Thursday Friday Saturday Sunday

Have you ever been convicted of a crime? Yes No

Applicant's Printed Name

Date

Applicant's Signature

Date

Phone: 877-659-4500 Fax: 888-972-3891 E-mail: customerservice@gtindependence.com

Employee's Withholding Certificate

OMB No. 1545-0074

2022

▶ **Complete Form W-4 so that your employer can withhold the correct federal income tax from your pay.**
▶ **Give Form W-4 to your employer.**
▶ **Your withholding is subject to review by the IRS.**

Step 1: Enter Personal Information	(a) First name and middle initial	Last name	(b) Social security number
	Address		▶ Does your name match the name on your social security card? If not, to ensure you get credit for your earnings, contact SSA at 800-772-1213 or go to www.ssa.gov .
	City or town, state, and ZIP code		
	(c) <input type="checkbox"/> Single or Married filing separately <input type="checkbox"/> Married filing jointly or Qualifying widow(er) <input type="checkbox"/> Head of household (Check only if you're unmarried and pay more than half the costs of keeping up a home for yourself and a qualifying individual.)		

Complete Steps 2–4 ONLY if they apply to you; otherwise, skip to Step 5. See page 2 for more information on each step, who can claim exemption from withholding, when to use the estimator at www.irs.gov/W4App, and privacy.

Step 2: Multiple Jobs or Spouse Works

Complete this step if you (1) hold more than one job at a time, or (2) are married filing jointly and your spouse also works. The correct amount of withholding depends on income earned from all of these jobs.

Do **only one** of the following.

(a) Use the estimator at www.irs.gov/W4App for most accurate withholding for this step (and Steps 3–4); **or**

(b) Use the Multiple Jobs Worksheet on page 3 and enter the result in Step 4(c) below for roughly accurate withholding; **or**

(c) If there are only two jobs total, you may check this box. Do the same on Form W-4 for the other job. This option is accurate for jobs with similar pay; otherwise, more tax than necessary may be withheld . . . ▶

TIP: To be accurate, submit a 2022 Form W-4 for all other jobs. If you (or your spouse) have self-employment income, including as an independent contractor, use the estimator.

Complete Steps 3–4(b) on Form W-4 for only ONE of these jobs. Leave those steps blank for the other jobs. (Your withholding will be most accurate if you complete Steps 3–4(b) on the Form W-4 for the highest paying job.)

Step 3: Claim Dependents	If your total income will be \$200,000 or less (\$400,000 or less if married filing jointly): Multiply the number of qualifying children under age 17 by \$2,000 ▶ \$ _____		
	Multiply the number of other dependents by \$500 ▶ \$ _____		
	Add the amounts above and enter the total here	3	\$
Step 4 (optional): Other Adjustments	(a) Other income (not from jobs). If you want tax withheld for other income you expect this year that won't have withholding, enter the amount of other income here. This may include interest, dividends, and retirement income	4(a)	\$
	(b) Deductions. If you expect to claim deductions other than the standard deduction and want to reduce your withholding, use the Deductions Worksheet on page 3 and enter the result here	4(b)	\$
	(c) Extra withholding. Enter any additional tax you want withheld each pay period	4(c)	\$

Step 5: Sign Here

Under penalties of perjury, I declare that this certificate, to the best of my knowledge and belief, is true, correct, and complete.

▶ **Employee's signature** (This form is not valid unless you sign it.)

▶ **Date**

Employers Only	Employer's name and address	First date of employment	Employer identification number (EIN)

General Instructions

Section references are to the Internal Revenue Code.

Future Developments

For the latest information about developments related to Form W-4, such as legislation enacted after it was published, go to www.irs.gov/FormW4.

Purpose of Form

Complete Form W-4 so that your employer can withhold the correct federal income tax from your pay. If too little is withheld, you will generally owe tax when you file your tax return and may owe a penalty. If too much is withheld, you will generally be due a refund. Complete a new Form W-4 when changes to your personal or financial situation would change the entries on the form. For more information on withholding and when you must furnish a new Form W-4, see Pub. 505, Tax Withholding and Estimated Tax.

Exemption from withholding. You may claim exemption from withholding for 2022 if you meet both of the following conditions: you had no federal income tax liability in 2021 **and** you expect to have no federal income tax liability in 2022. You had no federal income tax liability in 2021 if (1) your total tax on line 24 on your 2021 Form 1040 or 1040-SR is zero (or less than the sum of lines 27a, 28, 29, and 30), or (2) you were not required to file a return because your income was below the filing threshold for your correct filing status. If you claim exemption, you will have no income tax withheld from your paycheck and may owe taxes and penalties when you file your 2022 tax return. To claim exemption from withholding, certify that you meet both of the conditions above by writing "Exempt" on Form W-4 in the space below Step 4(c). Then, complete Steps 1(a), 1(b), and 5. Do not complete any other steps. You will need to submit a new Form W-4 by February 15, 2023.

Your privacy. If you prefer to limit information provided in Steps 2 through 4, use the online estimator, which will also increase accuracy.

As an alternative to the estimator: if you have concerns with Step 2(c), you may choose Step 2(b); if you have concerns with Step 4(a), you may enter an additional amount you want withheld per pay period in Step 4(c). If this is the only job in your household, you may instead check the box in Step 2(c), which will increase your withholding and significantly reduce your paycheck (often by thousands of dollars over the year).

When to use the estimator. Consider using the estimator at www.irs.gov/W4App if you:

1. Expect to work only part of the year;
2. Have dividend or capital gain income, or are subject to additional taxes, such as Additional Medicare Tax;
3. Have self-employment income (see below); or
4. Prefer the most accurate withholding for multiple job situations.

Self-employment. Generally, you will owe both income and self-employment taxes on any self-employment income you receive separate from the wages you receive as an employee. If you want to pay these taxes through withholding from your wages, use the estimator at www.irs.gov/W4App to figure the amount to have withheld.

Nonresident alien. If you're a nonresident alien, see Notice 1392, Supplemental Form W-4 Instructions for Nonresident Aliens, before completing this form.

Specific Instructions

Step 1(c). Check your anticipated filing status. This will determine the standard deduction and tax rates used to compute your withholding.

Step 2. Use this step if you (1) have more than one job at the same time, or (2) are married filing jointly and you and your spouse both work.

Option (a) most accurately calculates the additional tax you need to have withheld, while option (b) does so with a little less accuracy.

If you (and your spouse) have a total of only two jobs, you may instead check the box in option (c). The box must also be checked on the Form W-4 for the other job. If the box is checked, the standard deduction and tax brackets will be cut in half for each job to calculate withholding. This option is roughly accurate for jobs with similar pay; otherwise, more tax than necessary may be withheld, and this extra amount will be larger the greater the difference in pay is between the two jobs.



Multiple jobs. Complete Steps 3 through 4(b) on only one Form W-4. Withholding will be most accurate if you do this on the Form W-4 for the highest paying job.

Step 3. This step provides instructions for determining the amount of the child tax credit and the credit for other dependents that you may be able to claim when you file your tax return. To qualify for the child tax credit, the child must be under age 17 as of December 31, must be your dependent who generally lives with you for more than half the year, and must have the required social security number. You may be able to claim a credit for other dependents for whom a child tax credit can't be claimed, such as an older child or a qualifying relative. For additional eligibility requirements for these credits, see Pub. 501, Dependents, Standard Deduction, and Filing Information. You can also include **other tax credits** for which you are eligible in this step, such as the foreign tax credit and the education tax credits. To do so, add an estimate of the amount for the year to your credits for dependents and enter the total amount in Step 3. Including these credits will increase your paycheck and reduce the amount of any refund you may receive when you file your tax return.

Step 4 (optional).

Step 4(a). Enter in this step the total of your other estimated income for the year, if any. You shouldn't include income from any jobs or self-employment. If you complete Step 4(a), you likely won't have to make estimated tax payments for that income. If you prefer to pay estimated tax rather than having tax on other income withheld from your paycheck, see Form 1040-ES, Estimated Tax for Individuals.

Step 4(b). Enter in this step the amount from the Deductions Worksheet, line 5, if you expect to claim deductions other than the basic standard deduction on your 2022 tax return and want to reduce your withholding to account for these deductions. This includes both itemized deductions and other deductions such as for student loan interest and IRAs.

Step 4(c). Enter in this step any additional tax you want withheld from your pay **each pay period**, including any amounts from the Multiple Jobs Worksheet, line 4. Entering an amount here will reduce your paycheck and will either increase your refund or reduce any amount of tax that you owe.

Step 2(b) – Multiple Jobs Worksheet *(Keep for your records.)*



If you choose the option in Step 2(b) on Form W-4, complete this worksheet (which calculates the total extra tax for all jobs) on **only ONE** Form W-4. Withholding will be most accurate if you complete the worksheet and enter the result on the Form W-4 for the highest paying job.

Note: If more than one job has annual wages of more than \$120,000 or there are more than three jobs, see Pub. 505 for additional tables; or, you can use the online withholding estimator at www.irs.gov/W4App.

- 1 **Two jobs.** If you have two jobs or you're married filing jointly and you and your spouse each have one job, find the amount from the appropriate table on page 4. Using the "Higher Paying Job" row and the "Lower Paying Job" column, find the value at the intersection of the two household salaries and enter that value on line 1. Then, **skip** to line 3 **1** \$ _____

- 2 **Three jobs.** If you and/or your spouse have three jobs at the same time, complete lines 2a, 2b, and 2c below. Otherwise, skip to line 3.
 - a Find the amount from the appropriate table on page 4 using the annual wages from the highest paying job in the "Higher Paying Job" row and the annual wages for your next highest paying job in the "Lower Paying Job" column. Find the value at the intersection of the two household salaries and enter that value on line 2a **2a** \$ _____
 - b Add the annual wages of the two highest paying jobs from line 2a together and use the total as the wages in the "Higher Paying Job" row and use the annual wages for your third job in the "Lower Paying Job" column to find the amount from the appropriate table on page 4 and enter this amount on line 2b **2b** \$ _____
 - c Add the amounts from lines 2a and 2b and enter the result on line 2c **2c** \$ _____

- 3 Enter the number of pay periods per year for the highest paying job. For example, if that job pays weekly, enter 52; if it pays every other week, enter 26; if it pays monthly, enter 12, etc. **3** _____

- 4 **Divide** the annual amount on line 1 or line 2c by the number of pay periods on line 3. Enter this amount here and in **Step 4(c)** of Form W-4 for the highest paying job (along with any other additional amount you want withheld) **4** \$ _____

Step 4(b) – Deductions Worksheet *(Keep for your records.)*



- 1 Enter an estimate of your 2022 itemized deductions (from Schedule A (Form 1040)). Such deductions may include qualifying home mortgage interest, charitable contributions, state and local taxes (up to \$10,000), and medical expenses in excess of 7.5% of your income **1** \$ _____

- 2 Enter: $\left\{ \begin{array}{l} \bullet \$25,900 \text{ if you're married filing jointly or qualifying widow(er)} \\ \bullet \$19,400 \text{ if you're head of household} \\ \bullet \$12,950 \text{ if you're single or married filing separately} \end{array} \right\}$ **2** \$ _____

- 3 If line 1 is greater than line 2, subtract line 2 from line 1 and enter the result here. If line 2 is greater than line 1, enter "-0-" **3** \$ _____

- 4 Enter an estimate of your student loan interest, deductible IRA contributions, and certain other adjustments (from Part II of Schedule 1 (Form 1040)). See Pub. 505 for more information **4** \$ _____

- 5 **Add** lines 3 and 4. Enter the result here and in **Step 4(b)** of Form W-4 **5** \$ _____

Privacy Act and Paperwork Reduction Act Notice. We ask for the information on this form to carry out the Internal Revenue laws of the United States. Internal Revenue Code sections 3402(f)(2) and 6109 and their regulations require you to provide this information; your employer uses it to determine your federal income tax withholding. Failure to provide a properly completed form will result in your being treated as a single person with no other entries on the form; providing fraudulent information may subject you to penalties. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation; to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their tax laws; and to the Department of Health and Human Services for use in the National Directory of New Hires. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You are not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. Generally, tax returns and return information are confidential, as required by Code section 6103.

The average time and expenses required to complete and file this form will vary depending on individual circumstances. For estimated averages, see the instructions for your income tax return.

If you have suggestions for making this form simpler, we would be happy to hear from you. See the instructions for your income tax return.

Married Filing Jointly or Qualifying Widow(er)

Higher Paying Job Annual Taxable Wage & Salary	Lower Paying Job Annual Taxable Wage & Salary											
	\$0 - 9,999	\$10,000 - 19,999	\$20,000 - 29,999	\$30,000 - 39,999	\$40,000 - 49,999	\$50,000 - 59,999	\$60,000 - 69,999	\$70,000 - 79,999	\$80,000 - 89,999	\$90,000 - 99,999	\$100,000 - 109,999	\$110,000 - 120,000
\$0 - 9,999	\$0	\$110	\$850	\$860	\$1,020	\$1,020	\$1,020	\$1,020	\$1,020	\$1,020	\$1,770	\$1,870
\$10,000 - 19,999	110	1,110	1,860	2,060	2,220	2,220	2,220	2,220	2,220	2,970	3,970	4,070
\$20,000 - 29,999	850	1,860	2,800	3,000	3,160	3,160	3,160	3,160	3,910	4,910	5,910	6,010
\$30,000 - 39,999	860	2,060	3,000	3,200	3,360	3,360	3,360	4,110	5,110	6,110	7,110	7,210
\$40,000 - 49,999	1,020	2,220	3,160	3,360	3,520	3,520	4,270	5,270	6,270	7,270	8,270	8,370
\$50,000 - 59,999	1,020	2,220	3,160	3,360	3,520	4,270	5,270	6,270	7,270	8,270	9,270	9,370
\$60,000 - 69,999	1,020	2,220	3,160	3,360	4,270	5,270	6,270	7,270	8,270	9,270	10,270	10,370
\$70,000 - 79,999	1,020	2,220	3,160	4,110	5,270	6,270	7,270	8,270	9,270	10,270	11,270	11,370
\$80,000 - 99,999	1,020	2,820	4,760	5,960	7,120	8,120	9,120	10,120	11,120	12,120	13,150	13,450
\$100,000 - 149,999	1,870	4,070	6,010	7,210	8,370	9,370	10,510	11,710	12,910	14,110	15,310	15,600
\$150,000 - 239,999	2,040	4,440	6,580	7,980	9,340	10,540	11,740	12,940	14,140	15,340	16,540	16,830
\$240,000 - 259,999	2,040	4,440	6,580	7,980	9,340	10,540	11,740	12,940	14,140	15,340	16,540	17,590
\$260,000 - 279,999	2,040	4,440	6,580	7,980	9,340	10,540	11,740	12,940	14,140	16,100	18,100	19,190
\$280,000 - 299,999	2,040	4,440	6,580	7,980	9,340	10,540	11,740	13,700	15,700	17,700	19,700	20,790
\$300,000 - 319,999	2,040	4,440	6,580	7,980	9,340	11,300	13,300	15,300	17,300	19,300	21,300	22,390
\$320,000 - 364,999	2,100	5,300	8,240	10,440	12,600	14,600	16,600	18,600	20,600	22,600	24,870	26,260
\$365,000 - 524,999	2,970	6,470	9,710	12,210	14,670	16,970	19,270	21,570	23,870	26,170	28,470	29,870
\$525,000 and over	3,140	6,840	10,280	12,980	15,640	18,140	20,640	23,140	25,640	28,140	30,640	32,240

Single or Married Filing Separately

Higher Paying Job Annual Taxable Wage & Salary	Lower Paying Job Annual Taxable Wage & Salary											
	\$0 - 9,999	\$10,000 - 19,999	\$20,000 - 29,999	\$30,000 - 39,999	\$40,000 - 49,999	\$50,000 - 59,999	\$60,000 - 69,999	\$70,000 - 79,999	\$80,000 - 89,999	\$90,000 - 99,999	\$100,000 - 109,999	\$110,000 - 120,000
\$0 - 9,999	\$400	\$930	\$1,020	\$1,020	\$1,250	\$1,870	\$1,870	\$1,870	\$1,870	\$1,970	\$2,040	\$2,040
\$10,000 - 19,999	930	1,570	1,660	1,890	2,890	3,510	3,510	3,510	3,610	3,810	3,880	3,880
\$20,000 - 29,999	1,020	1,660	1,990	2,990	3,990	4,610	4,610	4,710	4,910	5,110	5,180	5,180
\$30,000 - 39,999	1,020	1,890	2,990	3,990	4,990	5,610	5,710	5,910	6,110	6,310	6,380	6,380
\$40,000 - 59,999	1,870	3,510	4,610	5,610	6,680	7,500	7,700	7,900	8,100	8,300	8,370	8,370
\$60,000 - 79,999	1,870	3,510	4,680	5,880	7,080	7,900	8,100	8,300	8,500	8,700	8,970	9,770
\$80,000 - 99,999	1,940	3,780	5,080	6,280	7,480	8,300	8,500	8,700	9,100	10,100	10,970	11,770
\$100,000 - 124,999	2,040	3,880	5,180	6,380	7,580	8,400	9,140	10,140	11,140	12,140	13,040	14,140
\$125,000 - 149,999	2,040	3,880	5,180	6,520	8,520	10,140	11,140	12,140	13,320	14,620	15,790	16,890
\$150,000 - 174,999	2,040	4,420	6,520	8,520	10,520	12,170	13,470	14,770	16,070	17,370	18,540	19,640
\$175,000 - 199,999	2,720	5,360	7,460	9,630	11,930	13,860	15,160	16,460	17,760	19,060	20,230	21,330
\$200,000 - 249,999	2,970	5,920	8,310	10,610	12,910	14,840	16,140	17,440	18,740	20,040	21,210	22,310
\$250,000 - 399,999	2,970	5,920	8,310	10,610	12,910	14,840	16,140	17,440	18,740	20,040	21,210	22,310
\$400,000 - 449,999	2,970	5,920	8,310	10,610	12,910	14,840	16,140	17,440	18,740	20,040	21,210	22,470
\$450,000 and over	3,140	6,290	8,880	11,380	13,880	16,010	17,510	19,010	20,510	22,010	23,380	24,680

Head of Household

Higher Paying Job Annual Taxable Wage & Salary	Lower Paying Job Annual Taxable Wage & Salary											
	\$0 - 9,999	\$10,000 - 19,999	\$20,000 - 29,999	\$30,000 - 39,999	\$40,000 - 49,999	\$50,000 - 59,999	\$60,000 - 69,999	\$70,000 - 79,999	\$80,000 - 89,999	\$90,000 - 99,999	\$100,000 - 109,999	\$110,000 - 120,000
\$0 - 9,999	\$0	\$760	\$910	\$1,020	\$1,020	\$1,020	\$1,190	\$1,870	\$1,870	\$1,870	\$2,040	\$2,040
\$10,000 - 19,999	760	1,820	2,110	2,220	2,220	2,390	3,390	4,070	4,070	4,240	4,440	4,440
\$20,000 - 29,999	910	2,110	2,400	2,510	2,680	3,680	4,680	5,360	5,530	5,730	5,930	5,930
\$30,000 - 39,999	1,020	2,220	2,510	2,790	3,790	4,790	5,790	6,640	6,840	7,040	7,240	7,240
\$40,000 - 59,999	1,020	2,240	3,530	4,640	5,640	6,780	7,980	8,860	9,060	9,260	9,460	9,460
\$60,000 - 79,999	1,870	4,070	5,360	6,610	7,810	9,010	10,210	11,090	11,290	11,490	11,690	12,170
\$80,000 - 99,999	1,870	4,210	5,700	7,010	8,210	9,410	10,610	11,490	11,690	12,380	13,370	14,170
\$100,000 - 124,999	2,040	4,440	5,930	7,240	8,440	9,640	10,860	12,540	13,540	14,540	15,540	16,480
\$125,000 - 149,999	2,040	4,440	5,930	7,240	8,860	10,860	12,860	14,540	15,540	16,830	18,130	19,230
\$150,000 - 174,999	2,040	4,460	6,750	8,860	10,860	12,860	15,000	16,980	18,280	19,580	20,880	21,980
\$175,000 - 199,999	2,720	5,920	8,210	10,320	12,600	14,900	17,200	19,180	20,480	21,780	23,080	24,180
\$200,000 - 449,999	2,970	6,470	9,060	11,480	13,780	16,080	18,380	20,360	21,660	22,960	24,250	25,360
\$450,000 and over	3,140	6,840	9,630	12,250	14,750	17,250	19,750	21,930	23,430	24,930	26,420	27,730

STATE OF ARKANSAS
Employee's Withholding Exemption Certificate



Print Full Name _____ Social Security Number _____

Print Home Address _____ City _____ State _____ Zip _____

How to Claim Your Withholding <i>See instructions below</i>		Number of Exemptions Claimed
<p>Employee: File this form with your employer. Otherwise, your employer must withhold state income tax from your wages without exemptions or dependents.</p> <p>Employer: Keep this certificate with your records.</p>	1. CHECK ONE OF THE FOLLOWING FOR EXEMPTIONS CLAIMED	
	a. <input type="checkbox"/> You claim yourself. <i>(Enter one exemption)</i> 1a	
	b. <input type="checkbox"/> You claim yourself and your spouse. <i>(Enter two exemptions)</i> 1b	
	c. <input type="checkbox"/> Head of Household, and you claim yourself. <i>(Enter two exemptions)</i> 1c	
	2. NUMBER OF CHILDREN or DEPENDENTS. <i>(Enter one exemption per dependent)</i> 2	
3. TOTAL EXEMPTIONS. <i>(Add Lines 1a, b, c, and 2)</i> If no exemptions or dependents are claimed, enter zero..... 3		
4. Additional amount, if any, you want deducted from each paycheck. <i>(Enter dollar amount)</i> 4		
5. I qualify for the low-income tax rates. <i>(See below for details)</i> 5 Please check filing status: <input type="checkbox"/> Single <input type="checkbox"/> Married Filing Jointly <input type="checkbox"/> Head of Household	<input type="checkbox"/> Yes <input type="checkbox"/> No	

I certify that the number of exemptions and dependents claimed on this certificate does not exceed the number to which I am entitled.

Signature: _____ Date: _____

Instructions

TYPES OF INCOME - This form can be used for withholding on all types of income, including pensions and annuities.

NUMBER OF EXEMPTIONS – (Husband and/or Wife) Do not claim more than the correct number of exemptions. However, if you expect to owe more income tax for the year, you may increase your withholding by claiming a smaller number of exemptions and/or dependents, or you may enter into an agreement with your employer to have additional amounts withheld. This is especially important if you have more than one employer, or if both husband and wife are employed.

DEPENDENTS – To qualify as your dependent (*line 2 of form*), a person must (a) receive more than 1/2 of their support from you for the year, (b) not be claimed as a dependent by such person's spouse, (c) be a citizen or resident of the United States, and (d) have your home as their principal residence and be a member of your household for the entire year or be related to you as follows: son, daughter, grandchild, stepson, stepdaughter, son-in-law or daughter-in-law; your father, mother, grandparent, stepfather, stepmother, father-in-law or mother-in-law; your brother, sister, stepbrother, stepsister, half-brother, half-sister, brother-in-law or sister-in-law; your uncle, aunt, nephew or niece (*but only if related by blood*).

CHANGES IN EXEMPTIONS OR DEPENDENTS – You may file a new certificate at any time if the number of exemptions or dependents INCREASES. You must file a new certificate within 10 days if the number of exemptions or dependents previously claimed by you DECREASES for any of the following reasons:

(a) Your spouse for whom you have been claiming an exemption is divorced or legally separated from you, or claims his or her own exemption on a separate certificate, or

(b) The support you provide to a dependent for whom you claimed an exemption is expected to be less than half of the total support for the year. OTHER DECREASES in exemptions or dependents, such as the death of a spouse or a dependent, does not affect your withholding until next year, but requires the filing of a new certificate by December 1 of the year in which they occur.

You may claim additional amounts of withholding tax if desired. This will apply most often when you have income other than wages.

You qualify for the low income tax rates if your **total** income from all sources is:

(a) Single	\$12,493 to \$14,900
(b) Married Filing Jointly (1 or less dependents)	\$21,068 to \$24,800
(c) Married Filing Jointly (2 or more dependents)	\$25,356 to \$30,800
(d) Head of Household/Qualifying Widow(er) (1 or less dependents)	\$17,762 to \$21,600
(e) Head of Household/Qualifying Widow(er) (2 or more dependents)	\$21,173 to \$24,800

For additional information consult your employer or write to:

Arkansas Withholding Tax Section
P. O. Box 8055
Little Rock, Arkansas 72203-8055



Department and State
U.S. Citizenship and Immigration

Form I-9
OMB No. 1615-0047
Expires 10/31/2022

▶ **START HERE: Read instructions carefully before completing this form. The instructions must be available, either in paper or electronically, during completion of this form. Employers are liable for errors in the completion of this form.**

ANTI-DISCRIMINATION NOTICE: It is illegal to discriminate against work-authorized individuals. Employers **CANNOT** specify which document(s) an employee may present to establish employment authorization and identity. The refusal to hire or continue to employ an individual because the individual presents a particular document is illegal.

Section 1. Employee Information and Attestation (Employee must complete this section before accepting a job offer.)					
Last Name (Family Name)		First Name (Given Name)		Middle Initial	Day ()
Address (Street Number and Name)		Apt. Number	City or Town		State ZIP Code
Month (/)	U.S. Social Security Number		Employment Authorization Document (EAD) Number		Employment Category

I am aware that federal law provides for imprisonment and/or fines for false statements or use of false documents in connection with the completion of this form.

I am aware that I am providing false information ()

<input type="checkbox"/> 1. A citizen of the United States	
<input type="checkbox"/> 2. A noncitizen national of the United States (See instructions)	
<input type="checkbox"/> 3. A lawful permanent resident ()	
<input type="checkbox"/> 4. An alien authorized to work until (expiration date, if applicable, mm/dd/yyyy)	
So select the appropriate N/A in the expiration date field. (See instructions)	
Aliens authorized to work must provide only one of the following document numbers to complete Form I-9:	
Employment Authorization Document (EAD) Number	Passport
OR	
Temporary Employment Authorization Document (EAD) Number	OR
OR	
Employment Authorization Document (EAD) Number	OR
Country of Issuance:	

Signature of Employee	Today's Date (mm/dd/yyyy)
-----------------------	---------------------------

Preparer and/or Translator Information (check one):

I did not use a preparer or translator. A preparer(s) and/or translator(s) assisted the employee in completing Section 1.
(Fields below must be completed and signed when preparers and/or translators assist an employee in completing Section 1.)

I attest, under penalty of perjury, that I have assisted in the completion of Section 1 of this form and that to the best of my knowledge the information is true and correct.

Signature of Preparer		Date (/)			
Last Name (Family Name)		First Name (Given Name)			
Address (Street Number and Name)		City or Town		State	Code





Department of Homeland Security
U.S. Citizenship and Immigration

Form I-9
OMB No. 1615-0047
Expires 10/31/2022

Section 2. Employer or Authorized Representative Review and Verification

(Employers or their authorized representative must complete and sign Section 2 within 3 business days of the employee's first day of employment. You must physically examine one document from List A OR a combination of one document from List B and one document from List C as listed on the "Lists of Acceptable Documents.")

Employee	Last Name (Family Name)	First Name (Given Name)	M.I.	Citizenship/Immigration Status
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List A Identity and Employment Authorization	List B Identity	List C Employment
Issuing Authority	Issuing Authority	Document Title
Expiration Date (if any) (mm/dd/yyyy)	Expiration Date (if any) (mm/dd/yyyy)	Document Number
Document Title		Expiration Date (if any) (mm/dd/yyyy)
Issuing Authority		QR Code - Sections 2 & 3 Do Not Write In This Space
Expiration Date (if any) (mm/dd/yyyy)		
Issuing Authority		
Expiration Date (if any) (mm/dd/yyyy)		

Certification: I attest, under penalty of perjury, that (1) I have examined the document(s) presented by the above-named employee, (2) the above-listed document(s) appear to be genuine and to relate to the employee named, and (3) to the best of my knowledge the employee is authorized to work in the United States.

Employee: _____ (See instructions for exemptions)

Signature of Employer or Authorized Representative	Today's Date (mm/dd/yyyy)	Title of Employer or Authorized Representative	
Last Name of Employer or Authorized Representative	First Name of Employer or Authorized Representative	Employer's Business or Organization Name	
Employer's Business or Organization Address (Street Number and Name)		City or Town	State

Section 3. Verification (Complete if employee is re-hiring or authorized representative.)

A. New Name (if applicable)		B. Date of Rehire (if applicable)	
Last Name (Family Name)	First Name (Given Name)	Date (mm/dd/yyyy)	

C. If the employee's previous grant of employment authorization has expired, please indicate the date of expiration and the date of rehire in the space provided below.

Expiration Date (mm/dd/yyyy)	Rehire Date (mm/dd/yyyy)
------------------------------	--------------------------

I attest, under penalty of perjury, that to the best of my knowledge, this employee is authorized to work in the United States, and if the employee presented document(s), the document(s) I have examined appear to be genuine and to relate to the individual.

Signature of Employer or Authorized Representative	Date (mm/dd/yyyy)	Name of Employer or Authorized Representative
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LISTS OF ACCEPTABLE DOCUMENTS

All documents must be UNEXPIRED

Employees may present one selection from List A
or a combination of one selection from List B and one selection from List C.

LIST A Documents that Establish Both Identity and Employment Authorization	OR	LIST B Documents that Establish Identity	AND	List C Documents that Establish Employment
<p>1. U.S. Passport or U.S. Passport Card</p> <p>Permanent Resident Card or Alien Registration Receipt Card (Form I-551)</p> <p>3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 stamp</p> <p>4. Employment Authorization Document that contains a photograph (Form I-766)</p> <p>5. For a nonimmigrant alien authorized to work for a specific employer because of the following: (1) Temporary Employment Authorization Document (2) An endorsement of the alien's nonimmigrant status as long as that period of endorsement not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form.</p> <p>Passport from the Federated State of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the appropriate category</p>	OR	<p>1. Driver's license or ID card issued by a State or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address</p> <p>2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address</p> <p>3. School card with a photograph</p> <p>5. U.S. Military card or draft record</p> <p>6. Military dependent's ID card</p> <p>7. U.S. Coast Guard Merchant Mariner Card</p> <p>8. Native American tribal document</p> <p>Driver's license issued by government authority</p> <p>For persons under age 18 who are unable to present a document listed above:</p> <p>11. Clinic, doctor, or hospital record</p> <p>Day-care or nursery school record</p>	AND	<p>1. A Social Security Account Number card, unless the card includes one of the following restrictions: (1) (2) VALID FOR WORK ON INS AUTHORIZATION (3) VALID FOR WORK ONLY DHS AUTHORIZATION</p> <p>Certification of report of birth issued by the Department of State (Forms DS-1350, FS-545, FS-240)</p> <p>3. Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory</p> <p>4. Native American tribal document</p> <p>Identification Card for Use of Resident Citizen in the United States (Form I-179)</p> <p>7. Employment authorization document issued by the appropriate authority</p>

mp ny app Employment s (4)

refer to the instructions for more information about acceptable receipts

If your employee presents to you a document from **LIST A**, complete Section 2, List A.

Below is an example of someone who has presented a Passport document.

List A Identity and Employment Authorization	OR	List B Identity	AND	List C Employment Authorization
Document Title: U.S. Passport		Document Title:		Document Title:
Issuing Authority: U.S Department of State		Issuing Authority:		Issuing Authority:
Document Number: 340007237		Document Number:		Document Number:
Expiration Date (if any)(mm/dd/yyyy): 08/07/2016		Expiration Date (if any)(mm/dd/yyyy):		Expiration Date (if any)(mm/dd/yyyy):

If your employee presents to you a document from **LIST B** and a document from **LIST C**, complete Section 2, List B AND List C accordingly.

Below is an example of someone who has presented a Drivers License and Social Security Card.

List A Identity and Employment Authorization	OR	List B Identity	AND	List C Employment Authorization
Document Title:		Document Title: Driver's License		Document Title: Social Security Card
Issuing Authority:		Issuing Authority: State of Michigan		Issuing Authority: Social Security Administration
Document Number:		Document Number: A 123 456 789 123		Document Number: 123-45-6789
Expiration Date (if any)(mm/dd/yyyy):		Expiration Date (if any)(mm/dd/yyyy): 1/1/2014		Expiration Date (if any)(mm/dd/yyyy):

Easy and Convenient

Welcome to the GT Portal for Caregivers

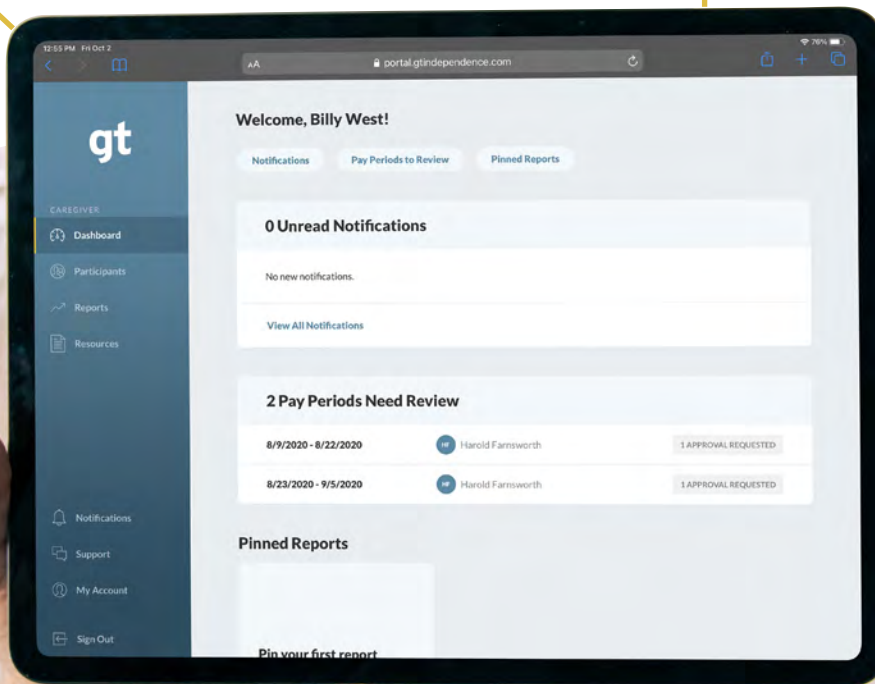
Essential features that make providing self-directed services easier.

Manage Your Time

Review your time entries from the Caregiver app or portal, and check on approval and payment status of all your hours worked

View Your Pay Information

Easily view, download, and print your paystubs and W2s for all the participants you serve



Access Resources and Training

Quickly access the forms, guides, training, and other information that you need



Log in to the GT Portal today and explore the helpful tools



Notifications

Stay informed with notifications from GT or your agency



Account Management

Update your email address, phone number, and other account information



Language Support

Available for use in English and Spanish

portal.gtindependence.com

Get the Support You Need

Need help logging in or exploring the features of the portal? Our knowledgeable and friendly customer service team is available to help.

Contact Customer Service

1.877.659.4500
customerservice@gtindependence.com



Tell Us About Your Experience

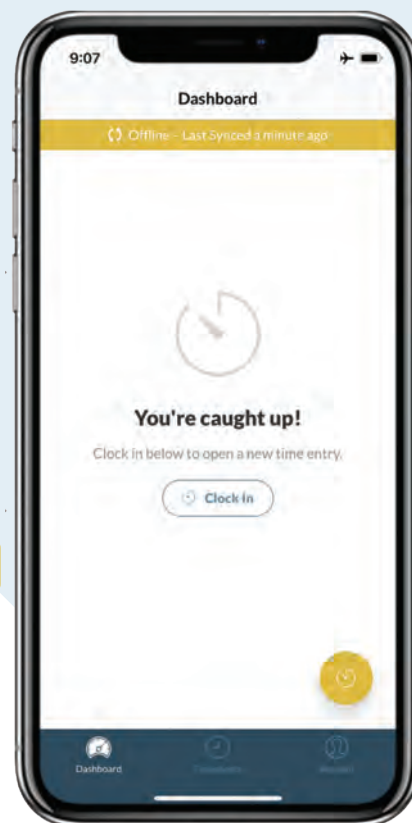
The GT Portal was built based on valuable insights and feedback from people like you. We are committed to making your experience the best it can be and creating features that make your life easier.

To submit feature requests, make a suggestion, or just tell us something you love about the portal, please email feedback@gtindependence.com.

Track Your Time On-the-Go With the Caregiver App

Caregiver by GT Independence lets you log your care hours, get approval from your employer, and turn in timesheets for payment. And you can do it all from the palm of your hand.

Designed for your phone or tablet, the free app is an easy way to track your time.



Track Your Hours

Keep track of your care hours anytime, anywhere

Get Fast Approval

Your employer can review and approve your hours right on your device

Download for Free

The app is free on the App Store and Google Play for iOS and Android

How to Get Started

- 1 Download the Caregiver app from the App Store or Google Play.
- 2 Create your account on the app (or log in with your GT Portal username and password).
- 3 Follow prompts in-app to set up a security pin and notifications.
- 4 Clock in or out to start your timesheet.

Get Support

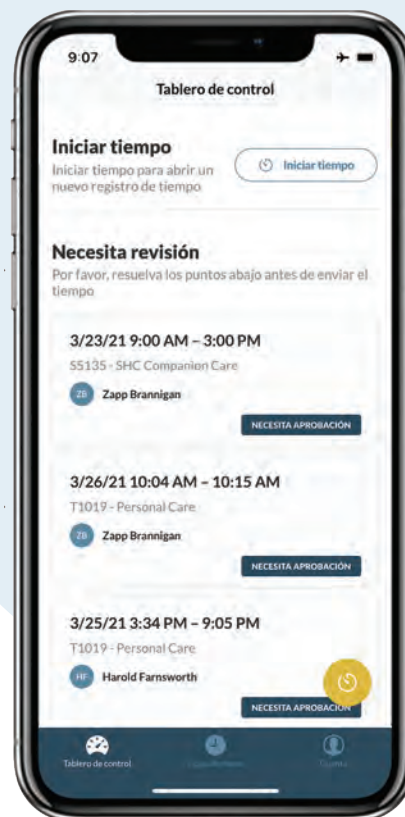
gtindependence.com/contact-us
customerservice@gtindependence.com
 877.659.4500



Registre su tiempo en activo con la aplicación Caregiver

La aplicación Caregiver de GT Independence permite registrar sus horas de atención, obtener la aprobación de su empleador y entregar las hojas de asistencia para el pago. Y se puede hacer todo esto desde la palma de su mano.

Diseñada para su teléfono o tableta, la aplicación gratis es una forma sencilla de registrar su tiempo.



Registre sus horas

Controle sus horas de atención a cualquier hora y lugar

Aprobación rápida

Su empleador puede revisar y aprobar sus horas directamente en su dispositivo

Descárguela gratis

La aplicación es gratis en la App Store y en Google Play para iOS y Android

Cómo empezar

- 1 Descargue la aplicación Caregiver desde la App Store o en Google Play.
- 2 Crea su cuenta en la aplicación (o inicie sesión con su nombre de usuario y contraseña del portal de GT).
- 3 Siga las indicaciones de la aplicación para configurar un pin de seguridad y las notificaciones.
- 4 Registre su hora de entrada o salida para iniciar su hoja de asistencia.

Obtenga ayuda

gtindependence.com/contact-us
customerservice@gtindependence.com
 877.659.4500




Division of Medical Services Medicaid Provider Enrollment Unit

Gainwell Technologies

P.O. Box 8105, Little Rock, AR 72203-8105

P: (501) 376-2211 WATS: (800) 457-4454 F: (501) 374-0746

PRACTITIONER IDENTIFICATION NUMBER REQUEST FORM

Please select one of the following:

Physician Assistant NV (Include a W9 for the Individual)

Resident NU

Non-Independent Licensed Clinician NW (Include license)

QBHP NT

Certified Behavioral Analyst Paraprofessional BP

Community Support Staff CS

Certified Peer Recovery Support Specialist BH/SU RS

Personal Care Aide NT

Pharmacist RX (Include license)

 Practitioner Name _____
 (Please print)

NPI/Taxonomy Code _____

Social Security Number _____ Date of Birth _____

Physical Work Address

 City State ZIP+4

 County Phone Number (Include area code)

Mail to Address _____

 City State ZIP+4

 Phone Number (Include area code)

Individual Email Address _____

 Residents Only _____
 Place of Residency Effective Date of Residency

By signing, the applicant authorizes the Arkansas Department of Human Services to conduct a State and Federal background check. Results from the background check will determine the provider enrollment status with Arkansas Medicaid.

Practitioner's Signature Date

***Upload**, Mail or Fax this completed form to:

Medicaid Provider Enrollment Unit

Gainwell Technologies

P.O. Box 8105

Little Rock, AR 72203-8105

Fax Number: (501) 374-0746

* To electronically sign this form for upload: enter required information, save the file, open using Acrobat Reader (desktop application instead of the browser window) to access the digital signature field.

GT Independence

H. [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED] [REDACTED]
[REDACTED]

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GT Independence
Disaster Recovery
and
Emergency Preparedness Plan

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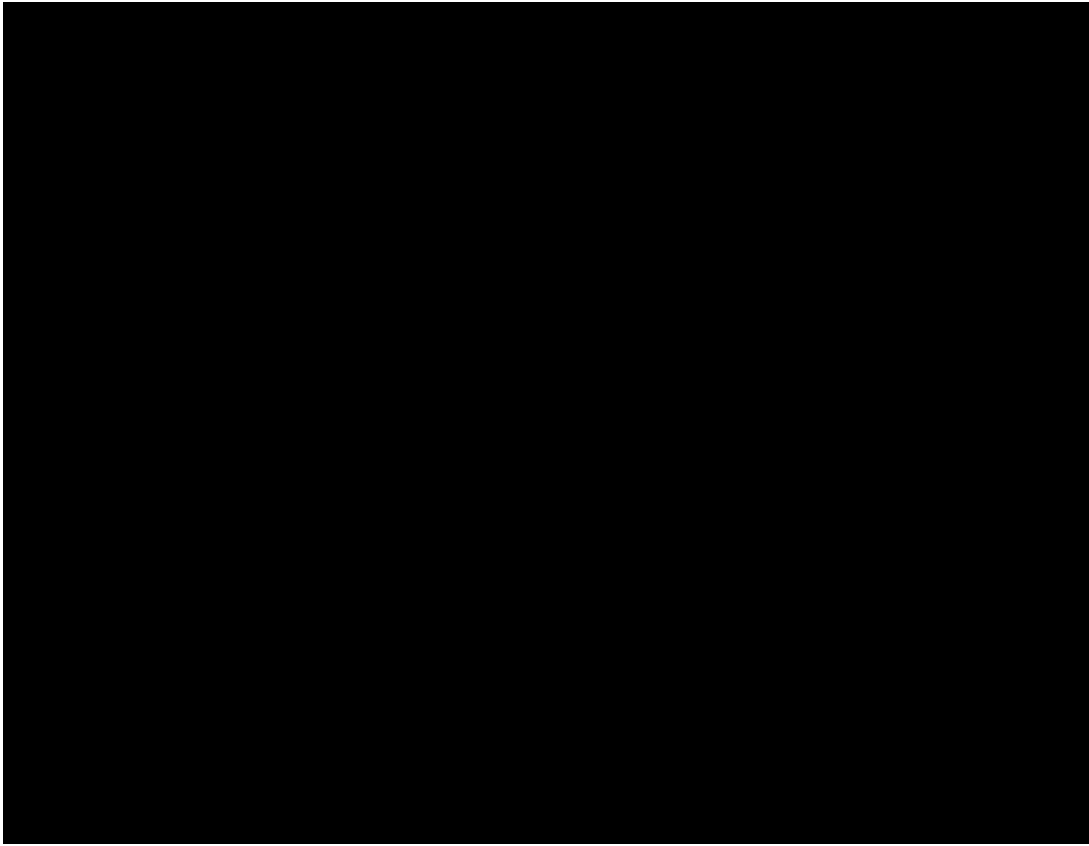
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INDEPENDENCE Manager or above, or law enforcement representative duly authorized by the court.

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GT Independence

FISCAL INTERMEDIARY SERVICES – Chapter 6
PROCESSING TAX FILINGS - Subject 24
Page 7 of 7

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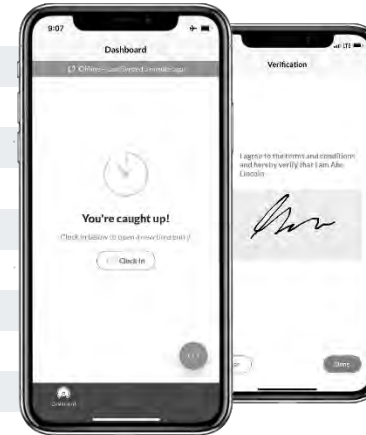
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GT Independence

2022 Payroll Schedule A

Pay Period	Due by 5 PM	Payment Date
Dec. 16 – Dec. 31, 2021	Sunday, January 2, 2022	Thursday, January 13, 2022
Jan. 1 – Jan. 15, 2022	Monday, January 17, 2022	Friday, January 28, 2022
Jan. 16 – Jan. 31, 2022	Wednesday, February 2, 2022	Friday, February 11, 2022
Feb. 1 – Feb. 15, 2022	Thursday, February 17, 2022	Monday, February 28, 2022
Feb. 16 – Feb. 28, 2022	Wednesday, March 2, 2022	Friday, March 11, 2022
Mar. 1 – Mar. 15, 2022	Thursday, March 17, 2022	Monday, March 28, 2022
Mar. 16 – Mar. 31, 2022	Saturday, April 2, 2022	Wednesday, April 13, 2022
Apr. 1 – Apr. 15, 2022	Sunday, April 17, 2022	Thursday, April 28, 2022
Apr. 16 – Apr. 30, 2022	Monday, May 2, 2022	Friday, May 13, 2022
May 1 – May 15, 2022	Tuesday, May 17, 2022	Friday, May 27, 2022
May 16 – May 31, 2022	Thursday, June 2, 2022	Monday, June 13, 2022
Jun. 1 – Jun. 15, 2022	Friday, June 17, 2022	Tuesday, June 28, 2022
Jun. 16 – Jun. 30, 2022	Saturday, July 2, 2022	Wednesday, July 13, 2022
Jul. 1 – Jul. 15, 2022	Sunday, July 17, 2022	Thursday, July 28, 2022
Jul. 16 – Jul. 31, 2022	Tuesday, August 2, 2022	Friday, August 12, 2022
Aug. 1 – Aug. 15, 2022	Wednesday, August 17, 2022	Friday, August 26, 2022
Aug. 16 – Aug. 31, 2022	Friday, September 2, 2022	Tuesday, September 13, 2022
Sep. 1 – Sep. 15, 2022	Saturday, September 17, 2022	Wednesday, September 28, 2022
Sep. 16 – Sep. 30, 2022	Sunday, October 2, 2022	Thursday, October 13, 2022
Oct. 1 – Oct. 15, 2022	Monday, October 17, 2022	Friday, October 28, 2022
Oct. 16 – Oct. 31, 2022	Wednesday, November 2, 2022	Thursday, November 10, 2022
Nov. 1 – Nov. 15, 2022	Thursday, November 17, 2022	Monday, November 28, 2022
Nov. 16 – Nov. 30, 2022	Friday, December 2, 2022	Tuesday, December 13, 2022
Dec. 1 – Dec. 15, 2022	Saturday, December 17, 2022	Wednesday, December 28, 2022
Dec. 16 – Dec. 31, 2022	Monday, January 2, 2023	Friday, January 13, 2023



Get the Caregiver App

Caregiver by GT Independence lets you easily log your hours, receive approval from your employer, and submit your timesheet for payment right from your phone or tablet.

Download the app today.



Want to learn more?

Contact our customer service team at
1.877.659.4500

GT Office Closures

Friday, December 31, 2021
Monday, May 30, 2022
Monday, July 4, 2022
Monday, September 5, 2022
Thursday, November 24, 2022
Friday, November 25, 2022
Friday, December 23, 2022
Monday, December 26, 2022
Monday, January 2, 2023

A workweek is Sunday through Saturday.

← **View Submission Guidelines on the back**



GT Independence

2022 Payroll Schedule A

Timesheet Submission Guidelines

Did you send your time in on time?

You do not have to wait for the due date to send in your time worked. We accept submissions 24 hours a day, 7 days a week and on holidays. Refer to the payroll schedule to assure you are submitting your timesheet on time.

Time cannot be submitted before all of the hours are worked. Late time will be paid on the following pay period and are subject to denial due to timely filing deadlines.

Have you included all of the time worked for this payroll period?

Did you work all of the hours you submitted?

It is fraudulent to report hours you did not work. You cannot report hours while the member you are providing services for is hospitalized or in a medical facility (i.e. hospital, nursing home, rehab).

Did you include the correct service code for each day worked?

If you are unsure about which service code you should be using, please speak with your Employer or contact Customer Service at 1.877.659.4500.

Did you make sure not to use white out?

If you make an error on a paper timesheet, you should correct it by drawing a single line through it. Both the employer and employee should date and initial the correction.

Did you fully complete each section of the timesheet?

You may not draw lines, arrows, or use ditto marks to complete sections of a paper timesheet. Each section must be completed even if the information is the same.

If you needed to resubmit a paper timesheet, did you write "REFAX" at the top?

If your submission requires a refax or resubmission your payment will be delayed.

Did you report more hours than authorized?

Your payment may be delayed if you report more hours than you were approved to provide.

If you have any questions, please contact Customer Service

1.877.659.4500

customerservice@gtindependence.com

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HEALTH & SAFETY– Chapter 3
Incident Reporting - Subject 21
Page 1 of 7

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HEALTH & SAFETY– Chapter 3
Incident Reporting - Subject 21
Page 2 of 7

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HEALTH & SAFETY– Chapter 3
Incident Reporting - Subject 21
Page 4 of 7

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HEALTH & SAFETY– Chapter 3
Incident Reporting - Subject 21
Page 7 of 7

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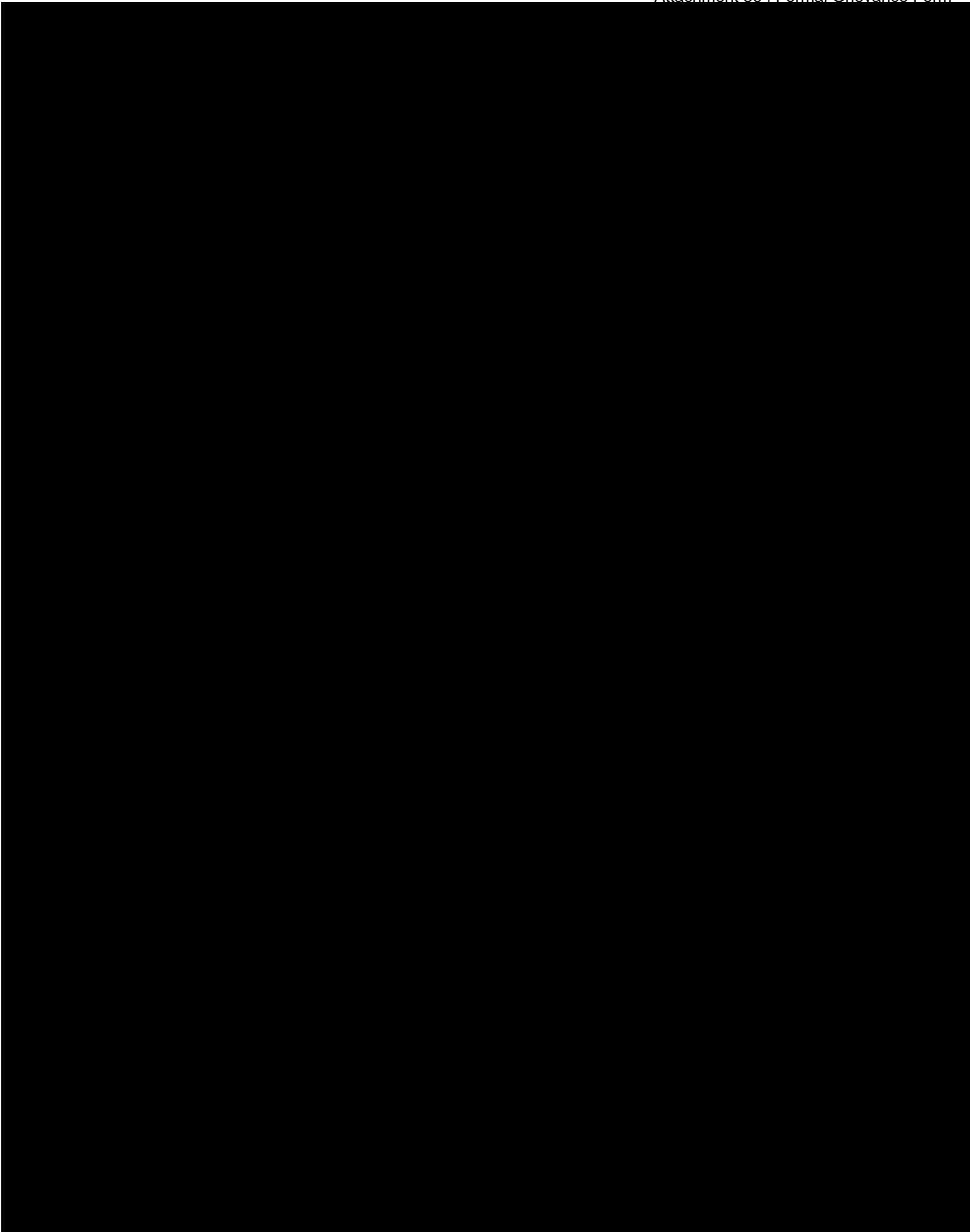


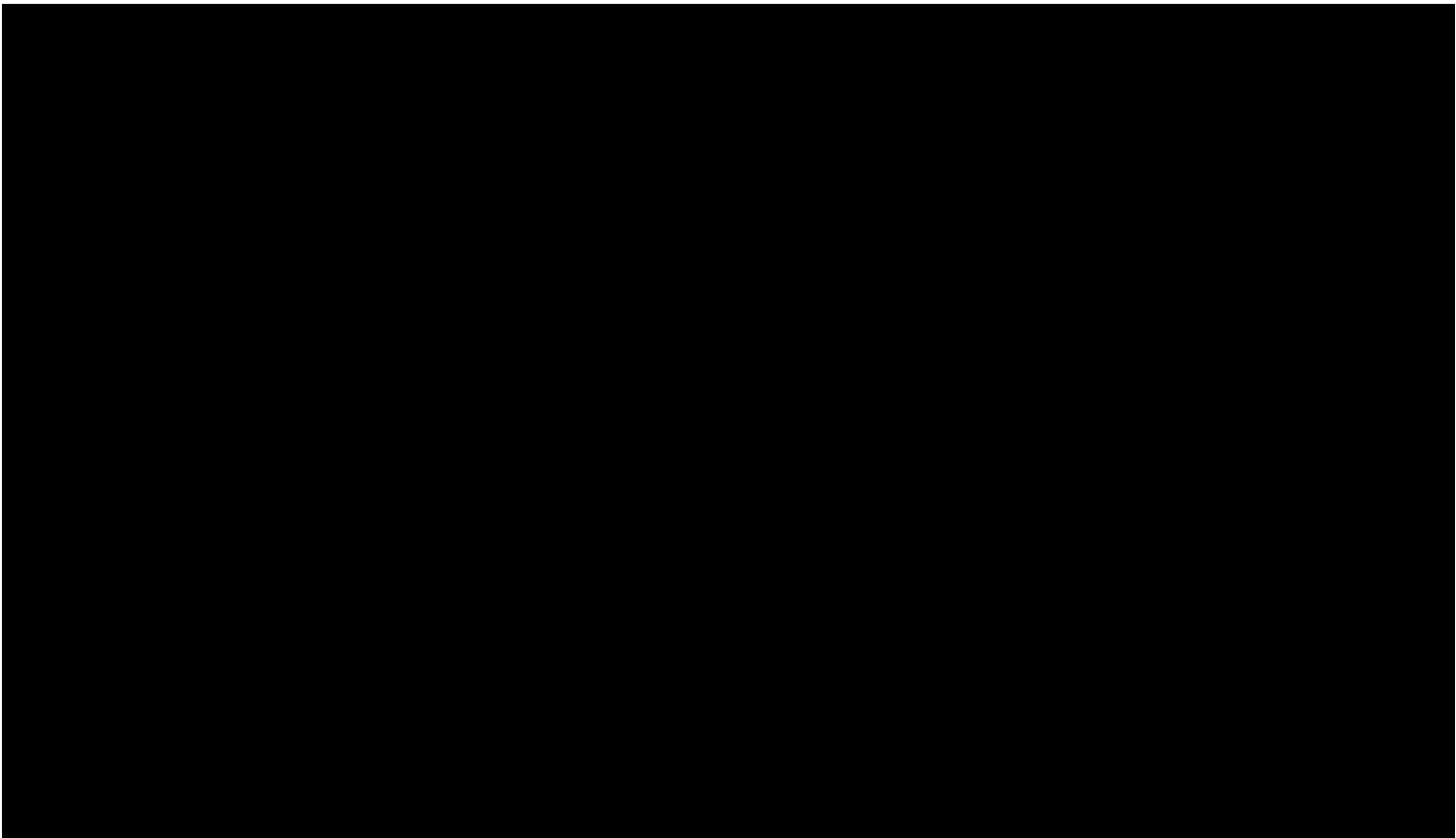
GT Independence Formal Grievance Form

GT Independence is committed to providing the best customer service. Before filing a Grievance, we urge you to talk with those involved to try and quickly resolve the matter.

Instructions: If you feel an issue has not been properly resolved, you (or someone on your behalf) can use this form to file a Grievance. The Grievance will be investigated. Keep a copy for your records and send the original to the GT Independence at 215 Broadus St, Sturgis, MI 49091. You can also e-mail your form to compliance@gtindependence.com or fax (888) 972-3891. We will let you know that we received your form within five business days. You may be contacted for more information. You will receive a results summary within ten business days. You will have an option to appeal if you do not agree.

Name:	Person Completing Form (if other than complainant):
Address:	Person Completing Form's Relationship to Participant:
Phone Number:	Person Completing Form Phone Number:
Complainant Relationship to GT Independence, check one:	
<input type="checkbox"/> Participant/Person Receiving Services <input type="checkbox"/> Employee <input type="checkbox"/> Representative/Guardian <input type="checkbox"/> Agency Employee <input type="checkbox"/> Other: _____	
Where and when did the issue occur?	
Describe what happened:	
What has been done to resolve your concerns?	
What would you like to have happen to correct the situation?	
Signature:	Date:
OFFICE USE ONLY: Received By: _____ Date: _____ Date Verification Receipt Sent: _____ (Must be within 5 business days) Summary Report Completed By: _____ Date Sent to Client: _____ (Must be within 10 business days) Appeal Received By: _____ Date: _____ Date Verification Receipt Sent: _____ (Must be within 5 business days) Summary Report Completed By: _____ Date Sent to Client: _____ (Must be within 30 calendar days)	





GT Independence

GENERAL POLICIES – Chapter 1
Fraud Prevention Program - Subject 13
Page 3 of 4

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GENERAL POLICIES – Chapter 1
Fraud Prevention Program - Subject 13
Page 4 of 4

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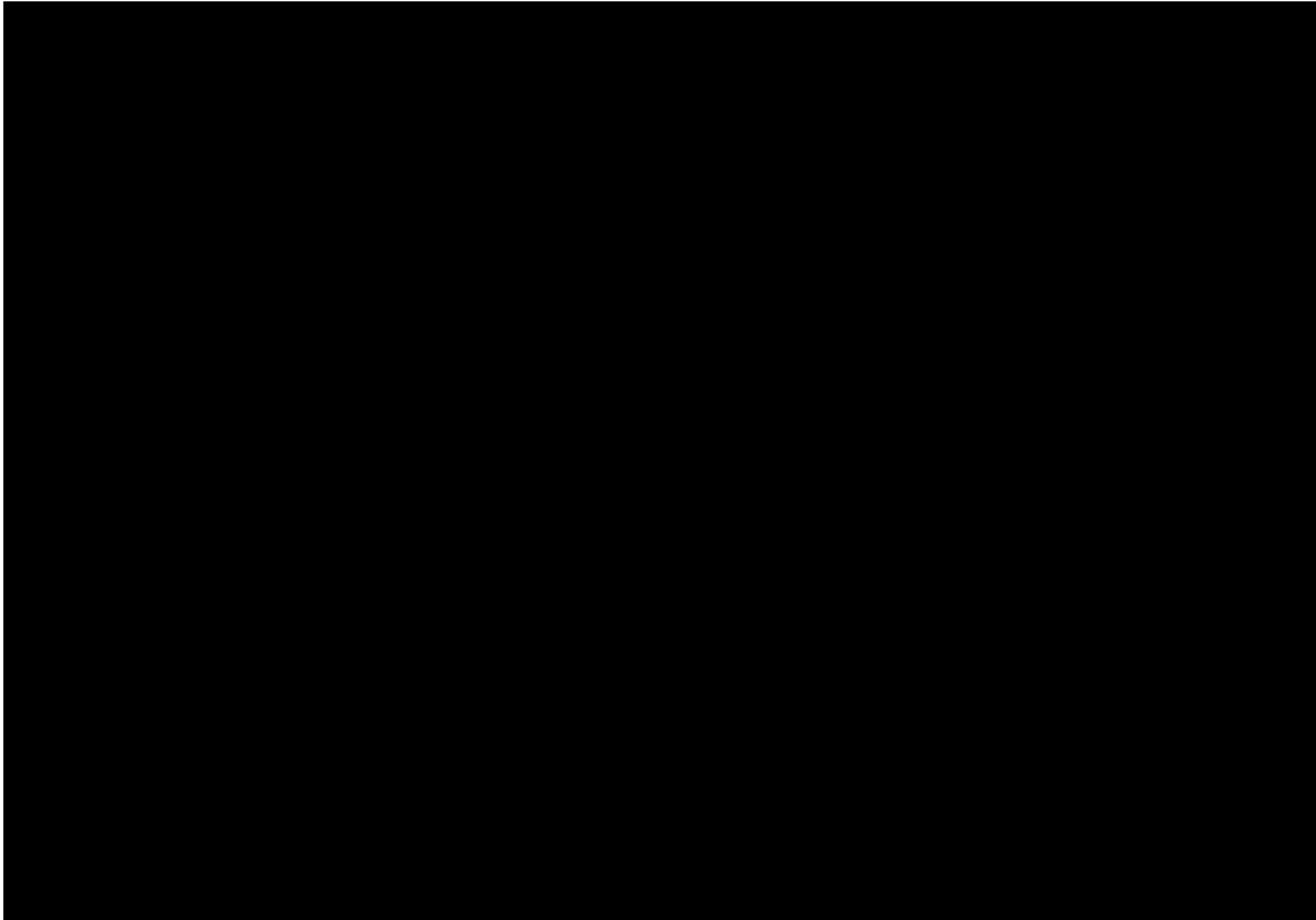
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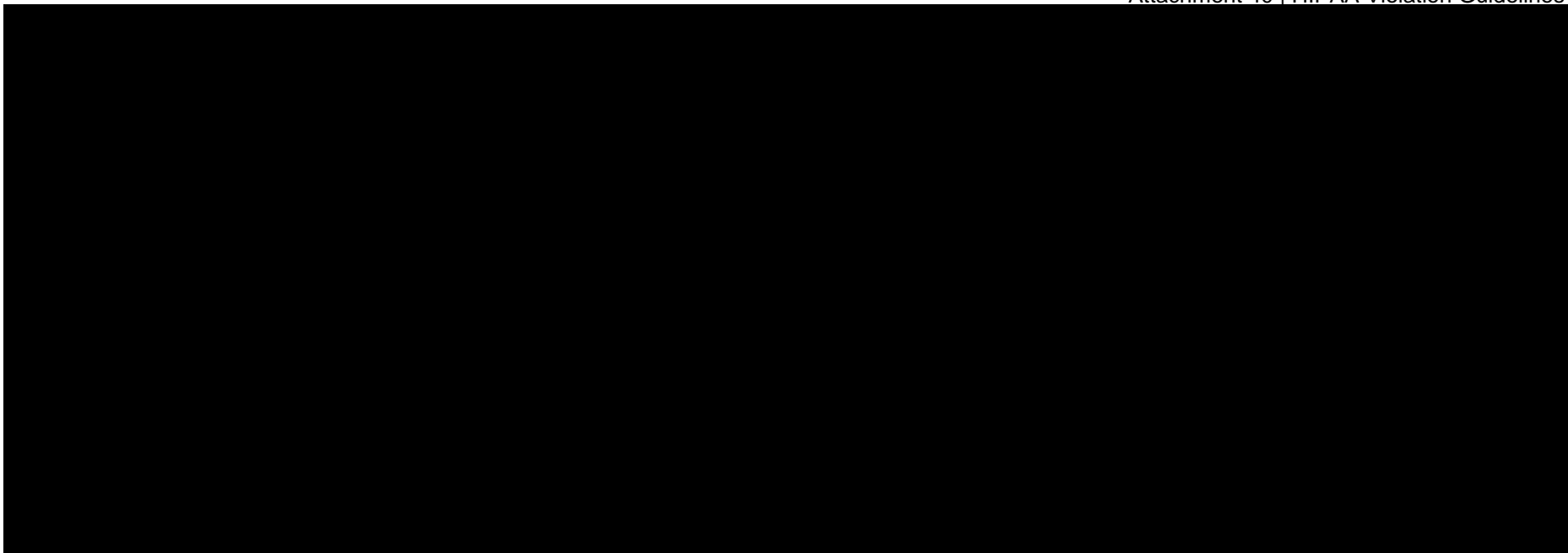
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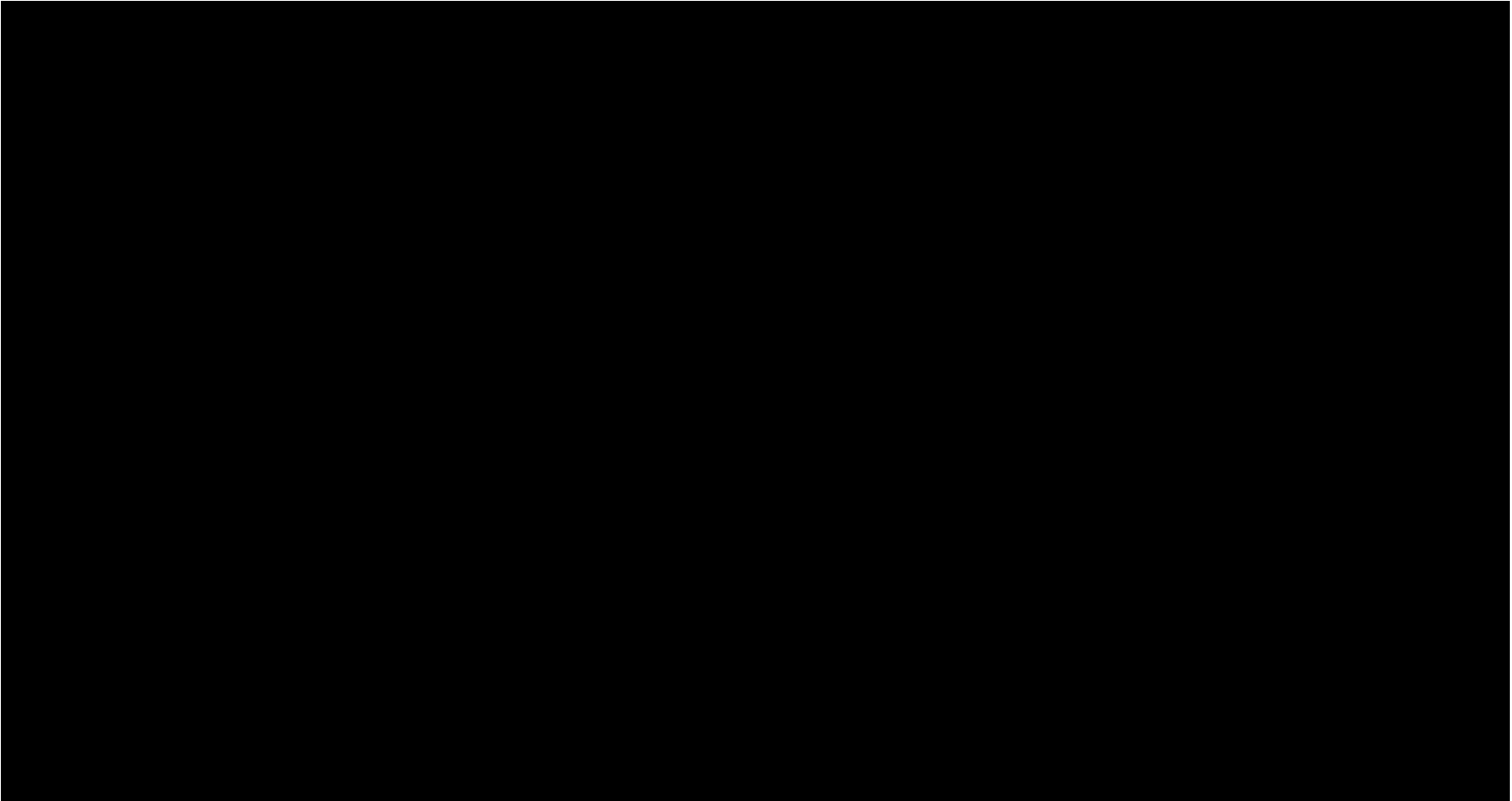
HIPAA Violation Guidelines Matrix





HIPAA Violation Guidelines Matrix

GT Independence





CARF International Headquarters
6951 E. Southpoint Road
Tucson, AZ 85756-9407, USA

www.carf.org



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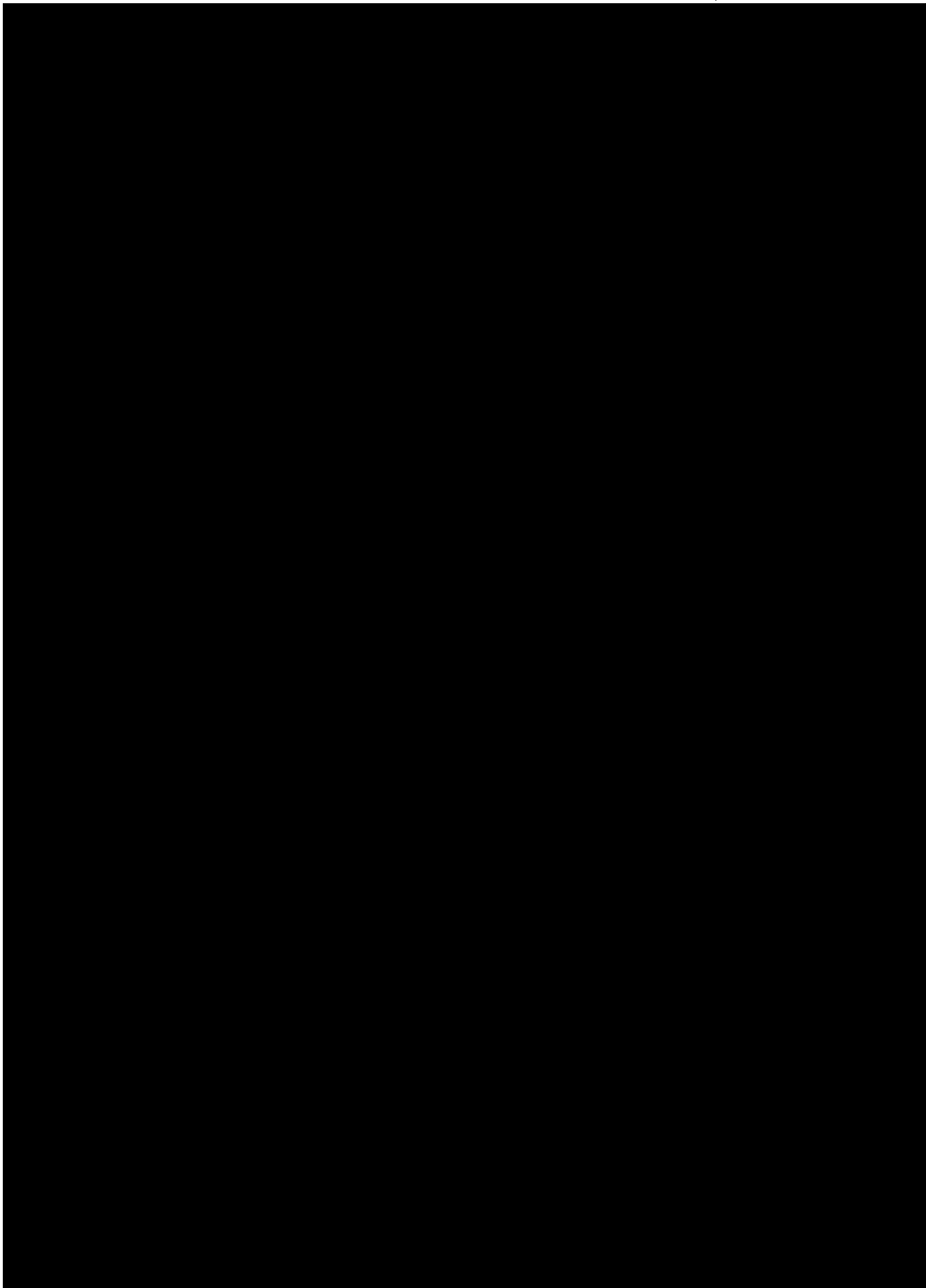
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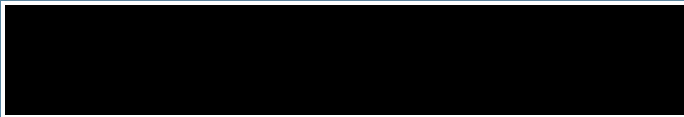


Holly Carmichael
Chief Executive Officer



Michael Murray
Chief Relationship Officer

Contact



gtindependence.com