



Self-Directed Financial Management and
Counseling Services Proposal
Technical Proposal Packet

TECHNICAL RESPONSE PACKET
710-22-0018

Technical Response Packet

Content Outline

Proposal Signature Page.

All *Agreement and Compliance Pages*.

Signed Addenda, if applicable.

1. Addenda 1
2. Addenda 2
3. Addenda 3

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

Equal Opportunity Policy.

Proposed Subcontractors Form.

Other documents and/or information as may be expressly required in this *Bid Solicitation*.
Label documents and/or information so as to reference the Bid Solicitation's item number.

1. AR Business License page 15, Section 2.3 A

Technical Proposal response to the *Information for Evaluation* section of the *Technical Proposal Packet*.



Proposal Signature Page

RESPONSE SIGNATURE PAGE

Type or Print the following information.

PROSPECTIVE CONTRACTOR'S INFORMATION					
Company:	Public Partnerships LLC				
Address:	40 Broad Street 4th Floor				
City:	Boston	State:	MA	Zip Code:	02109
Business Designation:	<input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Public Service Corp <input type="checkbox"/> Partnership <input checked="" 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					
<i>Provide contact information to be used for solicitation related matters.</i>					
Contact Person:	Rich Albertoni	Title:	Chief Officer of Business Development		
Phone:	(608) 345-2469	Alternate Phone:	N/A		
Email:	ralbertoni@pcgus.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: John Shaughnessy Title: President

Printed/Typed Name: John Shaughnessy Date: 5-17-2022



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.

Public Partnerships LLC is not making any requests for exceptions.

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

Authorized Signature: John Shaughnessy
Use Ink Only.

Printed/Typed Name: John Shaughnessy Date: 5-17-2022

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: _86-3069464_*

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

Authorized Signature: *John Shaughnessy*
Use Ink Only.

Printed/Typed Name: John Shaughnessy Date: 5-17-2022



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.

John Shaughnessy

Vendor Signature

5-17-2022

Date

Public Partnerships LLC

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.

John Shaughnessy
Vendor Signature

5-19-2022
Date

Public Partnerships LLC
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 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

5-31-2022
Date

Public Partnerships LLC

Company



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

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: **Goods? Services? Both?**

TAXPAYER ID NAME: _____

YOUR LAST NAME: _____ FIRST NAME _____ M.I.: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____ COUNTRY: _____

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

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 John Shaughnessy Title _____ Date _____

Vendor Contact Person _____ Title _____ Phone No. _____

Agency use only

Agency Number _____ Agency Name _____ Agency Contact Person _____ Contact Phone No. _____ Contract or Grant No. _____



Equal Opportunity Policy

Equal Employment Opportunity and Affirmative Action Statement

At Public Partnerships LLC, we are committed to creating solutions that matter for the communities we serve. We strive to create a workforce that reflects those communities and to build an inclusive culture that encourages, supports, and celebrates the diverse backgrounds of our employees. Our success derives from the combination of what we have in common, such as our shared values, vision, and purpose, as well as our differences in perspectives and life experiences. PPL celebrates these differences and believes that diversity drives innovation. The more we can embrace differences within PPL, the better we can serve our diverse clients, and the world in which we live, both now and in the future.

PPL is an Equal Opportunity Employer dedicated to celebrating diversity and intentionally creating a culture of inclusion. We believe that we work best when our employees feel empowered and accepted, and that starts by honoring each of our unique life experiences.

In keeping with this policy and in compliance with federal law, including, but not limited to the provisions of Title VII of the Civil Rights Act of 1964, Section 503 and 504 of the Rehabilitation Act of 1973, and the American's with Disabilities Act of 1990, all aspects of employment regarding recruitment, hiring, training, promotion, compensation, benefits, transfers, layoffs, return from layoff, company-sponsored training, education, and social and recreational programs are based on merit, business needs, job requirements, and individual qualifications. We do not discriminate on the basis of race, color, religion or belief, national, social, or ethnic origin, sex, gender identity and/or expression, age, physical, mental, or sensory disability, sexual orientation, marital, civil union, or domestic partnership status, past or present military service, citizenship status, family medical history or genetic information, family or parental status, or any other status protected under federal, state, or local law. PPL will not tolerate discrimination or harassment based on any of these characteristics. PPL believes in health, equality, and prosperity for everyone so we can succeed in changing the ways the public sector, including health, education, technology and human services industries, work.

PPL is also committed to fully utilizing and treating equally all minority groups, women, veterans, and disabled individuals by following an affirmative action policy and plan. The goals of this affirmative action policy and plan are to eliminate institutional barriers in employment that tend to perpetuate the status quo and to eliminate the effects of any past discriminations. In effectuating this affirmative action policy and the policy of equal employment opportunity, I am requesting all staff to cooperate with our Equal Employment Opportunity/Affirmative Action (EEO/AA) Executive Vice President, Human Capital Management in working toward and achieving these goals.

Public Partnerships LLC posts notices setting forth the provisions of this equal employment opportunity policy in conspicuous places, available to current employees and applicants for employment. The firm's equal opportunity and affirmative action commitment is also posted in all recruitment advertising.

Any questionable discriminatory actions relating to any protected status should be reported immediately to John Shaughnessy, President, or to the designated Executive Vice President, Human Capital Management, at 40 Broad Street, 4th Floor, Boston, Massachusetts, 02190.



John Shaughnessy, President
Public Partnerships LLC



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
Arkansas Foundation for Medical Care	1020 West 4th Street, Suite 400	Little Rock, AR. 72201

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

Signature Acknowledgement:



John Shaughnessy, President
Public Partnerships LLC



Other documents and/or information



Search Incorporations, Cooperatives, Banks and Insurance Companies

This is only a preliminary search and no guarantee that a name is available for initial filing until a confirmation has been received from the Secretary of State after filing has been processed. Please review our [NAME AVAILABILITY GUIDELINES HERE](#) prior to searching for a new entity name.

[Printer Friendly Version](#)

LLC Member information is now confidential per Act 865 of 2007

Use your browser's back button to return to the Search Results

[Begin New Search](#)

For service of process contact the [Secretary of State's office](#).

Corporation Name	PUBLIC PARTNERSHIPS LLC
Fictitious Names	
Filing #	811296432
Filing Type	Foreign Limited Liability Company
Filed under Act	Foreign LLC; 1003 of 1993
Status	Good Standing
Principal Address	
Reg. Agent	C T CORPORATION SYSTEM
Agent Address	124 WEST CAPITOL AVENUE, SUITE 1900 LITTLE ROCK, AR 72201
Date Filed	03/19/2021
Officers	JOHN J. SHAUGHNESSY , Manager T MCLEAN . BROWN , Manager WILLIAM S. . MOSAKOWSKI , Manager DANIEL T. . HEANEY , Manager JOHN J. SHAUGHNESSY , Incorporator/Organizer

Foreign Name

PUBLIC PARTNERSHIPS, LLC

Foreign Address

40 BROAD STREET, 4TH FLOOR
BOSTON, MA 2109

State of Origin

DE

[Purchase a Certificate of Good Standing for this Entity](#)

[Pay Franchise Tax for this corporation](#)



Technical Proposal Response

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INFORMATION FOR EVALUATION

Provide a response to each item/question in this section. Prospective Contractor may expand the space under each item/question to provide a complete response.

Do not include additional information if not pertinent to the itemized request.

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.


A note to the evaluator: The solicitation references an MOU in Section 2.5.5 between the contractor and a banking institution to meet the non-interest-bearing deposit requirements of Medicaid funds. We have provided a sample MOU related to that requirement.


Additionally, since this question references requirements noted in Sections 2.5.2 and 2.5.3, below we describe our plan for transitioning from the current vendor (2.5.2) and for addressing organization and management requirements (2.5.3)


“Part of what makes this whole thing with self-direction cool - it gives you the choice to run things the way you see fit.” -- PPL Participant


For all of us at Public Partnerships | PPL, the most satisfying result of our work is when the participants we serve talk about the meaningful difference self-direction make in their lives. It’s an outcome that keeps driving us to innovate our fiscal intermediary services, to make them easy for participants and workers alike. It’s something we are doing in 21 states today and that we look forward to doing in Arkansas.

We’re pleased to be submitting this response to Solicitation 710-22-0018 and are enthusiastic about the features of the solution we are proposing, which includes:

-  The most advanced self-direction enterprise portal in the nation, PPL MyAccount

-  A fully integrated EVV solution customized for self-direction that is being used in 13 states today

-  Integrated, end-to-end business processes, from referral intake to claiming and reporting

-  Experience with budget counseling at scale in three other state self-direction models

- A strong Arkansas presence to provide personalized support for enrollment in partnership with our proposed subcontractor, Arkansas Foundation for Medical Care (AFMC)

- A payroll and tax staff that will build on our national team of accountants and finance professionals already processing more than \$3 billion in self-directed payroll annually

- A multi-lingual, customer service center building on an infrastructure serving 21 states today

- The organizational size, strength and solvency to serve large programs at scale

PPL's Approach and Value to Arkansas

PPL offers the most advanced self-direction enterprise-system in the nation, MyAccount. MyAccount provides a streamlined business process flow, inclusive of enrollment, budget management, EVV, payroll, claims and reporting. All features are fully integrated, eliminating the need for data imports and exports that can cause mismatches and errors. For employers and employees, MyAccount provides a modern user interface, self-service features, improved enrollment processes and electronic conveniences.

Additional features of MyAccount include an automated methodology for management of individual budgets that will greatly modernized and enhance Arkansas' current processes. MyAccount links claiming and authorizations to assure accurate management of individual budgets.

The MyAccount platform provides a dashboard for each participant. Here, they will be able to see their authorized services and utilization progress. The user interface is colorful and friendly so that the participant is encouraged to access their budget utilization real time rather than waiting for a monthly report. With MyAccount, employees can find pay statements and W-2s online, employers can e-sign enrollment documents that have been prepopulated with key information. It is available 24/7.

PPL is excited to offer Arkansas our proprietary EVV solution being used today in 13 states and 18 self-directed programs. As both the *EVV vendor* and Fiscal Intermediary Services (FI) provider, PPL can offer a fully integrated, *one-stop-shop* user experience. This full integration of EVV with the rest of our fiscal intermediary software solution is an enormous benefit to both users and program administrators. It truly sets PPL's EVV solution apart from our competitors.

Our EVV mobile application, Time4Care, works seamlessly with our web-based platform, MyAccount, used for enrollment and budget management. Both systems also link to our backend financial management software to establish enterprise-wide integration.

PPL understands that the best self-direction solutions bring both modern technology and personalized, in-person support. Therefore, we propose to subcontract with the Arkansas Foundation for Medical Care (AFMC) to support enrollment and other high-touch services in person as needed. Together with AFMC and PPL's own Suzanne Crisp, the Arkansan who helped start IndependentChoices as a state employee more than two decades ago, our solution is grounded in Arkansans working to help Arkansans.

Working as a team, PPL and AFMC offer Arkansas the most advanced and streamlined self-direction financial management tools while keeping the human touch and personalized services front and center in communities throughout the State.

PPL strongly believe that self-direction promotes healthy, secure, and thriving individuals who meaningfully participate as valued members of their community. That's why we're committed to growing self-direction in Arkansas for years to come.

PPL has transitioned many participant-directed programs from incumbent FMS'. We are an enrolled Medicaid provider of FMS, or otherwise have state approval, in 21 states for nearly 50 programs, many of which we transitioned. We also have highly relevant experience transitioning Cash and Counseling programs. PPL transitioned New Jersey's Personal Preference Program in 2016 that had 18,000 participants and 23,000 employees enrolled. We have proven plans, timelines, project schedules and a designated Project Management Office (PMO) to support the IndependentChoices transition.

Upon award, PPL will begin the Medicaid Provider registration process and our project management team will begin organizing internal resources. Our Leadership, Operations and Enrollment managers will begin meeting with the assigned Project Manager to review the proposed project schedule and supporting documents, including our communications plan. These preparatory activities are completed in advance of the project launch meeting with Division program management.

During the project launch meeting, our team will present draft transition deliverables, including the program transition schedule. The transition timeline will highlight key activities, dependencies, and milestones necessary to complete the transition on time. Stakeholders and dates for milestone deliverables will be identified and agreed upon during the project timeline review. ***Milestones like confirmation of PPL's Arkansas Medicaid ID will be documented in the overall transition plan that will be provided weekly during transition.***

An early critical milestone will be provision of demographic information on all enrolled beneficiaries and employees. Our team uses this data to geo-map and begin transition enrollment planning, assigning resources based on geography. ***PPL provides each***

beneficiary a counselor responsible for making initial contact within 40 days of the project launch meeting. The counselor will introduce PPL and the philosophy on self-direction, a general roadmap for the transition, and options for enrolling and completing transition documentation like the IRS 2678. The beneficiary will have both their counselor and general customer service phone support during the transition for questions on forms or the process. This approach ensures we have staff available to receive calls and transfer to the incumbent FMS when appropriate. We will work with the Divisions and incumbent on shared call scripts to ensure consistency in messaging.

Orientation and Skills Training



PPL acknowledges orientation and training may begin as early as 45 days prior to Go-Live but must be completed no later than (7) seven calendar days before Go-Live

Our counselors for IndependentChoices will be working from best practice employer orientation and training materials. Our enrollment managers will review all existing materials and trainings on IndependentChoices and also present DHS/DPSQA with our draft materials. PPL has developed participant and employer orientation materials specially for *cash and counseling* models currently in use today in New Jersey, West Virginia, and Tennessee. PPL has also been selected to be the statewide provider of employer orientation and skills training in Oregon, Connecticut, and Vermont.

PPL will develop an approach to training and orientation that ensures all beneficiaries are supported during the transition where and when they choose. Counselors will be available to ensure individuals preferring face to face meetings are met at the location of their choice. Our counselors will also set up a time for employer orientation and training, preferably when the employee can attend for a portion (e.g. EVV overview).

PPL's enrollment team is highly familiar with and expert at the Cash Expenditure Planning (CEP) process based on our experience working with like programs in other states. Our Arkansas team will assist beneficiaries in understanding the process for enrollment and with development of the CEP. We have CEP planning tools from our other states that we can present to the Division during the implementation and can display the CEP in the beneficiary's MyAccount profile

Data Conversions and Migrations

PPL has transitioned a dozen participant directed programs involving data migration from an incumbent vendor and state systems. PPL's technical product team has proven data templates, timelines for transmission and error protocols specifically for FMS transitions. Our team will accept files and documents in all major file types (e.g., .xml and .PDF). **We can set up a Secure File Transfer Protocol for file exchanges or use an existing state system to pick up data files.**

Through experience we have learned that successful electronic file sharing starts with calculated planning. We use the following succinct process to set up file exchanges:

- ✔ **Transmission Protocol** - PPL defines the mechanism by which the data is transmitted between two exchange partners. It may be secure FTP or secure web services. We can provide the secure FTP server for the drop off and pick up of the files to state system, or we can use a partner supplied secure FTP server. PPL requires that exception handling and positive acknowledgement be clearly defined so that appropriate actions can be taken to resolve any failures in data transfer.
- ✔ **End Points:** When the transmission protocol is chosen, the associated end points will be defined in PPL's Data Exchange System (DES). The secure FTP end point is the address of the secure FTP server along with the User ID and Password of the sFTP server. The secure web service end point is the URL of the web service, potentially including the originating IP address which is commonly used as an authentication and security measure.
- ✔ **Data Specifications:** The format and specification of the data elements are contained in the functional specification document. The specifications will be agreed upon by both exchange partners. The document will define parameters, such as required and optional data elements, and how the data is formatted, e.g., XML document, Token Delimited File, or Fixed width format.
- ✔ **Monitoring and Notification:** Upon receiving and subsequent processing of the data file or document, PPL will follow up with the status, either negative or positive. We currently have an automated e-mail notification mechanism to monitor all integration processes. All stakeholders are informed of the success or failure in the system as it pertains to the data exchange interface. Depending on requirements and integration type, it is possible and desirable to send an automated email to the exchange partners with appropriate message or error files.

Our technical product and information technology teams will have designated members for all data migration and mapping oversight. Our team has experience mapping data from state developed systems for demographic and budget authorization files to our proprietary enrollment and financial management systems. ***We will share transition auditing documents and demonstrate automated validation processes we have developed to ensure data integrity and completeness.***



PPL acknowledges that DHS will provide a list of contacts.

PPL confirms we will provide program data to DHS as required under the contract and upon DHS request.

Project Organization and Management Requirements

PPL's enterprise financial management and counseling information technology solution is an ***integrated data system for managing active and pending beneficiaries.*** PPL's suite

of applications **collectively has the functionality and capacity to store, transmit and receive data** from the AR MMIS, DPSQA and Employment Clearance Registry System. The core components of our system and their function in relation to data capture, storage and reporting include:

- 1** **MyAccount:** *HIPAA compliant web-based portal capable of storing all beneficiary/participant and employee enrollment and hiring documentation, information and provides role-based access for reporting, dashboards and other data.* Results from the DPSQA and Employment Clearance Registry can be logged in the employee's MyAccount with dates of completion, expiration and status. Actual copies of clearances are also archived in the employer and employee MyAccount documentation module.
- 2** **Medicaid Billing System:** PPL's proprietary system for integration with state MMIS to store, transmit and receive data. PPL has integrated our systems with Gainwell technologies and MMIS' in several other states. The system identifies claims have been paid, denied, partially paid and uses the EDI 837/835 transactions to reconcile submission and payments.
- 3** **Time4Care™:** PPL's 21st Century Cure compliant EVV mobile phone application. All time capture data is seamlessly transmitted to our payroll processing system and pre-adjudicated against the participant's budget authorization balance (stored in MyAccount). *Time4Care is web-based and does not require any software installation at the user sites, other than security certificates and browser plug-ins/controls.* We provide much greater detail about our EVV-compliant time capture methods, as requested by the solicitation document, in our response to E.13

Regarding the MOU, Public Partnerships secured a notarized Memorandum of Understanding (MOU) with our banking partner Citizens Bank should PPL be awarded the contract. The MOU shown on the following page demonstrates our commitment to meeting the needs of the RFP and ensures our banking partner is aware of the potential for the need of such account.



May 18, 2022

To Whom It May Concern,

Public Partnership LLC ("PPL") has requested that Citizens Bank, N.A. ("Citizens") provide this confirmation in connection with PPL's response to an RFP relating to a Contract for Personal Care Attendant Fiscal Intermediary Services (the "Contract") with The Department of Human Services (DHS) Division of Provider Services and Quality Assurance (DPSQA).

In the event that PPL is successful and enters into the Contract and related Trust Agreement (as defined in the Contract) with the State of Arkansas Department of Human Services (DHS) Division of Provider Services and Quality Assurance (DPSQA), Citizens hereby confirms its willingness and ability to open a Trust Account (as defined in the Contract), subject to standard bank documentary requirements.

Sincerely,

Jason Demelo
Commercial Priority Services Specialist, CPS
Citizens
1 Citizens Dr, Riverside, RI 02915 ROP15-D
Phone: 401.282.1880
Phone: 888.211.4057
jason.demelo@citizensbank.com
citizensbank.com



NOTARY PUBLIC
Windsor Field, 10000 Windsor Island
NY Government Certificate No. 2019-0000000000000000

5/18/22

B.

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

As a national provider of FMS, PPL has multiple contracts requiring background check clearances on our employees. Provisions of these contracts are administered by the PPL compliance team. PPL contracts with HireRight to perform the screening. Results go directly to compliance staff who validate results independent of the employee or their supervisor.

We understand that individuals not residing in the State of Arkansas at the time of hire must complete comparable checks in their state of residence. We have reviewed and understand the process for and will comply with the following Arkansas requirements:

- 1 *Adult Maltreatment Central Registry check:* PPL employees will complete the three stages for adult checks required per the AR DHS: Generate a request, Upload the request and make the payment.
- 2 *Child Maltreatment Central Registry check:* PPL employees will complete the three stages for child checks required per the AR DHS: Generate a request, Upload the request and make the payment.
- 3 *Excluded Provider List check;* PPL runs Excluded Provider List check on all Leadership, Operations and Enrollment Team members as a standard business practice.
- 4 *Certified Nursing Assistant/Employment Clearance Registry check-* PPL will complete the ECR Request Form and email it to ecr.check@dhs.arkansas.gov.
- 5 *State and federal criminal background checks including fingerprints –* PPL will establish an account with the Arkansas Department of Public Safety's Online Criminal Background Check System.
- 6 *Drug testing –* PPL currently works with HireRight who supports contract requirements for administration and reporting of drug testing

C.	Describe the Proposed Contractor's process for developing and ensuring backup plans.
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PPL has the organizational capacity and structure to provide backup planning in all core areas of financial management and counseling service delivery. At the Leadership Team level, our proposed staff have numerous peers with equal education and FMS experience, including transitions, to readily provide short or long-term support. Our Operations Team members are part of a functional matrix organization structure that promotes cross team communication and program training. The team will be informed and supported by FMS managers and counselors who support the development of Cash Expenditure Plans in other states. PPL has both an Information and Assistance department consisting of hundreds of staff who have been trained on cash and counseling programs like IndependentChoices. From a staffing and administration standpoint, we can ensure backups at all key positions across all aspects of operations.

Continuity of Operations

PPL maintains a Continuity of Operations Plan (COOP) plan described in detail in our response to section E.12. PPL’s COOP uses a Critical Service Recovery Strategy (CSRS), a collection of artifacts that establishes formal procedures and supporting technical solutions for mitigating and reacting to an emergency event and resuming normal operations. The core CSRS goal is clearly to prevent the opportunity for a service failure. In the event of a system failure, we have processes and procedures to access alternate capacity to minimize any impact to core operational services like customer service and payroll processing. Internal and external status reports and updates are provided by the contract manager until full system restoration.

Information Backup

PPL hosts all business-critical systems in its Primary Data Center, a Tier 4 data center, the most stringent level in the ANSI/TIA-942 standard. Its fault-tolerant site infrastructure guarantees 99.995% availability with uninterruptable power supply (UPS), redundant power and network paths for IT and environmental systems. More specifically, the redundant power system incorporates:

- Separate parallel transformers with separate parallel underground utility feeds to ensure seamless core power availability
- Dual power feeds from multiple power distribution units (PDUs) within each enclosure to support optimal distribution of electric power, with no downtime
- Multiple generators, fuel tanks, and batteries to ensure seamless power continuity and 100% uptime for all components within the facility

- PPL also maintains an offsite data center that can mirror the system should there be any disruption to the primary data center in any one of several alternative Secondary Data Center sites in the U.S.

PPL regularly and securely backs up all business systems and data, including payroll and claims files. PPL makes complete backups of all software installations and removes tapes to a storage facility off site. The tapes are retained in the grandfather, father, and son backup rotation scheme. Autoloader systems (robots) help automate our backup procedures. All locations use either DLT format or replicate their data to our corporate data center.

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.



PPL is pleased to provide this job description for the Contract Manager role. We are designating **Ms. Chantielle Tally** for this role. Ms. Tally exceeds the identified requirements for Contract Manager. Chantielle has spent her last 10 years at PPL supporting the organization in several capacities. She began her career at PPL managing our support brokerage staff in Tennessee, a function that supported individuals in managing a participant-directed budget. Building off the invaluable insight she gained on PPL operations and enrollment, she assumed the role of account manager for several programs while rising as an organizational leader and earning her MBA. Chantielle works with our clients to manage the participant-directed program, while internally working across our functional divisions to ensure we are making self-direction easier for all.

Position Title: Contract Manager

Duties & Responsibilities:

- ✔ Responsible for the oversight of all contracts related activities and acts as the primary point of contact for the Divisions
- ✔ Ability to travel to Arkansas, when requested, for meetings, trainings, and other events deemed appropriate by the Divisions
- ✔ Receives and responds to all inquiries and requests made by the Divisions related to the contract
- ✔ Monitors and reports on complaint receipt, follow up and trend analysis with customer service management
- ✔ Coordinates engagement with participant-directed program stakeholders including the self-directed advisory panel
- ✔ Ensures compliance with enrollment service levels, performance, and ongoing process assessment
- ✔ Responsible for the delivery of all contract deliverables and ongoing reporting

- ✔ Conducts regular internal meetings to review and update contract program logistics, schedule, and objectives
- ✔ Assures early problem identification and implementation of corrective actions.
- ✔ Oversight of subcontractor performance
- ✔ Research and implement lessons learned as part of ongoing best practices

Required Skills:

- ✔ Experience managing multiple aspects of self-directed programs
- ✔ Understanding of Medicaid Home and Community Based Services and the participant directed option
- ✔ Ability to manage complex public funded programs
- ✔ Superior communications skills with all stakeholders including presentations and training skills and development on presentations

Minimum Qualifications:

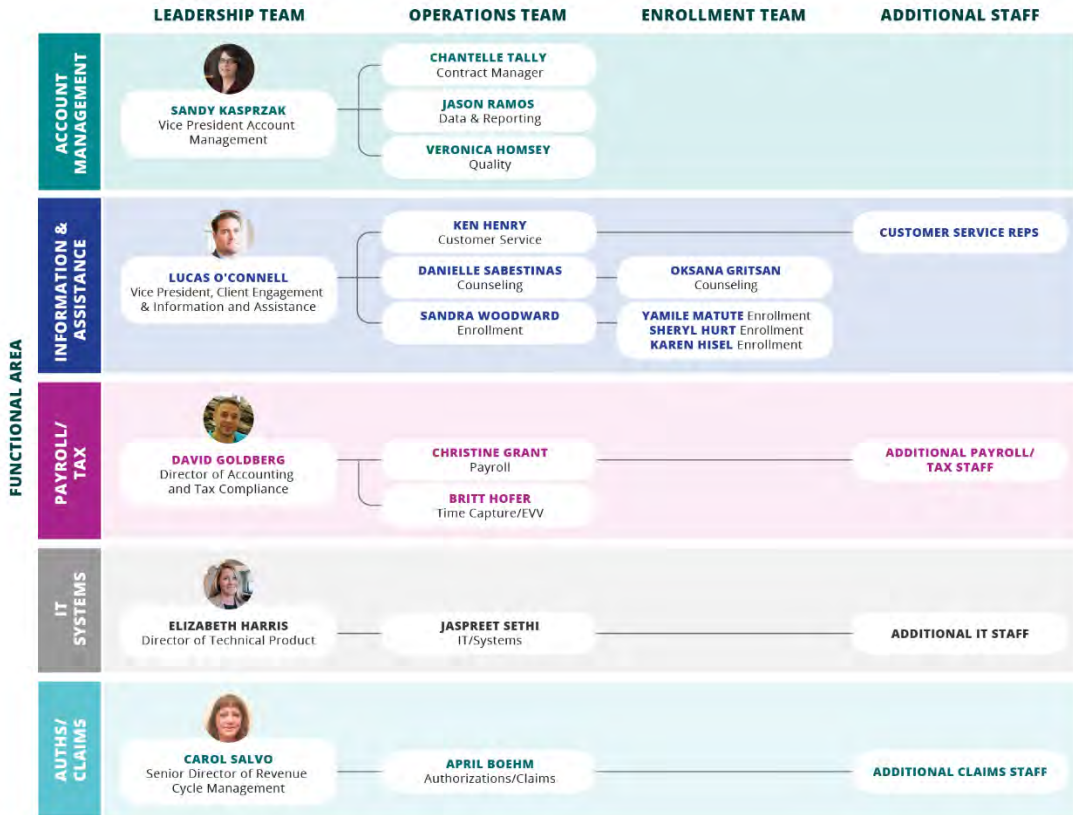
Education:	A Bachelor’s degree in business management, health care administration, public policy, or related field
Experience:	3+ years’ experience in organizational management related to self-directed service

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.

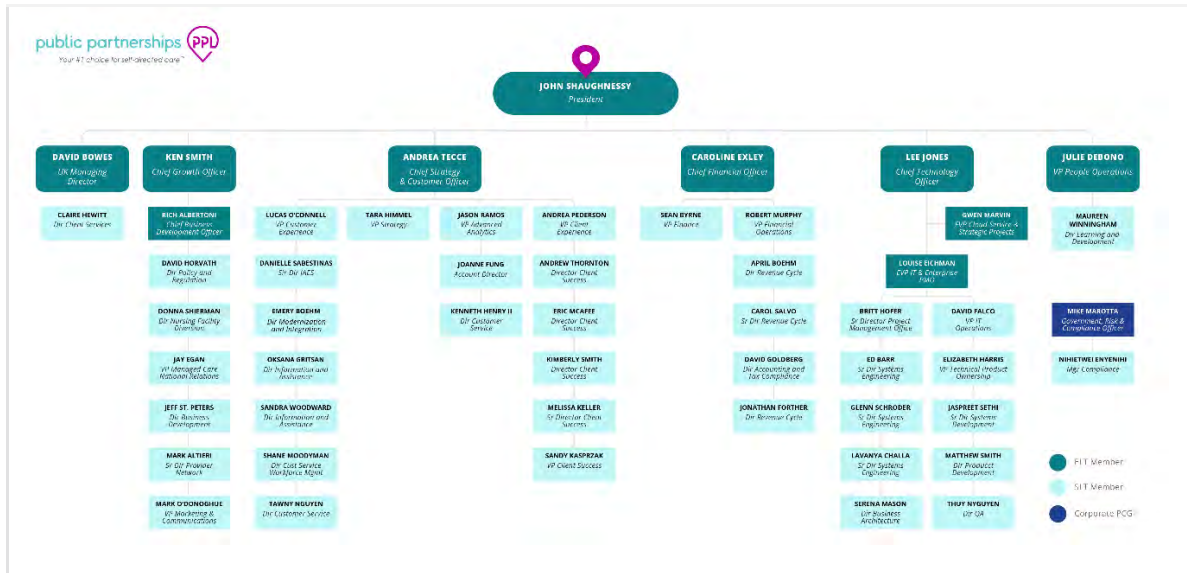
PPL’s organizational chart represents staffing across functional areas required by the scope of work. This includes:

- 1 Account Management (Contract Management, Data & Reporting, Quality),
- 2 Information and Assistance (Counseling, Enrollment, Training, Customer Service),
- 3 EVV-Compliant Time Capture/Payroll and Tax,
- 4 Information Technology & Systems, and
- 5 Authorizations and Claiming.

Leadership staff oversee each of these 5 functional teams. Each team is further supported by Operations staff who responsible for major deliverables. In key functional areas, Operations Staff are further supported by field staff in areas such as enrollment and customer service.



We also provide a general organization chart for our entire organization; in this organization chart you will find our executive and senior leadership teams.



In this next portion of our response to E2 B. we provide all the resumes for those who have been identified to work on the Arkansas FMS and Counseling Services project, should PPL be awarded the contract.

We have ordered the resumes in the same order as represented on the project specific organizational chart:

Account Management *Functional Area*

Four Resumes

Information and Assistance *Functional Area*

Eight Resumes

Payroll and Tax *Functional Area*

Three Resumes

IT Systems *Functional Area*

Two Resumes

Authorizations and Claims *Functional Area*

Two Resumes



PROFESSIONAL BACKGROUND

**Public Partnerships
LLC** January 2013–
Present

Consumer Direct,
August 2010 –
November 2013

**Partners in
Community Supports**
January 2005 –
January 2008

STAR Services
September 1995 –
January 2005

EDUCATION

**Saint Mary's
University,**
Minneapolis,
Minnesota

Master of Education,
Thesis- Emotional
Intelligence

**University of
Wisconsin,**
Whitewater,
Wisconsin

Bachelor of Sciences in
Special Education K-12

SANDY KASPRZAK

Account Management *Functional Area*
Leadership Team Member

Vice President Account Management

Innovative and visionary Human Service Professional with over twenty-five years of Executive Leadership experience in developing cross functional teams for success in Long Term Services and Supports (LTSS), focusing on Self-Directed Programs. Extensive experience in building stakeholder relationships across multiple state programs to ensure quality outcomes. Implemented operational efficiencies to ensure customer delivery and satisfaction. Developed organizational products to address trends affecting the field. Excel in collaboration, communication, problem solving, operational efficiencies, sales, and project management. Proven success to address high visibility issues as it relates to service delivery. Ensure client visibility and leadership in the innovative service of Self-Direction.

RELEVANT EXPERIENCE

Public Partnerships LLC

Vice President, January 2013 – Present

Responsible for design and implementation of all structure, revenue/budget and staff management related to Fiscal Management Services (FMS) within programs and states assigned. Senior Leadership team member responsible for executive oversight; hiring, mentoring, and managing staff. Facilitated company strategic vision. Account Manager and primary point of contact for each state and program assigned. Accountable for all Business Rule Document development to ensure accurate service delivery and contract deliverables.

Relevant Project Experience at Managed Care, Virginia

Fiscal Management Services: Executive Oversight April
2018 – Present

Responsible for delivery and project management of Self-Directed Services for approximately 14,000 Members across four Managed

Sandy Kasprzak

continued

Certification/Publications/Special Skills

Board Member- Brain Injury Association of MN served as Finance Chair.

Advisory Board Member- Founding Advisory Board Member of National Resource Center of Participant Directed Services-Boston College.

Advisory Committee Member- Robert Wood Johnson Self-Determination Grant, Dakota County, MN. Original Advisory Committee for state roll out of Cash and Counseling pilot grants.

Conference Presentations- Presented at multiple National and State conferences including but not limited to; Aging in America, NASDUAD (HCBS), National Resource Center of Participant Directed Services and Applied Self Direction.

Care companies. The MCO companies are Aetna, United, Optima and Anthem. Duties include participation in MCO readiness Review prior to statewide roll out of Managed Care Long Term Care Services; Completed re-implementation to ensure success of program delivery when contracts moved from the Department of Medicaid to individual Managed Care contracts.

Relevant Project Experience at Managed Care, Florida

Participant Directed Option: Executive Oversight, May 2013
– Present

Responsible for Contracting with three of the Managed Care Organizations (MCO) for Statewide FMS service from implementation to program operations, serving approximately 1,800 Members. The MCO companies are Florida Community Cares, Aetna, and Anthem. Duties include participation in MCO readiness Review prior to statewide roll out of Managed Care Long Term Care Services; implementation, hiring and training of staff located in FL. Overall management of the contracts, program operations including case-manager training, payroll, Medicaid billing, information systems development, oversight, and management reporting. Successfully implemented EVV.

Relevant Project Experience at West Virginia Bureau for Medical Services

Fiscal Management Services F/EA and Self-Directed Option: Resource Consulting, May 2020 to Present

Responsible for Executive oversight of full-service fiscal/employer agent financial management services (F/EA FMS) and resource consulting services for Personal Options (four Waivered Services), the self-directed option within the WV Waiver programs, serving approximately 3,100 Individuals. Overall management of contract and contract deliverables. Successfully implemented EVV.

Relevant Project Experience at Colorado Health Care Policy & Financing

Colorado Consumer-Directed Attendant Support Services (CDASS): Financial Management Services F/EA, May 2020 to Present

Responsible for Executive oversight for FMS services in the State of Colorado, including administrative oversight and overall

Sandy Kasprzak

Certification/Publications/Special Skills

continued

Board Member- ARRM (Trade Association) MN. Served two terms, Co-Chaired Service Innovations Committee with focus on Self-Directed Services

management of the contract. Successfully implemented multiple contract awards and EVV technology. Retained eight five percent of Market Share serving approximately 3,500 Members.

Relevant Project Experience at Department of Mental Health, HCBS, Missouri

Fiscal Management Services: Executive Oversight, January 2015 – Present

Responsible for complete implementation and project management of RFP award for FMS services in the State of Missouri. Including administrative oversight and overall management of the contract. Transitioned from the incumbent. Operations consisted of training all stakeholders which included consumers, state, county, Support Broker's and Direct Support Professionals on payroll, participant budget management, information systems, oversight, and management reporting. Hired, trained, and developed all staff responsible for program delivery, including local Enrollment Specialists. Developed and manage a fully functional Advisory Board. Membership includes Consumers, Advocates, and state stakeholders.

Consumer Direct

Management Solutions: Vice President January 2008 – January 2013

Designed and implemented new service line of Financial Management Services (FMS) for Consumer Direct Care Network. Facilitated all policy development and successful Readiness Review. Implemented a winning strategy for the organizations RFP responses and won the first contracts in Wisconsin and Missouri. This included establishing their market identity, executive leadership, structural and policy design, while cultivating networks at the national level. Member of the Executive Leadership team.

Responsible for program development with the focus on integrating Self-Directed services into Managed Care and HCBS Long Term Services and Supports in the following states:

Missouri: Executive Oversight, January 2011 – January 2013

Sandy Kasprzak

continued

Department of Mental Health, HCBS Waiver, Fiscal Management Services

Wisconsin: Executive Oversight, November 2008 – January 2013

Managed Care, Fiscal Management Services, Co-Employment and Fiscal Employer Agent

Personal Care for New Mexico: Executive Oversight
November 2009 – January 2013

State Medicaid Plan, Managed Care Organizations and State of New Mexico Department of Human Services

Minnesota-Department of Human Services: Executive Oversight *Jan 2011 – Dec 2012*

Certification - Awarded RFP to re-certify the existing Fiscal Support Entities in 2011 and 2012.

Partners in Community Supports

Executive Director, CEO, January 2005 – January 2008

Responsible for providing organizational leadership, vision, direction, mission, fundraising and values for a Not-for-Profit agency that provided FMS. Reported to a Board of Directors comprised of the CEOs of the six largest Not-for Profits in the state of MN.

Accountable for all financial responsibilities including negotiating and securing line of credit. Optimized organizational strategies relative to market growth and became the largest FMS Provider in the State of MN. Developed state of the art technology in accounting software, web portal and online access, prepared organization for the implementation of the new Waiver Amendment. Successfully passed a Readiness Review as a Fiscal Vendor Agent; represent the organization on various legislative committees, state led budget methodology committee and maintain leadership roles in both local and national trade organizations.

STAR Services

Chief Operations Director, September 1995 – January 2005

Sandy Kasprzak

continued

Responsible for creating an organizational design in Long Term Care Services and Supports for MN Waiver programs. Focused on identifying customer needs while incorporating operational systems designed for efficiencies and staff development; supervise all aspects of operations and staff which included all new business development, policies, and procedures compliance, manage all startup companies new to Waiver Services, staffing division, IT, and consulting line of business. Facilitated design and implementation of a strategic plan. Served on Committees with the State, Advocates and Consumers in the creation of their Self-Directed Program. Influenced full launch as a new service line in the state of MN including legislative language needed. Created and designed a structure for company to be certified and deliver Self Directed Service Other responsibilities included Board of Director Liaison from owners to Executive team, Marketing, Training Department (including Direct Care Staff) and oversight of operational budget achieving consistent revenue growth in staffing, training, and consulting services.



CHANTILLE TALLY

● Account Management *Functional Area*
Operations Team Member

Account Manager

Ms. Chantille Tally has over a decade of experience working in self-direction in a multitude of roles. Ms. Tally understands the support services required, training necessary, as well as deep management experience. Her experience in Tennessee will enable the program to flourish. In her tenure at PPL she has provided best practices for clients by leveraging her Multi-State and Multi-Program experience. Ms. Tally will act as the Contract Manager for the program and has a wealth of knowledge in training, support brokerage, participant-directed services and issue resolution, to name a few.

PROFESSIONAL BACKGROUND

Public Partnerships LLC, Boston, Massachusetts
November 2012– Present

Enable of Georgia, Roswell, GA
August 2010 – November 2012

EDUCATION

Master of Business Administration

Clark University, Graduate School of Management

Bachelor of Arts Social Work/Welfare concentration

University of Wisconsin Madison

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC

Account Manager 2016 – Present

Alabama – Department of Mental Health, Division of Developmental Disabilities, Intellectual Disabilities, Living At Home, Community Waiver Programs

Serves as Account Manager managing day-to-day operations for fiscal intermediary service program serving individuals with intellectual and developmental disabilities. Coordinating and managing contract deliverables across functional teams. Overseeing program implementations, requested changes, and program enhancements.

Colorado – Colorado Department of Health Care Policy and Financing, September 2016

Consumer Directed Attendant Support Services (CDASS)

Assisted with the program launch by providing Enrollment Specialist services to participants and providers. Conducted in home visits to assist participants with enrollment paperwork.

Georgia – State of Georgia Department of Behavioral Health and Developmental Disabilities (DBHDD), March 2016 – October 2021

Participant Direction

NOW & COMP Waiver Program

Chantille Tally

Continued

Served as the Account Manager overseeing program providing fiscal agent services for program participants and their providers to include payroll processing and enrollment of employers, participants, and providers. Attending State trainings and conference events to present and introduce the services provided by Public Partnerships in this program. Assist management team with determining process improvements and enhancing the program materials. Serves as the main point of contact for the client.

Michigan – Aetna Better Health of Michigan, June 2015

MI Health Link Self Determination Option

Assisted with the initial program launch by providing Enrollment Specialist services to participants. Conducted home visits to participant's homes and assisted with enrollment into the program. Trained participants and their service providers on the Self Determination option.

Oregon – Oregon Office of Developmental Disabilities Services (ODDS), December 2016

Assisted with the initial program launch by providing Enrollment Specialist services to participants. Conducted large enrollment sessions in different regions of the state. Trained participants and their service providers on the enrollment process.

South Carolina – Department of Health & Human Services, Division of Community Long-Term Care, March 2018 – October 2021

Served as the Account Manager for South Carolina's Attendant Care self-directed program for elderly and persons with disabilities in partnership with First Data. Oversees the Financial Management Services for over 1,800 program participants and supervises the enrollment process and weekly payroll for their directly-hired employees. Serves as one of the main points of contact between the FMS Staff and First Data. Responsible for assisting with overall management and oversight of the program.

Lead Case management Specialist - State of Tennessee December 2012 – May 2019

Served as the Lead Case management specialist providing information, assistance and supports to over 2,000 senior citizens and adults with physical disabilities participating in consumer direction to assist them with the responsibilities of self-direction, including the responsibilities of being an employer. Supervised a team of Case management specialists. Collaborated with three MCOs on program issues and experiences to improve the process of consumer directed services. Assists members and families understand their role as employers of their own in-home

Chantille Tally

Continued

service providers. Developed program materials and training materials for program participants, providers, and MCO's.

Enable of Georgia

Lead Support Manager *August 2010 – January 2013*

Supervised and monitored staff and individuals with developmental disabilities.

Provided person centered services and coaching staff on person centered approaches.

Addressed service-related issues among consumers and stakeholder.

Worked with state case workers and individual stakeholders to ensure all services needed are provided.

Assuring daily implementation and documentation of goals as set forth in each individual's support plan.

Provided guidance, support, and coaching through conflicts to individuals served and staff.

Audited individuals served medical records, goal documentation, and daily charts to ensure services are provided in accordance with federal and state regulations as well as the company mission.

Assisted with activities of daily living tasks, leisure activities, and participation in the community.



PROFESSIONAL BACKGROUND

**Public Partnerships
LLC**, Boston,
Massachusetts
November 2017 –
Present

**Public Consulting
Group**, Portsmouth,
New Hampshire May
2014 – November 2017

**Health Management
Systems**, Dallas,
Texas February 2010 –
May 2014

Healthfirst, New York
City, New York
February 2009 –
February 2010

EDUCATION

**Bachelor of Business
Administration
(Accounting)**, Bernard
Baruch College-City
University, New York
June 2005

**Master of Business
Administration**,
University of Texas-
Dallas, Richardson,
Texas
May 2014

JASON RAMOS

● **Account Management *Functional Area***
Operations Team Member

Vice President, Advanced Data Analytics

Results-driven Quality and Continuous Improvement Professional with over five years of Senior leadership experience developing teams and methodologies to improve service delivery in the health care field. Extensive experience managing projects, driving quality improvement outcomes, and creating operational efficiencies to ensure customer satisfaction. Experienced collaborator with stakeholders to solve complex problems.

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC

Director, Business Process Management (BPM), November 2018–
Present

Established a Business Process Management team to drive efficiency and quality through analysis of processes. Responsible for departmental staff development, supporting a high-performing team culture, managing day-to-day operations of process improvement initiatives, collaborating with leadership to prioritize highest value projects, and helping to infuse lean thinking into company culture via interactions with stakeholders.

Director, Project Management Office (PMO), November 2017–
November 2018

Created an internal Project Management Office to support the execution of internal projects, which included defining the methodology, creating standardized templates, designing and delivering curriculum to train staff on the new process and methodology, fostering a collaborative team culture, and coaching new project managers to successfully lead projects. Additionally, led the successful re-implementation of the 5 MCO clients in Virginia from August 2018 to January 2019.

Public Consulting Group

Director, Shared Service Unit (SSU), May 2014 – November 2017

State of Arizona

Third Party Administrator for School-Based Health Services
Program

Jason Ramos

EDUCATION *Continued*

Master of Supply Chain Management,

University of Texas-Dallas, Richardson, Texas
May 2014

Certification/Publications/Special Skills

Lean Six Sigma Black Belt Certification,

International Association for Six Sigma Certification (IASSC) (2019)

Project Management Professional (PMP),

Project Management Institute (2018)

Professional Scrum Master I (PSM I),

Scrum.org (2018)

Managed operations for the state-wide direct service claiming project on behalf of AHCCCS. Responsibilities included oversight over interim claiming activities, implementing improved quality controls, streamlining operations via Lean Six Sigma (LSS) methodologies, applying robust change management techniques for technology related enhancements, and identifying opportunities for continued improvements.

State of Massachusetts

Commonwealth Care Alliance (CCA)

Third Party Administrator for One Care and Senior Care Programs

Provided Third Party Administrative (TPA) services on behalf of both One Care and Senior Care programs. Responsibilities included oversight over all TPA related activities, implementing metric-based performance monitoring, developing robust quality control mechanisms, spearheading an initiative to improve process throughput, and designing a structured approach to facilitate continuous improvement activities.

State of New York

Independence Care System (ICS)

Third Party Administrator for Fully Integrated Dual Advantage (FIDA) Program

Provided Third Party Administrative (TPA) services for ICS' FIDA program. Responsibilities included oversight over all TPA related activities, implementing TPA services for the FIDA program, designing metric-based performance reporting, implementing quality control techniques rooted in Lean Six Sigma (LSS) methodologies, and creating a platform to foster a continuous improvement culture.

Health Management Systems (HMS)

Manager, Operations, February 2010 – May 2014

Coordination of Benefits Vendor for Multiple State Medicaid Agencies and Medicaid MCOs

Provided coordination of benefits and TPL services for state Medicaid agencies and Medicaid MCOs. Responsibilities included oversight over TPL billing and recovery activities; leading key initiatives to expand revenue growth, working with internal quality department to ensure key deliverables were met each month, defining performance standards for operational units, assisting in the development of budgets utilizing robust forecasting mechanisms, and

Jason Ramos

Continued

improving quality of deliverables through the utilization of Lean Six Sigma (LSS) tools and techniques.



VERONICA HOMSEY



Account Management *Functional Area*
Operations Team Member

Senior Manager of Quality Improvement

Leader of PPL's Quality Improvement team with over 25 years of experience with customer service, root cause analysis, process improvement, patient management, insurance processing, and strategic planning within the financial services and healthcare industries. As a former owner of a thriving high-volume healthcare practice with a stellar patient and employee retention rate, Veronica embraces Public Partnership's mission of making life easier for those we serve.

PROFESSIONAL BACKGROUND

Public Partnerships LLC

August 2018 - Present

Caris Life Sciences

December 2013 –
February 2018

Glendale Life Center

1990 - 2013

EDUCATION

**Arizona State
University**, Tempe,
Arizona

Bachelor of Arts
Communication Studies

Certification/Publications/Special Skills

Certified Mediator,
Arizona Superior Court,
Attorney General

Situational Leadership
II

Lean Six Sigma

Alternative Dispute
Resolution program,
City of Phoenix

RELEVANT EXPERIENCE

Public Partnerships LLC

Senior Manager of Quality Improvement, August 2018 – Present

Responsible for a team of quality improvement and quality assurance specialists and analysts who possess the education, certifications, and work experience in data analysis, Lean Six Sigma and SQL methodology, process mapping, project management, and leadership. Leads as a control for internal processes and to mitigate risk to internal and external stakeholders. Escalates audit outcome for immediate resolution. Delivery of auditing, tracking, trending, and root cause analysis proceeds individual/team/process performance recommendations. Communication and connections are maintained across all operational teams. Executes a Quality Management Plan for contracted clients.

Caris Life Sciences

Client Services Supervisor, December 2013 – February 2018

Managed client services and 21 individuals who served as the liaison between oncologists, pathology departments, patients with metastasized cancers, and the molecular testing lab. Implemented an automated competencies program to control for process understanding and consistencies. Created SOPs and aligned competency exams. Led Medicare claims submissions specific to the date of service and 14 Day Rule. Consulted across the organization in areas of insurance billing and patient management. Built a shadowing experience between call center staff and laboratory operatives and scientists to connect the dots and understand the full story. Significantly improved the work culture through team development, KPIs, and by bringing in diverse external candidates to fill open positions.

Veronica Homsey

continued

Glendale Life Center

Practice Principal, 1990 – 2013

Built a referral-based high-volume healthcare practice. Created procedural manuals, patient and insurance forms, and quality and compliance resources. Planned patient appreciation events and employee recognition award programs. Worked with attorneys and insurance carriers to negotiate personal injury settlements. Represented the practice and individual patients during insurance hearings. Completed appeals for patients denied services. Provided consulting to other local practices.



PROFESSIONAL BACKGROUND

**Public Partnerships
LLC, 2012 - Present**

EDUCATION

Principia College,
Elsah, Illinois

Bachelor of Arts;
Political Science,
Sociology and
Anthropology

LUCAS O'CONNELL



**Information and Assistance *Functional Area*
Leadership Team Member**

Vice President, Client Engagement & Information and Assistance

Mr. O'Connell has been with PPL for 10 years bringing over 15 years in long term care services management. He is a longstanding account and operations leader with experience in a dozen states managing complex and large-scale participant-directed service options. Lucas led a team in New Jersey that transitioned the largest self—directing population of aging and disabled Medicaid participants to date in 2016. Lucas' team ensures client satisfaction and oversight of contract compliance, while also directly supporting individuals in the community. Lucas oversees 250 consultants that assist over 25,000 consumers in three states with orientation, technical assistance, enrollment and ongoing support for self-direction. Through both his leadership on our Client Engagement and I&A teams, Lucas is able to provide our clients with direct insight into enrollment and financial operations while also serving as an Executive Account Director.

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC

State of New Jersey

Department of Human Services (DHS), Division of Medical Assistance and Health, Personal Preference Program (PPP)

Provides executed account management oversight and directs a team of over 200 financial consultants that provide Information and Assistance (I&A) services to individuals self-directing their services in the PPP Program. I&A staff directed by Mr. O'Connell provide enrollment, budget management and technical assistance services to over 20,000 consumers across the State of New Jersey.

State of West Virginia

Bureau of Medical Services, Personal Options Program (A&D Waiver, I/DD Waiver, TBI Waiver)

Provides executive account management oversight and manages over 75 support brokers providing I&A services on behalf of PPL for

Lucas O'Connell

Continued

the WV Personal Options Program. Mr. O'Connell's team provides services to over 2,300 individuals. Mr. O'Connell has oversight over all operations including participant/provider enrollment, budget management, payroll and accounts payable activity, Medicaid claims submission and customer service.

State of Florida

Agency for Health Care Administration; Participant Direction Option (PDO)

Provides senior leadership and administrative oversight on behalf of third-party billing and fiscal management services serving 900 members of Managed Care Organizations in Florida's HCBS self-directed Participant Direction Option program. Members receive support and guidance to recruit, train, manage and directly employ home care workers in the self-directed option. Contract requirements included enrollment activities, management of participant budget funds, provider credentialing and customer service. Responsible for oversight of program implementation and coordination of business office functions. Other duties included contract negotiation, personnel management, policy development, client training and oversight of quality assurance activities.

State of Tennessee

TennCare, Multiple Programs

Provides executive account management and administrative oversight for multiple Tennessee programs including, TennCare CHOICES, Employment and Community First CHOICES, Self-Determination Waiver Program (SDWP) and TCAD Options. Mr. O'Connell oversees a team of supports brokers as well as an account management team that provide services to over 3,300 individuals.

State of New Mexico

Department of Health, Aging and Long-Term Services Department and Human Services Department; Mi Via Waiver Program and Self-Directed Community Benefit (SDCB)

Served as Program Manager for sole source support broker Consultant provider contract in New Mexico's first 1915c self-directed waiver. A flagship Robert Wood Johnson Grant Project, Mi Via combined the Traumatic Brain Injury, Developmental Disabilities, Aging and Medically Fragile waivers into a single self-directed service model focused on person-centered planning and an unprecedented level of budget authority. Led team of 30 Consultants

Lucas O'Connell

Continued

in service to more than 1,000 participants statewide, supporting successful navigation of the program and success in the employer role. As one of the nation's largest and longstanding self-directed programs, Mi Via's design offered a road map to a number of states which later implemented components of the New Mexico pilot. Responsible for implementation of program requirements, management of state-wide operations, coordination with stakeholders, policy consultation and development.

Centennial Care Self-Directed Community Benefit (SDCB) Support Brokerage

In senior leadership capacity, supported 2013-2014 transition of Mi Via Aging and Traumatic Brain Injury communities to Centennial Care Self Directed Community Benefit, as part of an 1115 HCBS Research and Demonstration Waiver. Worked closely with leadership in state departments and Managed Care Organizations to orchestrate and coordinate implementation of national best-practice model. Led strategic planning within organization, overseeing infrastructure redesign and deployment of revamped Support Broker service.



PROFESSIONAL BACKGROUND

**Public Partnerships
LLC, Medford, MA June
2008 – Present**

**Wellington
Management LLP,
Boston, Massachusetts
2005 – 2008**

**Kirkland & Ellis LLP,
Chicago Illinois 2002 -
2004**

EDUCATION

Clark University,
Worcester,
Massachusetts

MBA in Management

**Northeastern
University, Boston
Massachusetts**

Bachelor of Arts in
History with a Minor in
Philosophy

KENNETH HENRY II

**Information and Assistance *Functional Area*
Operations Team Member, Customer Service**

Senior Director of Customer Service

Mr. Kenneth Henry is an experienced operations manager who has worked in the financial operations and customer experience departments for 11 years dealing with the Medicaid programs and their financial transactions. Mr. Henry previously worked in the financial operations department where he oversaw the majority of the payroll and processing functions and has since moved to using that knowledge to liaise between financial operations and customer experience by leading the escalations team. Mr. Henry has been part of numerous launches in states including: Washington, New Jersey, Pennsylvania, and many others.

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC

Sr. Business Process Manager

Responsible for the creation and oversight of the escalation team within our customer experience organization. Team deals with the emergent issues received from all stakeholders and is responsible for the resolution and root cause analysis for these issues. Included in this were the establishment of the charter and objectives for the team. Management of workflow, service levels, and working interdepartmentally to ensure that issues that require feedback from multiple areas of the company are resolved effectively.

Payroll Manager

Responsible for management and oversight of the financial operations center. Primarily responsible for functions in our Payroll Operations, which include the delivery of timely and accurate payroll for over 60,000 providers in 24 states. Also responsible for the research and resolution of timesheet data and enrollment changes. Managing staff that perform these duties in a fast paced, growing environment that is focused on process improvement and is deadline oriented.

Financial Operation Specialist

Responsible for the day to day operations tasks for 10 programs in 7 states. Responsibilities ranged from initial enrollment to the delivery of payroll. Worked with program managers and clients to implement

Ken Henry II

continued

best practices in order to maximize efficiency and meet all deadlines. Managed staff who helped perform these duties for all aspects of our programs.

Wellington Management LLP

Control Services Coordinator, 2005-2008

Maintained and updated business continuity databases to assist disaster recovery planning. Scheduled and oversaw personnel moves as well as assisting with space planning. Supervised maintenance schedules and vendor contract and invoicing. Set up newly occupied space for incoming tenants.

Kirkland & Ellis LLP

Project Assistant, 2002-2004

Organized and updated files with pleadings and correspondence. Assembled document production in preparation for depositions. Updated and maintained production databases. Assembled and prepared newly received document production for fraud.



DANIELLE SABESTINAS

Information and Assistance *Functional Area*
Operations Team Member, Counselling

Director of Information & Assistance

Licensed Clinical Social Worker with over 7 years of experience supporting individuals with mental health, addictions, and individuals living with disabilities through direct care and administrative oversight and planning. Extensive experience and dedication in developing cross functional teams, supporting services across multiple states, and influencing and implementing best practice supports and services. Strong focus on operational efficiency and understanding of value streams ensuring customer satisfaction and outcomes.

PROFESSIONAL BACKGROUND

**Public Partnerships
LLC,** Newark, NJ
2017-Present

**St. Mary's General
Hospital,** Passaic, NJ
2016-2017

Integrity House, Inc.,
Newark, NJ
2014-2016

**Trinitas Regional
Medical Center,**
Elizabeth, NJ
2013-2014

Integrity House, Inc.,
Secaucus, NJ
2013

**Adult Family Health
Services,** Clifton, NJ
2012-2013

**Boys & Girls Club of
Clifton,** Clifton, NJ
2010-2012

EDUCATION

Rutgers University
Master of Social Work

Rutgers University
*Bachelor of Arts in
Psychology*

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC Director, Information & Assistance, 2019 - Present

Ms. Sabestinas is responsible for overseeing contract compliance as it relates to Financial Counseling service delivery, direct supervision of Program Management and Operations Staff, and oversight of program policies and procedures, including implementation of new or revised policies and procedures. She participates in launch related activities. Ms. Sabestinas maintains and manages appropriate contact with all clients. Additionally, Ms. Sabestinas has direct involvement in creating, revising and managing revenue projections and project planning and support, utilizing an Agile methodology.

Counseling Manager, 2017-2019

Ms. Sabestinas was responsible for managing daily operations of the Financial Counseling Staff and overseeing contract compliance as it relates to Financial Counseling service delivery. She was in charge of the Financial Counseling billing process, including time entry and validation exercises. Ms. Sabestinas had direct supervision of Supervisor Staff, and indirect supervision of Financial Counseling Staff. She was accountable for statewide training and development, and participant curriculum development, for initial, quarterly and annual visit content. Ms. Sabestinas maintained and managed appropriate contact with all clients. Furthermore she provided project planning and support, utilizing an Agile methodology.

Consultant Supervisor 2017

Danielle Sabestinas

continued

Certification/Publications/Special Skills

New Jersey - Licensed
Clinical Social Worker
(LCSW), License
Number
44SC05663600

New Jersey – LCADC,
License Number
37LC00223400

Ms. Sabestinas was responsible for the direct supervision of 30 Financial Consultants, daily coordination of financial counseling services, enrollments, payroll, and management deadlines. She enforced policies and procedures to ensure programmatic compliance with the contract. Additionally, she maintained a caseload of participants, and their employees including all associated responsibilities of enrollment, budget development, and participant contacts.

St. Mary's General Hospital

Coordinator Specialized Residence, 2016 - 2017

Ms. Sabestinas oversaw Behavioral Health Services Specialized Residence Program consisting of 18 staff and a 55-bed facility. Her responsibilities included implementing promulgated regulations from the Division of Mental Health and Addiction Services, Community Support Services including revising the Policy & Procedure Manual, training staff, creating new systems for billing and providing services, budget oversight, and identifying areas for possible gain for profit.

Integrity House, Inc. Associate Director of Mental Health 2014 - 2016

Oversaw part time therapists and scheduled groups and individual therapy sessions for co-occurring clients and provided clinical consultation to counselor interns on their co-occurring clients. Ms. Sabestinas utilized Motivational Interviewing and Cognitive Behavior therapy with individual clients. She increased program revenue by 130 percent and streamlined all processes by which co-occurring clients obtained relevant services.

Trinitas Regional Medical Center Co-Occurring Clinician, 2013 - 2014

Ms. Sabestinas assumed full responsibility for managing a caseload of up to 5 clients with co-occurring disorders. Provided group therapy, drug and alcohol counseling, individual counseling, and case management services. She collaborated with a multi-disciplinary team and facilitated teamwork.

Integrity House, Inc. Counselor Intern, 2013

Ms. Sabestinas assumed full responsibility for managing a caseload of 5-10 clients, including those with co-occurring disorders while providing group therapy, drug and alcohol counseling, individual counseling, and case management services. She utilized Motivational Interviewing in tandem with cognitive behavior therapy

Danielle Sabestinas

continued

for individual clients and assisted with the development of new groups including Healthy Lifestyle and Parenting for Young Mothers.

Adult Family Health Services Case Manager 2012 - 2013

Ms. Sabestinas assumed full responsibility for managing a caseload of 15-20 clients and she provided group therapy, drug, alcohol and individual counseling and monitoring of medication.

Boys & Girls Club of Clifton

Case Management Program Coordinator 2010 - 2012

Ms. Sabestinas oversaw service activities of four staff members for the assigned project and administered grant budget to ensure regulatory and monitory compliance. She developed and directed programming that was adopted at several agencies in New Jersey.



SANDRA WOODWARD

● Information and Assistance *Functional Area*
Operations Team Member, Enrollment

Director of Information & Assistance

Seasoned Information & Assistance Supports Broker Manager with demonstrated track record of successfully working with diverse client populations in one-on-one and group settings. Committed and motivated to supporting choice in the self-direction community for aging adults and individuals with developmental disabilities. Exceptional project management, customer service and decision-making skills.

PROFESSIONAL BACKGROUND

Public Partnerships LLC, March 2021 - Present

Consumer Direct Care Network, 2009 – March 2021

EDUCATION

Western Governor's University, Salt Lake City, UT

Matriculated 2019

Bachelor's Degree in Business-Healthcare Management, anticipated December 2022

Certification/Publications/Special Skills

Bilingual (English/Spanish)

Cultural Awareness and Sensitivity

Effective Communication Skills

Disabilities (ACQ)

Chair – Self Directed Provider Association

Board Member - New Mexico Direct Caregiver Coalition

RELEVANT EXPERIENCE

Public Partnerships LLC Director of Information & Assistance, March 2021 – Present

Since joining PPL, Ms. Woodward has had ample opportunity to use her vast experience in the counseling and support brokerage arena. She focuses on daily operations of the Supports Brokerage Staff, overseeing contract compliance as it relates to financial management services (FMS) counseling and indirect supervision of FMS counseling staff. She is accountable for oversight of state specific program policies and procedures, including implementation of new or revised policies and procedures. She maintains and manages appropriate contact with all State and MCO staff.

Consumer Direct Care Network (formerly Consumer Direct Personal Care)

State Director, 2014 – March 2021

Ms. Woodward was responsible for maintaining the day-to-day operations of Consumer Direct Care Network Companies within her territory, while maintaining compliance with Federal/State Regulations and Managed Care Organization (MCO) program rules. Effectively managed five offices, lead the Consumer Direct teams, maintained continuous service quality, monitored compliance with regulations, and improve the economic standing of the programs. Supported day-to-day operations and client advocacy.

Mi Via Regional Coordinator, 2009 – 2014

Ms. Woodward trained consultants and other assigned employees in company policies and procedures, conducted advanced reporting and oversight activities for daily operations. She represented the company at stakeholder meetings, health fairs, job fairs and provider fairs. She also

Sandra Woodward

continued

**Professional
Affiliations**

Committee Member –
Advisory Council on
Quality Supports for
People with
Intellectual/Developmen-
tal Disabilities (ACQ)

Chair – Self Directed
Provider Association

Board Member - New
Mexico Direct Caregiver
Coalition

supervised and coordinated the enrollment of clients and/or employees in services and oversaw client assessments and contacts.

Ms. Woodward communicated effectively with referral sources, clients, and employees. All referral sources were knowledgeable about all services provided. She ensured adherence to state, federal, program and contract requirements. Participated in and assigned professional development and training activities.

She collaborated with stakeholders regarding delivery of services and monitored deliverables to timely completion of projects. Ms. Woodward handled complex service programs as well as special projects with great expertise, all referral sources understood the services offered.

Mi Via Consultant/PCO Coordinator, 2007 – 2009

Ms. Woodward facilitated enrollment/transition meetings for participants. Consulted on the development of service and support plans, back-up plans as well as budgets. She was in constant communication with support agencies to ensure service was without interruption in addition to quarterly visits.

Ms. Woodward processed initial/transfer paperwork for current PCO consumers, facilitated intake visits to future PCO consumers and corresponding attendants. She reviewed weekly timesheets for timeliness and accuracy and trained/assisted clients in the submission of timecards. Ensured client adherence to program roles and responsibilities additionally she assisted clients with understanding eligibility requirements. In addition to the client service provided she also maintained proper documentation in Customer Relationship Management (CRM) database, compiled information for audits, both internal and external.



OKSANA GRITSAN



**Authorizations and Claims *Functional Area*
Enrollment Team Member**

Director of Counseling Services

Seasoned Information & Assistance Supports Broker Manager with demonstrated track record of successfully working with diverse client populations in one-on-one and group settings. Committed and motivated to supporting choice in the self-direction community for aging adults and individuals with developmental disabilities. Exceptional project management, customer service and decision-making skills.

PROFESSIONAL BACKGROUND

**Public Partnerships
LLC, Newark, NJ**
December 2020-
Present

**Boys & Girls Club of
Clifton, Clifton, NJ**
2010-2012

EDUCATION

**Montclair
State
University**

Sept 2019 –
May 2012

Bachelor of Arts
Psychology

Certification/Publicati ons/Special Skills

Solution-focused
counseling

Quality management
care team member

Community Resources
specialist

Fluent in Ukrainian

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC

Director of Information & Assistance, December 2020 – Present

Ms. Gritsan manages the Program Managers in our Self-Directed States which includes, Tennessee, West Virginia, Connecticut, Oregon, and New Jersey. She focuses on daily operations of the Supports Brokerage Staff, overseeing contract compliance as it relates to Financial Counseling service delivery and indirect supervision of Financial Counseling Staff, statewide training and development. Ms. Gritsan is accountable for oversight of state specific program policies and procedures, including implementation of new or revised policies and procedures. She maintains and manages appropriate contact with all State and MCO staff.

State of Tennessee CHOICES, Employment Community
First CHOICES, Self Determination Waiver, Katie Beckett
Waiver, November 2018 – December 2020

Ms. Gritsan lead the launch of the Self Determination Waiver and Katie Becket Waiver Programs in Tennessee. She is responsible for managing daily operations of the Supports Brokerage Staff, overseeing contract compliance as it relates to Financial Counseling service delivery, direct supervision of Supervisor Staff, and indirect supervision of Financial Counseling Staff, statewide training and development. Ms. Gritsan is accountable for oversight of program policies and procedures, including implementation of new or revised policies and procedures. She maintains and manages appropriate contact with all State and MCO staff.

Oksana Gritsan

Continued

Lead Supports Broker Supervisor, September 2017 – November 2018

Ms. Gritsan developed and managed a new division of the FCS Supports Broker Hybrid role. She assisted with development of policies and procedures for Self-Directed Consumer Services and launch and transition of TennCare SDWP program in Tennessee. Ms. Gritsan acted as an intermediary between the NJ State Program Office and the NJ PPP Program. She produced Critical Incident reports to State Client on an ongoing basis. Additionally Ms. Gritsan oversaw the implementation of EVV in the TennCare programs and organized and conducted statewide meetings and trainings with NJ FCS Supports Broker staff.

State of New Jersey, Supports Broker Supervisor, April 2017 – September 2017

Ms. Gritsan provided direct supervision, corrective action, and training to her team of 25 staff. She specialized in de-escalation of high level concerns from the NJ State Client, Participants and Workers and directly supported New Jerseys Program Manager in managing operation work flow. She developed troubleshooting workarounds for participant online enrollment, payroll support, and state live in exemptions.

Community Access Unlimited

Assistant Director of Counseling, Personal Preference Program, June 2016 – April 2017

Ms. Gritsan lead a team of 12 regional supervisors, managing three office locations in NJ, where she conducted bi-weekly supervision with each staff member and acted as hiring manager to fill available positions within the company for the consultant role. She maintained a monthly training class that consisted of 10 new hires and cross trained all 120 staff on a quarterly basis.

Regional Supervisor, Personal Preference Program, September 2014 – June 2016

Ms. Gritsan processed all participant and worker enrollment paperwork, changes, and cash management plans. She supervised a team of 18 consultants and oversaw their time management, calendar, participant visit log and monitored monthly billing, notes, and company files. Ms. Gritsan developed workable solutions for recurring problems for individuals and families.

Oksana Gritsan

Continued

Consultant, Personal Preference Program, January 2012 to September 2014

Ms. Gritsan provided completed quarterly visits for a caseload of 120 participants while assisting with enrollment paperwork, paperwork processing, building and management of each participants monthly cash management plan, self direction training and refreshers and troubleshooting case by case issues as they occurred under strict deadlines. She prepared meetings, travel arrangements and calendar appointments and maintained thorough case notes and records.



PROFESSIONAL BACKGROUND

**Public Partnerships
LLC, Newark NJ**
2017 – Present

**Community Access
Unlimited, Elizabeth,
NJ**

2011-2017

EDUCATION

Kean University

*Bachelor of Arts in
Psychology 2010*

**Certification/Public
Relations/Special
Skills**

Certificate of
Human Resource
Management

YAMILE MATUTE

 **Information and Assistance *Functional Area***
Enrollment Team Member

Information & Assistance, Education & Support – Support Broker Manager

Strong experience with self-direction training, content creation, and managing staff. Responsible for overseeing self-directed training programs in Connecticut and Oregon. Eleven years of experience supporting aging adults and individuals with developmental disabilities. Experience providing individualized education leveraging personalized accessible training techniques that cater to each individual's learning abilities, needs, and preferences.

RELEVANT PROJECT EXPERIENCE

Connecticut Department of Developmental Services (DDS)

Employer Training and Support *April 2021-present*

Responsible for daily management of the Connecticut DDS Self-Direction Training and Technical Assistance project. Ensure staff are supporting employers and families through their self-directed journey. Maintain program integrity by meeting contractual obligations. Ensure training content remains relevant and up to date based on client and consumer surveys. Maintain progress reports. Create and maintain client billing report.

Oregon Home Care Commission (HCC)

Employer Training and Support, *May 2021-present*

Responsible for daily management of the Employer Resource Connection (Employer Training and Support) services and community-based outreach. Responsible for ensuring all training services are properly rendered with a person-centered approach while still meeting contractual obligations. Create and maintain client billing report.

Public Partnerships | PPL

Manager of Information, Assistance, Education & Support
2021-Current

Yamile Matute*continued*

Responsible for managing successful daily operations for Connecticut and Oregon project staff and overseeing contract compliance as it relates to person-centered services within each program, referral outreach, and contract deliverables. In charge of billing process for each service rendered. Responsible for staff training and development. Responsible to maintain up to date, relevant training materials for both programs. Create content materials for the Connecticut program as needed. Maintain Brainier systems with the most recently created materials.

Lead Financial Consultant Supervisor, 2019 -2021

Direct supervision of 3-5 financial consultant supervisors under the New Jersey Personal Preference Program (PPP). Supervise team of 10-15 financial consultants. Mentor and guide supervisors in managing their own teams. Oversee teams and ensure they are meeting matrix deliverable expectations. Lead and manage special projects as needed. Create and train on policies and procedures. Responsible for training committee team for newly hired and legacy staff. Assist in participant curriculum creation. Maintain reduced caseload of participant and assist with all responsibilities including budget management, employer and employee training.

Financial Consultant Supervisor, 2018 – 2019

Responsible for direct supervision of 20 financial consultants, daily coordination of Financial Counseling Services, enrollments, payroll, and management deadlines. Enforce policies and procedures to ensure contract compliance. Maintain a caseload of participants, and their employees including all associated responsibilities of enrollment, budget development, and participant contact. Maintain a reduced caseload of participants and assisted with all responsibilities including budget management, employer and employee training.

Lead Financial Consultant, 2018

Maintain a caseload of 60 participants and assisted with all responsibilities including budget management, employer and employee training. Conduct financial consultant file audits. Mentored, trained and guided financial consultants on their daily tasks based on audit results. Assist financial consultant supervisor with administrative tasks for the team. Monitor and manage escalated cases as needed. Participate in special projects.

Yamile Matute

continued

Financial Consultant, 2017

Maintain a caseload of 125 participants and assist with all responsibilities including budget management, employer and employee training. Provide participants with practical skills training in areas such as: locating community resources; recruiting, selecting, hiring, training, and supervising employees; and purchasing goods and services.

Community Access Unlimited

Personal Preference Program (PPP) Statewide

Trainer/Recruiter 2013 - 2017

Train promoted consultants into supervisory position. Recruit, hire and train new staff. Provide yearly training to 90+ existing staff. Conceptualize and create Standard Operating Procedure Guide, used program wide. Provide consistent updates to program materials as program evolved. Systematically evolve program wide hiring and training procedures. Develop and supervise a more efficient Quality Assurance process. Track training and HR required documents.

Support Coordinator/ PPP Consultant Supervisor, 2012 – 2013

Supervise a total of 15 Support Coordinators/Consultants. Assist with budgeting, cash management plans, financial analysis, PCPT and NJISP. Maintain a caseload of 20 participants, derived of a diverse population with disabilities in need of home care assistance. Assist in making decisions with their individual budgets according to their specific needs. Review consultant/coordinator paperwork and budget plans. Ensure monthly contact with each participant. Complete quarterly home visits to ensure participant wellbeing and prevent fraud.



KAREN HISEL, RN



Information and Assistance *Functional Area*
Enrollment Team Member

Manager

PROFESSIONAL BACKGROUND

**Arkansas Foundation
for Medical Care**

2010-Present

**Sisters of Mercy
Health System**

2007 to 2010

**St. Joseph Health
System, Covenant
Medical Center**

2005 to 2007

**Community Health
Systems, Highland
Medical Center**

2003 to 2005

EDUCATION

**Northwest Texas
School of Nursing,
Amarillo, TX,**

**Amarillo College,
Amarillo, TX,**

Licensure/Certifications

Arkansas Nursing
License

InterQual, Certified
Professional in
Utilization Review

Value Health Science,
Medical Review System
certified

EXPERIENCE

35 Years	Experience in the Health Care Industry
30 Years	Management and Director Level Leadership
30 Years	Education and Training
25 Years	Teambuilding and Program Development
20 Years	Quality Improvement
20 Years	Regulatory Compliance

Arkansas Foundation for Medical Care

Manager

Non-Emergency Transportation, 2010 to present

- Project Manager for the Outreach Services Non-Emergency Transportation (NET) contract and Extension of Transportation Services (EOTS) contracts
- Plans, develops, implements, and evaluates programs and services related to state- wide NET for the Medicaid client.
- Monitors, evaluates, and recommends process improvements to the NET program, including corrective action, where indicated.
- Provides education to Arkansas Department of Human Service Division of Medical Services (DMS), transportation brokers, health care providers, and the public regarding the Medicaid NET program.
- Liaison for DMS and government officials relating to NET issues
- Directs staff daily activities for the NET/EOTS program.

Sisters of Mercy Health System

Director, Utilization Management, 2007 to 2010

- Responsible for the overall direction of clinical case management functions and staff management in a not-for-profit, faith-based acute care facility
- Accountable for achieving established performance targets by engaging multiple disciplines and professional staff

Karen Hisel *continued*

Professional Memberships and Affiliations

Served on the Home Health Advisory Board, Garland County

Served on Safe Haven Women's Shelter Advisory Council

Served on the Executive Board, Garland County CARES, Healthcare Coalition

Served on the Executive Board of the Advanced Health Management Institute, Mercy Health Plans

- Ensured that department goals and objectives were achieved by engaging all stakeholders in clinical care coordination and outcomes processes.
 - Participated in evaluating, designing, planning, and implementing systems for reducing length of stay and barriers to discharge.
 - Key role in the development of a corporate-wide disease management employee benefits program
-

St. Joseph Health System, Covenant Medical Center

Manager, Case Management/Social Services, 2005 to 2007

- Planned case management services for a targeted population in a large not-for-profit, faith-based health system.
 - Oversight of daily operations of a CM/SS staff comprised of RN case managers, licensed social workers, and physician medical advisors
 - Supported a collaborative and coordinated process to promote effective management of patient care across the health care continuum among departments, ambulatory clinics, physicians, and department staff. Fostered teamwork and integration of services and staff.
 - Identified opportunities and strategies to improve department process to meet the evolving needs of specific patient populations, the hospital, and the community.
 - Identified quality and cost improvement strategies through the promotion of innovative health care practices.
-

Community Health Systems, Highland Medical Center

Case/Resource Manager, 2003 to 2005

- Examined issues at all phases of the inpatient stay (admission, diagnostic, treatment/recovery, and discharge phases) to ensure the appropriate and cost-effective utilization of resources.
 - Prepared utilization reports and analyzed data for committees and process improvement activities.
 - Served as Interim Director of Case/Resource Management Program for approximately 6 months.
-

Karen Hisel *continued*

Continuing Education

Trained in Millman, Texas Medical Foundation, InterQual, and VHS/MRS medical screening criteria and length-of-stay guidelines

Continuing education courses in health care law, health care administration, current medical trends, medical ethics, case management, various

Six Sigma training at green belt level with application of principles in numerous length-of-stay and patient flow projects

HealthNet Federal Services

Manager, Case Management, 2000 to 2002

- Responsible for the oversight of all case management activities for Region 6 South of HealthNet Federal Services, the largest administrator of managed care programs for the military, their dependents, and retirees
- Developed and implemented a corporate-wide population-based health initiative (disease management program).



SHERYL HURT, CPHIMS, PCMH CCE



Information and Assistance *Functional Area*
Enrollment Team Member

Director, Outreach Services, Provider Policy and Inspections of Care

PROFESSIONAL BACKGROUND

Arkansas Foundation for Medical Care
2010-Present

Arkansas Pediatric Clinic

2007 to 2010

EDUCATION

Bachelor of Science
University of Arkansas

Licensure/Certifications

Certified Professional in Healthcare Information and Management Systems (CPHIMS), 2013

Patient-Centered Medical Home Certified Content Expert (PCMH CCE), 2016

EXPERIENCE

35 Years	Experience in the health care industry
13 Years	Education and Training
12 Years	Policy and Education
11 Years	Leadership/Management
8 Years	Program Coordination/Oversight
4 Years	Inspection of Care - Quality Assurance oversight

Arkansas Foundation for Medical Care

Director, Outreach Services, Provider Policy and Inspections of Care, 2019 to present

Oversight of multiple contracts (7) under Provider Relations, Client relations and Inspections

Work with internal staff and external customers to develop, implement and manage contracts and deliverables including daily processes and efficiencies

Responsible for multiple budgets to ensure funding is allocated appropriately

State Capital representative for AFMC during sessions as requested

Supports planning, development, and implementation of new state initiatives (PCMH, EOC, ARHome)

Operation implementation of new contracts

Subject matter content expert for proposal preparation

Manager, Outreach Services, Provider Relations, 2015 to 2019

Provider Relations Representative and Health Information Technology (HIT) Specialist, 2010 to 2015

Sheryl Hurt *continued*

***Professional
Memberships and
Affiliations***

AAPC – American
Academy of
Professional Coder

Arkansas Pediatric Clinic

Assistant Administrator, 2007 to 2010

North Pulaski Diagnostic Clinic

Billing/Account Manager, 2000 to 2007



PROFESSIONAL BACKGROUND

**Public Partnership
LLC,**
2015 – Present
**State Street
Corporation**
2010 - 2015
Deloitte
2008 – 2010
**Investors Bank &
Trust**
2006 – 2008

EDUCATION

Stonehill College

Bachelors of Science -
Marketing, Minor -
Computer Information
Systems

Southern New Hampshire University

Master's in accounting
with focus in Taxation

Certification/Publicati ons/Special Skills

IRS Special Enrolled
Agent

Professional Scrum
Product Owner I

DAVID GOLDBERG



**Payroll and Tax *Functional Area*
Leadership Team Member**

Director of Accounting and Tax Compliance

Business leader and IRS Special Enrolled Agent with over fourteen years of relevant tax and accounting experience. Extensive experience in process improvement, creation of controls and policies and procedures to ensure compliance with all applicable state and federal tax laws.

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC

Director of Accounting and Tax Compliance/ Senior Tax Manager/
Tax Manager, 2015 – Present

Manage and coordinate all tax and program accounting reporting functions and services including, policies and procedure development, staff training and supervision. Manages federal, state and local tax filings and remittances for over 40 projects (including: AZ DDD, GA TPA, IN FSSA, MA ASD, ME FPSO, NJ DHHS, PA OLTL, SC FDGS, VA DMAS, WV BMS.) Perform monthly bank reconciliations across over 50 projects. Assist senior staff to develop and enhance technical and operational capacity to generate accurate tax processing and reporting in multiple states. Created a comprehensive schedule and dashboard across all three levels of the tax department. Designed and implement a quality program across the program accounting and tax departments.

State Street Corporation

Tax Officer/Tax Manager, 2010 – 2015

Manage a staff of six and two managers and provide training and performance reviews. Responsible for all day to day communications with the client. Member of the Advance Leadership Program which includes only 40 participates company wide. Running a full audit cycle for four different clients simultaneously. Schedules workloads for several large clients (over a hundred funds) including allocating resources, managing deadlines, communicating with client and audit team to track progress, and strategizing for collaborative solutions to compensate for delays. Responsible for reviewing and filing of clients FBAR filing requirements. Responsible for Preparing the ASC 740

David Goldberg

continued

(FIN 48) Matrix and documentation for the client and auditors for five different clients. Lead contact for financial reporting, fund accounting and compliance teams for all internal tax matters.

Deloitte

Tax Consultant II, 2008 – 2010

Responsible for preparing and reviewing 1120 RIC, 8613 tax returns according to specific client deadlines. Prepared Form 1065 tax returns for

Partnerships and Common Trust Fund clients. Maintain a program of professional self-development to enhance and further develop technical knowledge and supervisory/managerial skills. Review and prepare K-1's for the client. Update and oversee maintenance of "Best Practices" with respect to tax accounting, including predominant industry positions. Oversee development and maintenance of tax deliverable calendar for Tax Manager and clients, including tracking of tax return due dates. Consult with Tax Manager and clients on a variety of tax related issues inside and outside of the mutual fund and partnership environment. Prepare and review more complex tax adjustment; including Grantor Trust, Straddle and QCCO analysis.

Investors Bank & Trust

Senior Tax Analyst, 2006 - 2008

Responsible for reviewing and overseeing maintenance of written procedures and policies with respect to the deliverables of tax group. Specific responsibilities include review of federal, state and local tax returns, overseeing development and maintenance of tax compliance calendars for distributions, tax returns and all other tax deliverables. In addition, assist the Tax Manager, clients and the firm with all matters related to tax. Ensure timely preparation and review of all tax returns, including coordination of review by client's public accounting firm. Assist Financial Reporting area with tax related items disclosed in financial statements, including review of such items by client's public accounting firm.



CHRISTINE GRANT

 **Payroll and Tax Functional Area
Operations Team Member**

Senior Payroll Manager

Senior Payroll Manager with over 14 years of experience in managing high-volume and fast-paced environments. Expert in developing and implementing processes that streamline operations, increase productivity, and reduce errors.

PROFESSIONAL BACKGROUND

**Public Partnerships
LLC**, January 2016 -
Present

**Odyssey Merchant
Services**, Wakefield,
MA September
2014 – January 2016

Bank of America,
Malden, MA December
1999 – June 2014

EDUCATION

**Northeastern
University**, Boston,
Massachusetts

Bachelor of Science in
Management

**New England College
of Finance**, Boston,
Massachusetts

Associate of Science in
Accounting & Finance

Certification/Publicati ons/Special Skills

Summa Cum Laude –
GPA 3.9
(Northeastern)

RELEVANT EXPERIENCE

Public Partnerships LLC -

Senior Payroll Manager, January 2016 - Present

Responsible for overseeing the daily financial operations; ensuring that proper quality controls are in place to ensure that wages, taxes, voluntary and involuntary deductions are calculated accurately, and payments are disbursed in accordance to the Department of Labor laws. In addition, Ms. Grant leads a team that is accountable for the management of Unclaimed Property, Garnishments and several Compliance related reporting. Christine also collaborates with our Customer Experience and Account Management Teams to resolve all payroll issues for over 100k consumers, 250k Provider in 50 Participant directed programs.

Odyssey Merchant Services - Operations Manager, September 2014 – January 2016

Managed a staff of 6 that was responsible for the deployment of credit card machines. Oversaw that proper boarding was performed by the credit card operation's team (specifically, account activation, file build, Pdownload and deployment of POS devices and VARS to software vendors) for new clients. Orchestrated the research and resolution for client POS issues. Acted as the primary point of contact for all escalated matters and responsible for identifying and closing process gaps when necessary. .

Bank of America - Operations Team Manager, Bank Officer, December 1999 – June 2014

Managed up to 23 staff processed Returned Items to recover bank funds that were credited to customer's depository accounts and provided calls to clients to alert them of the debit adjustments. Led a

Christine Grant

Continued

team that was responsible for minimizing large dollar loss exposure for the bank and a team that provided account maintenance for specialized clients. Researched escalated customer service issues to identify root cause & resolutions to improve overall department's quality metrics. Collected and reviewed Management Control Review Process backup to perform internal audits to ensure that proper business controls are in place to mitigate operational risk.



PROFESSIONAL BACKGROUND

Public Partnership

LLC, Boston, MA
2018 – Present

**Krater Cellars, Santa
Rose, CA**
2013 – Present

Beacon, Boston, MA
2008 – 2012

Fannie Mae,
Washington DC 2004 –
2008

EDUCATION

Saint John's College,
Santa Fe, NM

Bachelor of Arts -
Classical Liberal Arts:
Mathematics,
Philosophy, History of
Science, Ancient Greek
& French.

Graduated 1st in class
and awarded Senior
Essay Prize.

BRITT HOFER

Payroll and Tax Functional Area
Operations Team Member

Senior Director, EVV Product Development

Britt came to PPL in 2018 and leads our Project Management Office. His team manages implementations of new programs, transitions, and other company wide projects. He is PPL's resident expert on policy, design, and innovation of Electronic Visit Verification (EVV) technologies. He collaborates with key functional managers, advises state agencies, and directs development teams in delivering our industry leading Time4Care EVV solution.

RELEVANT PROJECT EXPERIENCE

Public Partnerships LLC

Senior Director, EVV Product Development, 2018 – Present

Senior leadership team member responsible for policy, design, innovation and implementation of all Electronic Visit Verification (EVV) technologies across all programs at PPL. Collaborate with key operating departments, advise special project teams, and direct development teams to manage the seamless introduction of EVV solutions in existing and new programs. Key contact for all state and health plan clients for all matters related to the deployment of EVV in compliance with Federal Law.

Krater Cellars, Santa Rose, CA

Founder, 2013-Present

KRATER is a boutique winery specializing in rare varieties and focused on traditional non-industrial winemaking styles.

Carried in Michelin star restaurants and select wine shops in San Francisco, Los Angeles, NYC, and Paris. Designed and built this winery with drive and hard won expertise in viticulture and technical winemaking. Built the product and branding strategy, manage all production logistics, negotiate contracts, and ensure regulatory compliance. Develop and executed sales strategies building essential relationships with sales partners, key accounts, growers, direct customers, and the press.

Brett Hoffer*continued***Certification/Publications/Special Skills**

Thinking through first principles

Data analysis

Verbal & written communication

Leadership

Creativity

Project management

Risk management

Disciplined and organized

Beacon Health Options, Boston, MADirector of Corporate Operations, 2008-2012

Led the Strategic Initiatives department that oversaw a portfolio of 84 special projects, with a targeted focus on growing a small company to a medium-sized company. Led the organization through the post-merger integration of three companies. Built support for corporate objectives and worked to create a new corporate culture through targeted outreach, companywide discussion forums, and the development of a companywide intranet site and corporate periodical.

Formed and led cross-company management teams focused on collaborating across strategically important functions and capabilities, including clinical innovation, software development, and analytics and reporting. Designed and developed a comprehensive suite of metrics and management reports for clinical departments, bringing new insight and management capabilities to clinical operations. Grew electronic claims submissions from 5% to over 90% by upgrading the organization from a large scale paper claims based processor to an electronic claims processor; the result was greatly lowered operating costs, reduction in error rates, increased transaction speed, and ultimately a scalable model. Designed the company's depression health management program, enabling early clinical interventions and resulting in improved patient health outcomes. Designed, built, and implemented an industry-leading psychotropic drug intervention program that serves millions of people across the country.

Fannie Mae, Washington, DCSenior Risk Analyst, 2004-2008

Created a financial performance model that enabled rapid analysis for risk decision making that proved to be invaluable during the 2007 mortgage banking crisis. Researched, wrote, and implemented new organizational risk policies through the chief risk office. Conducted extensive research into the mortgage banking industry to validate the internal model used to assign risk grades and limits to counterparties. Researched and reported on the performance of borrowers and geographic regions through extensive data analysis and model implementation.



PROFESSIONAL BACKGROUND

**Public Partnerships
2007 – Present**

EDUCATION

Clark University,
Worcester,
Massachusetts

*Master of Business
Administration*

**University of
Delaware,** Newark,
Delaware

Bachelor of Science

ELIZABETH HARRIS

● **IT/Systems *Functional Area*
Leadership Team Member**

Director of Technical Product

Ms. Elizabeth Harris has been with PPL for over 15 years and plays a critical role in requirements gathering and alignment with system configuration during implementation. Ms. Harris has been a key contributor on all PPL implementations over the past decade. During the implementation period, Elizabeth will provide oversight and support of our technical product development for Arkansas.

RELEVANT PROJECT EXPERIENCE

State of New Jersey, Department of Human Services (DHS)

Directed the implementation of statewide Fiscal Intermediary and Cash & Counseling Services for three divisions of NJ DHS serving over 20,000+ participants. Ms. Harris led implementation management to ensure timely transition of participants/providers from previous fiscal intermediary as well as implementation of new IT platforms including a web portal, billing system and enrollment system.

Commonwealth of Pennsylvania, Department of Human Services (DHS), Office of Long-Term Living (OLTL) Program

Directed the implementation of the OLTL program which included the transition of 22,800 participants from approximately 23 different vendors. The transition resulted in the process and payment of 98% of all timesheets accurately submitted during this period. During the implementation period, the team successfully handled 243,234 calls in January of 2013 (start date) and was able to stabilize to approximately 37,380 by January of 2014, a testament to the success of the overall implementation.

State of Washington Department of Social and Health Services (DSHS), Individual ProviderOne (IPOne)

Worked with key members of the PPL and DSHS teams to convert data from multiple legacy sources. This work requires extensive advanced planning, which involves file layouts, data identification and translation as well as communication planning. The IPOne program serves over 40,000 individuals across the State and is a complex program requiring significant self-directed program implementation experience.



PROFESSIONAL BACKGROUND

Public Partnerships
2013 – Present

Microsoft
2007 - 2013

EDUCATION

Sikkim Manipal, India
Master of Science in IT

IGNOU, India
Bachelor of Computer Applications, Computer Science

CERTIFICATIONS

MCTS :SQL Server
2008, Implementation and Maintenance certification

ITIL V3 Foundation

JASPREET SETHI

● IT/Systems *Functional Area*
Operations Team Member

Senior Director of Systems Development

Ms. Jaspreet Sethi brings over 18 years of experience in software quality assurance and testing. She oversees user acceptance testing for all system changes. Jaspreet works cross functionally during implementations to ensure system requirements documentation is properly communicated to developers. During the implementation Jaspreet will be involved in project meetings and lead test case development and testing.

RELEVANT PROJECT EXPERIENCE

Ms. Sethi has worked in various programs in PPL with most recent projects OH-Passport, OH- My Care, NJ PPP, NJ DDD, CO CDASS, FL, MA, VA, PA. Ms. Sethi is also responsible for shared services in PPL- QA, Release Management, IT Audit & Compliance.

Ohio Department of Medicare, OH My Care, February 2020 – Present

Responsible for implementation of the program including BetterOnline (including My Account for Online Enrollment), EVV and Time4Care. Involved transition of employees and employers to our system using DocuSign. Led a team of 13+developers and supported integration testing across features and teams.

Active Programs in Production, June 2018 – December 2019

Responsible for operation and maintenance of all PPL programs in production, including technical operations.
Responsible to maintain and support all PPL programs, including small enhancements, break-fix, and incident response.
Provide shared services (release and environment management, tech ops, and quality assurance automation) to all three Delivery Towers and will also be responsible for program de-implementations (closeouts).

QA Manager/IT Operations, June 2013- May 2018

Responsible for QA and UAT activities for all program implementations. Responsible for incident management post release to production. Smoke test suite- build and maintain, Regression test suite- build and maintain Production, support Incidents and UAT



PROFESSIONAL BACKGROUND

**Public Partnerships
LLC**, December 2012 –
Present

Calloway Labs,
Woburn,
Massachusetts March
2010 – Sept. 2012

**Athenahealth
Corporation**,
Watertown,
Massachusetts

April 2009 – March
2010

**The First Marblehead
Corporation**, Boston,
Massachusetts 2005 –
2008

Microfinancial Inc.,
Woburn,
Massachusetts 1991 –
2005

EDUCATION

Simmons College,
Boston,
Massachusetts

Bachelor of Arts,
Business Management

CAROL SALVO



**Authorizations and Claims Functional Area
Leadership Team Member**

Senior Director of Revenue Cycle Management

Ms. Carol Salvo Over 25 years of finance experience with focus on financial services, risk management, revenue management, and receivables management.

As Senior Director of Revenue Cycle Management (RCM) at Public Partnerships, LLC, Carol is responsible for the management and oversight of centralized Authorizations, Eligibility, billing operations and the revenue cycle management in support of more than 50 programs throughout the country assuring receipt of Authorizations and Eligibility, the timely completion of billing, collections, revenue. Carol manages processes to advance PPL's ability to meet and exceed key strategic goals and initiatives. Provides direction by establishing goals, policies, and procedures towards performance improvement. Participates in development of organization plans and vision.

RELEVANT PROJECT EXPERIENCE

Public Partnership LLC

Senior Director of Revenue, December 2012 – Present

Integral part of the organization reporting to the COO. Management, leadership, direction, oversight, and strategy of a centralized Revenue Cycle Management operation in support of more than 50 programs throughout the country assuring the integrity of Authorizations, Enrollment, Eligibility, Billing, Receivables Management.

- ▶ Revenue oversight of a \$3BN service portfolio and an administrative revenue portfolio.
- ▶ Collaborate with CFO on program Reserves, Write offs, and Cashflow
- ▶ Ensure optimal net revenue and minimum invested capital through integrity of Authorizations and Eligibility, solid Billing policies, strong accounts receivable procedures, denials management and prevention, and payer contract management.

Carol Salvo
Continued

- ▶ Lead communication and problem solving with State(s) and MCO clients on all affairs especially on escalated matters. Negotiate settlements on aged AR.
- ▶ Develop financial models for analyzing operational requirements and costs for providing financial management services to support consumer direction programs.
- ▶ Collaborate on Contract terms to mitigate business risk and maximize financial objectives.
- ▶ Establish metrics, publish reports, and Key performance indicators (KPI) dashboards.
- ▶ Develop business requirements and coordinate the design, test, and implementation of the Revenue cycle tools. Collaborate with RCM team on root cause analysis.
- ▶ Collaborate with Information Technology to determine a scalable revenue cycle management technical infrastructure solution.
- ▶ SME from a cashflow perspective on all RFP writing and contract pricing,
- ▶ Participate in business planning and implementation of program launches to ensure compliance with contractual obligations, state and federal regulations, and CMS requirements. Implement Internal controls to ensure HIPAA compliance and SLAs.
- ▶ Perform A/R statistical analysis, identify gaps, develop and deploy solutions necessary for the achievement of key metrics. Maintain aging reports to support cash flow decisions as well as P & L of existing portfolio.

Calloway Laboratories

Director of Revenue Management, *March 2010 – September 2012*

- ▶ Directed billing and collection activities for 35,000 monthly toxicology Tests, approximately \$20M in Monthly charges for payers in 43 States. Supervised staff of 20+ employees.
- ▶ Directed the development and efficient administration of policies, budgets, systems, staff and operations, to effectively manage the billing functions, patient accounts receivables, and to maximize reimbursement from third party sources.

Carol Salvo
Continued

- ▶ Successful in Re-engineering billing process, which resulted in substantial operational improvements, and in eliminating 180-day backlog.
- ▶ Developed a system to electronically batch insurance eligibility inquiries for payers resulting in a 30% increase in productivity.
- ▶ Implemented operational efficiency to allow enhance claims follow-up, reduce A/R days, with outcome resulting in a reduction of claims rejection rate from 39% to 15%.
- ▶ Ensured that quality and performance standards were met and third-party payer and governmental agency billing and documentation requirements were compliantly adhered to.

Athenahealth Corporations

Remittance Manager, April 2009 – March 2010

- ▶ Responsible for all collections of company physician services sales revenue from payers.
- ▶ Collaborated with Enrollment Services to ensure faster implementation of ERA transaction processing resulting in quicker payer reimbursements.
- ▶ Established and monitored daily process controls to meet departmental quality and effectiveness metrics.
- ▶ Evaluated, implemented and continually assessed team structure, business policies and procedures while ensuring the efficiency and effectiveness of the mailbox process.
- ▶ Facilitated the efficient completion of daily production deadlines by managing all batch creation; mailbox, lockbox, and correspondence workflows resulting in exceeding TAT in compliance with client's Service commitments.
- ▶ Developed project plans to achieve determined quality and productivity goals, lead projects through to successful completion. Created, modified, documented and executed general-operation and client-specific quality test plans.

Carol Salvo

Continued

The First Marblehead Corporation

Managing Director Litigation and Bankruptcy, 2005 - 2008

- ▶ Fully responsible for the oversight of a litigation portfolio of 25,000 cases, approx. \$300M, including bankruptcy and probate.
- ▶ Managed legal regulatory issues, ranging from commercial law (including contracts, leases and business transactions, risk management and litigation), to Sarbanes-Oxley act, Section 404 Certification tasks, and high-level negotiations on contracts, regulatory and litigation settlements.
- ▶ Designed, established, implemented, and monitored procedures and controls to ensure a high performance, electronic management workflow solutions that resulted in increased productivity, reduced cycle time and allowed for efficient case flow management t.
- ▶ Collaborated with corporate compliance and vendors to ensure risk and controls were properly assessed, and damages were mitigated resulting in costs reductions.
- ▶ Developed and implemented metrics for outside vendors, reporting processes, quality monitoring, goals and performance plans, to improve performance and oversight.
- ▶ Analyzed and evaluated portfolio performance and liquidity while utilizing scorecards and established benchmarks.

Microfinancial Inc.

Vice- President – Legal Operations, 1991 – 2005

- ▶ Designed and managed a Legal-collections operation. Oversaw the recovery of a \$200M portfolio.
- ▶ Set up procedures and collaborated with the systems team to design and develop system automation to allow for efficient case flow management of 50,000+ civil cases including the enforcement of judgments nationwide through a network of hundreds of local attorneys and process servers.
- ▶ Organized, influenced and managed posture towards nationwide and state attempted class actions, FTC and State Attorney General Investigations.
- ▶ Strategic directions for in-house and outside legal counsel on all plaintiff and defense legal matters, including Government Agencies' investigations and ultimate compliance.

Carol Salvo

Continued

- ▶ Ongoing business risk assessment, oversight of 1,500 outside vendors and enforcement of compliance to vendor contracts.
- ▶ Evaluated marketing programs and contracts, formal review and approval of new business markets.



PROFESSIONAL BACKGROUND

**Public Partnerships
LLC, November 2006 –
Present**

**Alaska
Airlines/Peninsula
Airways, September
2003 – October 2006**

**Matanuska Susitna
Borough School
District, September
1994 – September
2001**

EDUCATION

**University of
Phoenix,
Online**

Health Administration

**Estrella
Mountain
Community
College**
Avondale, AZ

Health and Social
Sciences • 2008-2010

**University of
Anchorage
Alaska**
Anchorage,
AK

Psychology/Journalism
1982-1984

APRIL BOEHM



**Authorizations and Claims *Functional Area*
Operations Team Member**

Director, Revenue Cycle Management

Over 20 years' experience in Healthcare Business and Operations Management with emphasis in Business Development, Project Management, Financial Management, Operations Management, Program Support, Customer Service, Training and Education specializing in consumer directed service delivery models.

RELEVANT EXPERIENCE

Public Partnerships LLC

Director, Revenue Cycle Management, Authorization and Eligibility, July 2020 – Present

Director of Revenue Cycle Management responsible for the direct oversight of authorization and eligibility operations across the organization supporting consumer directed programs nationwide. Manages processes to advance PPL's ability to meet and exceed key strategic goals and initiatives. Provides direction by establishing goals, policies, and procedures towards performance improvement while participating in development of organization plans and vision. Participates in implementations and program launches to ensure compliance with contractual obligations, state and federal regulations for member enrollment, eligibility, and authorizations through HIPPA Transactions and Code Sets to bring standardization in the electronic exchange of patient-identifiable health related information. Implements and maintains effective internal controls for managing to front end processes to support accurate claiming and billing practices and appropriate reimbursement. Liaison between clients and IT to develop business requirement documents and coordinate the design, test, and implementation of the revenue cycle management process.

Manager, Revenue Cycle, Authorization and Eligibility,
February 2019 – June 2020

Revenue Cycle Manager responsible for the direct oversight of all external and internal authorization, demographic, and eligibility related items across all programs within the organization. Responsibilities include business requirement gathering specific to

**University of
Anchorage
Alaska
(Palmer, AK)**

Health and Social
Services • 1994-1996

Certification/Publications/Special Skills

Agile Principles &
Methodologies • Scrum
Master • Project
Management

authorization and eligibility during the implementation stage of all new programs, ongoing oversight of all authorization related items including ETL/EDI file generation, uploads and processing of manual entries and pre-authorization reviews as well as 270/271 eligibility process, file error reporting and oversight of file error processing, authorization and eligibility reporting and implementation of best practices and standardization across consumer directed programs. Works in partnership with account management, billing, claiming and internal PPL program /operational teams to coordinate the design, development and deployment of program setup and execution relative to authorization and eligibility.

Manager, Business Implementations, July 2016 – February 2019

Served as a Business Implementation Manager providing overall project management of cross functional teams through implementation of new business using PMI processes and standards; including the identification of team members, producing a project management plan, client engagement and ensuring all implementation documents updated and reported on. Responsibilities included internal coordination of operation resources within customer service, financial operations, finance, program management departments and IT Development teams. Works in partnership with client Representatives and internal PPL program /operational teams to coordinate the design, development and deployment of program setup and new business execution.

Colorado Consumer Direct Support Services (CDASS)
Program – Program Manager, July 2013 – June 2016

Program Manager for a consumer directed program that serves over 2,700 Participants who are part of the Elderly, Blind and Disabled and Community Mental Health Supports, Brain Injury and Spinal Cord Injury Medicaid Waivers. Duties include, overall management of the contract, program operations including payroll, Participant budget management, attendant (caregiver) contracting, business requirements, Participant training, support brokerage, Medicaid billing, information systems development oversight and contract management reporting. Also, acts as primary point of contact / account manager.

Colorado Consumer Direct Support Services (CDASS)
Program – Program Support Manager, July 2011 – June 2013

April Boehm

Continued

Program Support Manager for the consumer directed service delivery option in Colorado. Duties included management of operations for Participant enrollment, training and orientation and a team of Program Support Specialist and Peer Trainers. Managed the development and delivery of the program training curriculum and enrollment activities. Worked closely with customer services and financial operations in developing process improvements for Participants and attendants through the enrollment process. Worked directly with state client and case managers in the development of uniquely designed web-based technology for the entry of prior authorization request to enhance the case manager experience in managing the Participant authorization process.

Colorado Consumer Direct Support Services (CDASS) Program – Operations Manager, December 2009 – June 2011

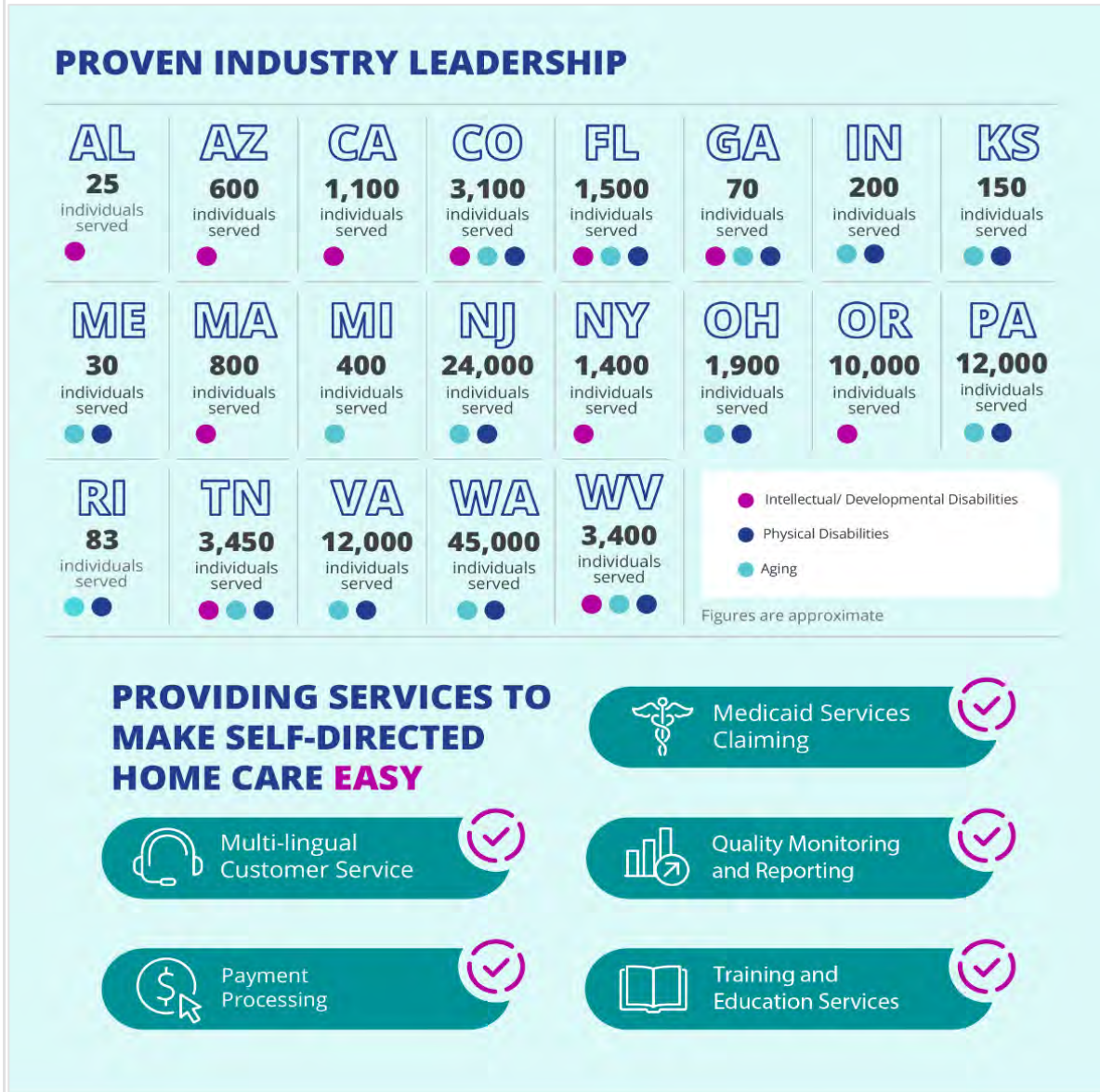
Operations Manager for the consumer directed service delivery option in Colorado. Duties included management of operations for Participant enrollment, training and orientation and a team of Program Support Specialist and Peer Trainers. Managed the development and delivery of the program training curriculum and enrollment activities. Worked closely with customer services and financial operations in developing process improvements for Participants and attendants through the enrollment process. Worked directly with state client and case managers in the development of uniquely designed web-based technology for the entry of prior authorization request to enhance the case manager experience in managing the Participant authorization process.

Customer Service Manager November 2006 – November 2009

Responsible for productivity standards and quality assurance benchmarking for Customer Service operations in the Phoenix, AZ site. Provided direct oversight to 7 team leads and 24 customer service representatives. Initiated process improvements and quality assurance initiatives. Assisted in new phone and server installations as well as initial IVR implementation. Developed and continuously refined tools and reports to measure productivity and quality more effectively throughout customer service staff within the Phoenix Call Center

C.	<p>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.</p>
	<p>Public Partnerships PPL has been championing the cause of self-direction since state Medicaid programs began offering the option in 1999. We were founded that same year the Massachusetts Department of Developmental Services (DDS) asked our parent company, Public Consulting Group, for help in providing financial management services for their Participant Directed Program (PDP). Embracing the principles of self-direction, PCG formed a new company, PPL, exclusively dedicated to making self-directed services become accessible nationwide.</p> <p>More than two decades later, PPL is proud of the difference we have made in the lives of thousands of individuals with disabilities, those with chronic illnesses, and the elderly, by supporting their choice to remain independent and active within their chosen community. Our mission remains clear and simple: <i>Transform more lives by making self-directed home care easier for ALL.</i></p> <p>PPL is the #1 choice in self-direction because of our commitment to our participants, their employees, and our financial management service (FMS) track record. We have consistently performed all FMS duties set forth in revenue procedure 70-6 IRS notice 2003-70 and are identified as a designated agent under section 3504. Our operations and enrollment teams support more participants (110,000), more workers (160,000) within more states (21) than any other FMS. Additionally, we provide counseling services across 3 states for approximately 30,000 participants opting to self-direct their personal care.</p> <p>PPL is supporting 40 self-directed programs with FMS and/or counseling services and a dozen of those programs we transitioned from another FMS. PPL is the FMS with demonstrated experience with transitions of 3,000 or participants in Colorado, New Jersey, Oregon and Pennsylvania. We also have recent transitions from other FMSs within the last two years in Ohio and Alabama. Our experience has resulted in seasoned transition and implementation project teams, information technologies that reduce the administrative burden, and operations and enrollment teams that understand the level of support necessary to ensure a seamless transition.</p>

Our graphic below shows our current clients, and the number of individuals served, these numbers are approximate as these numbers can and do fluctuate.





Cash and Counseling Administrative Experience

PPL is also the largest provider of counseling services for participant directed options. In 2006, PPL was awarded both FMS and counseling (i.e. support brokerage) services for the state of Tennessee’s department of TennCare. Our support brokers orient participants to the self-directed model, including budget and employer authority and more recently with the adoption of EVV. In 2007, West Virginia also combined FMS and counseling where PPL continues to provide information and assistance through *resource consultants*.

In 2016, we transitioned 18,000 beneficiaries enrolled in NJ Personal Preference Program (PPP). PPP is one of the original three Medicaid *Cash and Counseling* programs, in addition to Arkansas and Florida. Over the past 6 years PPP has continued to grow by 10% annually each year. Our keys to success have been well trained financial counselors who support with self-direction orientation, development of Cash Management Plans (i.e., Cash Expenditure Plans) and month over month budget monitoring to ensure continuity of care.

In the past 5 years PPL has also been selected by the states of Oregon, Connecticut, and Vermont to provide statewide self-directed employer orientation

and skills training.



We can confidently say that we have more than two years’ experience within the last five years’ serving 3,000 beneficiaries with FEA model of financial management and counseling services.

Service Organization Control (SOC) Certification

As a payroll company that handles large volumes of public funds and confidential information in a secure manner, PPL has attained the following attestations and certifications:

SOC 1 Type II Report – covers internal controls for PPL Financial Management Services Payroll Processing system

SOC 2 Type I Report and Bridge Letter from Evoque (formerly AT&T) – for PPL third party data center

SOC 2 Type II Report and Bridge Letter from CyrusOne – for PPL third party data center

On the pages that follow please find two (2) references and two (2) letters of recommendation.

References	Letters of Recommendation
1. New Jersey Department of Human Services	1. State of West Virginia, Department of Health and Human Services
2. Tennessee Long Term Care Operations, TennCare	2. Colorado Department of Health Care Policy and Financing

Reference 1

Fiscal Intermediary and Financial Counseling Services (New Jersey)

Department:	Department of Human Services
Division(s):	Divisions of Disability Services, Aging Services, Developmental Disabilities, and Medical Assistance Health Services.
Contract Term:	2015 – 2020 with two option years through 2023 [NJ DHS has exercised both option years]
Number of Individuals/Employers:	18,000
Number of Employees:	23,000
Contract Manager	Becky Thomas
Title:	Program Manager
Department:	Department of Human Services
Phone:	P: 609-651-2502
Email:	Rebecca.Thomas@dhs.state.nj.us

Project Scope of Work: Provision of statewide fiscal management services (FMS), administrative services, and financial counseling services (FCS) for individuals (i.e., beneficiaries) who are enrolled in DHS programs that allow these participants to self-direct and manage the services and budget in their plan of care, based on the participant’s personal choices.

- Provision of the Vendor Fiscal/ Employer Agent (VF/ EA) model of FMS services in accordance with Agent Employment Tax Liability, as issued in the Federal Register under Section 3504 of the Internal Revenue Code, and perform acts required of employers (i.e., the DHS participants), who are home care service recipients, and as their designated agent pay the wages for the home care services of these DHS participants, which are subject to taxes under the Federal Unemployment Tax Act;

and follow Internal Revenue Service (I.R.S.) procedures regarding Home-Care Service Procedures, such as 70-6, Notice 2013-39; and I.R.S. Bulletin 137036-08;

- Provision of administrative services to the participants enrolled in DDS, DOAS, and DDD Programs; and provide fiscal conduit functions and financial counseling services to the participants enrolled in DDS and DOAS programs, to include, at a minimum, orientation, explanation, and training about the Program to participants.

RFP Services and Activities Completed and Performed

- ✓ Managed the transition of 11,000 individuals/employers and their self-hired employees from an in-state incumbent FMS enrolled in New Jersey's Cash and Counseling model the Personal Preference Program.
- ✓ Provided statewide in-home enrollment support and conversion of individual's Cash Management Plans (i.e. Case Expenditure Plan).
- ✓ Received aggregated data from the state system and incumbent FMS including individual, employer and employee demographics, payroll records and employer account information.
- ✓ Development of a transition and implementation plan including a sequencing of tasks to be performed, and resources allocated.
- ✓ Passed preliminary DHS Readiness Review
- ✓ Integrated our proprietary financial management system with state systems including the Medicaid Management Information System and with 5 Managed Care Organization systems for service billing.
- ✓ Provision and maintenance of a Disaster Recovery and Continuity of Operations Plan
- ✓ Provision and maintenance and compliance with the Health Insurance Portability and Accountability Act (HIPAA) of 1996, the Health Information Technology for Economic and Clinical Health (HITECH) Act, and the Balanced Budget Act (BBA) of 1997 governing the protection of patient information, and federal regulations, 45 CFR §§ 160, 162, and 164.
- ✓ Provision of the following customer service:
 - Courteous, prompt attention to an inquirer's needs within twenty-four (24) hours, Monday through Friday, of inquiry;
 - Respect of the customer's privacy during all communication and telephone calls;

- Maintenance of sensitivity to the diversity inherent in all cultures and disabilities;
- Display and communication in a professional demeanor; and
- Strive for total accuracy when disseminating information to customers;
- ✓ Provision and maintenance of a quality assurance monitoring process, specific to FMS services and Financial Counseling services,
- ✓ Maintenance of New Jersey State Plan Medicaid Compliance
- ✓ Processing, paying (including all employer and employee tax withholdings, filings and payments) and tracking approximately \$775M annually to self-hired employees in the Personal Preference Program
- ✓ Development and provision of Cash and Counseling and Participant Directed training for PPL staff, individuals, employers and employees
- ✓ Provision of Financial Counseling in support of the development and maintenance of Cash Management Plans (i.e., Cash Expenditure Plans).
- ✓ Submission of service billing in 837P claim format
- ✓ Provision of orientation and skill training to individuals enrolling as employers

Reference 2

Financial Administration and Provision of Support Brokerage Functions for Consumer Direction of Home and Community Based Services (State of Tennessee)

Department/Division:	Division of Health Care Finance and Administration, Bureau of TennCare
Contract Term:	2006 – 2017, 2017 - 2023
Number of Individuals/Employers:	5,500
Number of Employees:	8,000
Contract Manager:	Patti Killingsworth Chief of Long-Term Care Operations TennCare
Phone:	(615) 507-6468 (615) 532-9140
Email:	Patti.Killingsworth@state.tn.us

Project Scope of Work:

Performance of Financial Administration and Supports Brokerage functions for Consumer Direction and Self-Direction, as applicable, for Participants assessed by a Managed Care Organization (MCO) or DIDD, as applicable, to need Eligible CHOICES, ECF CHOICES, or SDWP HCBS, as applicable, and who choose to participate in Consumer Direction or Self-Direction, as applicable, for some or all needed eligible HCBS. Functions for Participants include, but are not limited to:

- Participant/Representative education on Consumer Direction or Self Direction;
- Training and enrollment into Consumer Direction or Self Direction;
- Providing assistance in developing initial Back-up Plans;
- Assistance in executing Service Agreements;
- Assistance with Worker enrollment;

- Assistance with Worker background checks; and
- Assistance training Workers.

In addition, PPL processes referrals for persons specified by TennCare who are not yet enrolled in CHOICES or ECF CHOICES, but who may qualify for CHOICES or ECF CHOICES only through receipt of Consumer-Directed services and **shall perform functions necessary to facilitate such participation** should the person ultimately be enrolled in CHOICES or ECF CHOICES and in Consumer Direction of Eligible CHOICES or ECF CHOICES HCBS.

- **Financial Administration functions** are functions related to the performance of payroll, employer taxes, and related tasks, which, for Persons Supported, include procedures for approving payment for services and obtaining necessary payroll and employment information.
- **Supports Brokerage functions** are certain functions that assist a Participant/Representative with non-payroll-related employer tasks such as Consumer Direction or Self-Direction enrollment, hiring paperwork, and recruiting and training Workers.

RFP Services and Activities Completed and Performed

- ✓ Federal and State Approval to be a Fiscal Employer Agent
- ✓ Development of education and outreach materials
- ✓ Processing referrals for participant direction
- ✓ Assist participants in the development of a backup plan
- ✓ Facilitation of service authorizations with case managers
- ✓ Provision of Participant education and training
- ✓ Processing of worker qualifications and hiring documentation
- ✓ Assisting participant, if requested, in identification of new Workers through tasks including but not limited to helping drafting job descriptions and working with Participants to determine necessary Worker skills specific to Participant.
- ✓ Delivery of monthly performance reporting



STATE OF WEST VIRGINIA
DEPARTMENT OF HEALTH AND HUMAN RESOURCES
Bureau for Medical Services

Bill J. Crouch
Cabinet Secretary

Cynthia E. Beane
Commissioner

May 16, 2022

Ms. Al-Uqdah:

I am writing on behalf of Public Partnerships, LLC (PPL) in recommendation of their financial management and Support Broker services. Since 2007 PPL has been providing financial management and Support Broker services for the Bureau of Medical Services. In 2022, PPL will provide services for over 4,500 self-directing HCBS program members and process payroll for the members' 5,600 employees across West Virginia. PPL performs duties set forth in Revenue Procedure 70-6 IRS Notice 2003-70 and is identified as a designated agent under Section 3504 for West Virginia's Aged and Disabled Waiver (ADW), Intellectual/Developmental Disabilities Waiver (IDDW) and Traumatic Brain Injury Waiver (TBIW) members.

PPL's Support Brokers provide Information and Assistance (I&A) with budget development and with understanding the role of the employer in the self-directed service model. PPL has processed payments in accordance with Generally Accepted Accounting Principles and state labor laws and has accurately billed for services. They have consistently demonstrated adherence to the Bureau of Medical Services' program policies and procedures and supported all program audit requests.

I can be reached at (304) 352-4301 for additional information.

Sincerely,

Randall K. Hill
Director of Home and Community-Based Services
West Virginia Bureau for Medical Services
350 Capitol Street Room 251
Charleston, WV 25301
Phone: (304) 352-4301



COLORADO
Department of Health Care
Policy & Financing

1570 Grant Street
Denver, CO 80203

May 18, 2022

Arkansas Department of Human Services
Attn: Office of Procurement
700 Main Street Slot W345
Little Rock, AR 72201

RE: Arkansas Cash and Counseling Program Bid

Ms. Al-Uqdah,

The Department of Health Care Policy and Financing, in Colorado, has utilized Public Partnerships, LLC. (PPL) as a financial management services provider for our Consumer-Directed Attendant Support Services (CDASS) program since 2009.

PPL performs duties set forth in Revenue Procedure 70-6 IRS Notice 2003-70 and is identified as a designated agent under Section 3504 for our HCBS aged, disabled, and developmentally disabled Medicaid participants. In 2022, PPL has provided services for nearly 3,000 CDASS members supported by 4,500 employees across Colorado. PPL has processed payments in accordance with Generally Accepted Accounting Principles and state labor laws and accurately billed for services. It has demonstrated adherence to program policies and procedures and supported all program audit requests.

Based on the most recent CDASS FMS member satisfaction survey, 80% of responding PPL members said they are satisfied or very satisfied with PPL as their FMS provider with a majority of respondents rating its FMS services as excellent. The partnership between our offices has produced positive advances for our participants and overall improvements to the health of the program. PPL's key contract personnel reliably participates in and engages with stakeholders on program development and they are consistently engaged and seeking collaboration with our Department staff.

Based on our partnership we would recommend the financial management services of PPL for Arkansas' Cash and Counseling Program. If I can provide you with additional information, please feel free to contact me at Jessica.Corral@state.co.us or 303-866-3504.

Sincerely,

Jessica Corral
Participant Directed Programs Contract Specialist
Office of Community Living

Improving health care equity, access and outcomes for the people we serve while
saving Coloradans money on health care and driving value for Colorado.
www.colorado.gov/hcpf



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 minimum, the following:

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

PPL prepares an operational policy and procedures manual documenting processes and internal controls for every program we serve. Our operational policies are informed by **Suzanne Crisp**, our senior policy advisor who serves as our internal HCBS and participant direction policy expert. **Ms. Crisp** played a lead role in Arkansas’ DHS participation in the National Cash & Counseling Demonstration. During her tenure as Arkansas Assistant Director for the Division of Aging and Adult Services, Suzanne helped the ElderChoices Medicaid Waiver grow from 1,000 participants to almost 5,000 participants; developed the Assisted Living Waiver; designed and implemented Money Follows the Person; and launched IndependentChoices. Beyond her work in Arkansas, Suzanne is regarded as one of the most influential leaders in the field of self-direction and HCBS policy and regulation.

Prior to joining PPL, Suzanne worked at the Centers for Medicare & Medicaid Services (CMS) where she was instrumental in developing self-direction models.








Suzanne was the Assistant Director to the Arkansas Division of Aging and Adult Services for 9 years and was the **architect for IndependentChoices**.






Suzanne also led the National Resource Center for Participant Directed Services (NRCPPDS) technical assistance team. Suzanne’s areas of expertise include designing, implementing, and managing self-directed programs with a focus on quality oversight. Suzanne is also co-author of the *Fiscal/Employer Agent Core Standards*, representing industry best practice, as well as *Self-Direction: A Handbook*.

During her nine years as Assistant Director to the Arkansas Division of Aging and Adult Services, she was the architect for IndependentChoices and enrollment expanded from 1,000 to 5,000 participants. Suzanne will bring her Arkansas Medicaid knowledge and experience to the project implementation and transition team to ensure we operationalize all policies with measurable processes and internal controls.

During the transition and implementation phase, our team will engage the Department in aligning existing Program and standard PPL operating procedures. Our process for developing and maintaining program specific policies and procedures includes:

-  Meeting with Department subject matter experts to ensure all policies and requirements are fully understood and documented.
-  Preparing drafts of policies and procedures specific to the program and editing based on feedback
-  Finalizing documentation and incorporating into program staff training
-  Internal control monitoring by PPL's Quality Improvement Team
-  Annual review and updates as needed

The program policy and procedure manual will document the program policy, key steps in the procedure, and identifies responsible and accountable divisions and staff. Each policy and procedure manual includes:

-  Detailed rules on timelines for required action items
-  Detailed tasks specific to all processes
-  Guides to our systems and how-to steps for usage
-  Clearly articulated and comprehensive internal control and program integrity requirements for each functional area
-  Internal ongoing task list monitoring key tasks and ownership, schedules, due dates, and internal communication



Each operational division has management and supervisory staff responsible for maintaining and updating our documentation and working with other PPL groups like process and data analytics team. The process and analytics team includes *Lean Six Sigma black belts* that assess all as is processes and data exchanges during a program implementation. They are represented on the transition and implementation team to ensure best practices in process design are applied and the results are documented in the policy and procedure manual. Each process correlates to internal controls that allows us to measure our efficacy and report service level in key areas like customer service.

Process and internal controls are enforced with industry leading information technology systems with Business Process Management (BPM) and Client Relationship Management (CRM) applications embedded. BPM and CRM allow for ongoing oversight of procedural timeliness and accuracy through detailed reporting on metrics on documentation processing, call center hold times, payment issuance and service billing submission.

On an ongoing basis, all policies and procedures are part of program staff orientation and training, and operational divisions have periodic refreshers. We incorporate extensive cross-training to minimize the impact of personnel changes and to ensure knowledge is shared throughout every facet of PPL. Cross-training is a standard practice within and across functional areas, each of which maintains comprehensive policies and procedures and internal controls related to each contract requirement. With this model, we are confident that, should there be a change in personnel, another team member will be able to immediately step in without impacting operations.

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.
-----------	--

Please find our implementation plan on the following pages.

IndependentChoices Implementation and Work Plan

PPL Division	
Account Management	AM
Project Management Office	PMO
Technical Product Office	TPO
Information Technology Systems	ITS
Human Resources	HR
Marketing and Communications	M&C
Learning and Development	L&D
Customer Service	CS
Counseling	C
Data Analytics	D&A
Payroll and Tax Compliance	PTC
Enrollment	EN

Task	Days Timeline	Total Hours	Team	Key Personnel	PPL Division
IndependentChoices Transition & Implementation Kick Off	20	200	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	AM
Enroll as an Arkansas Medicaid Provider	1-10	5	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	PMO
Host kick-off meeting - <i>exchange contact information and review MOU with banking institution</i>	1-10	8	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	AM
IndependentChoices team recruitment	1-10	24	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	AM
Confirm FMS Project Organization and Staffing, including a Workplan/Quality Management Plan	1-10	24	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	TPO
Provide DPSQA systems and materials overview	1-10	8	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	TPO
Vet and Finalize Transition and Implementation Plan	1-20	24	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	PMO

Document all program rules pertinent to system configuration and operations	10-20	24	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	TPO
Conduct all required background checks on IndependentChoices team members	10-20	16	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	HR
Finalize Project staffing	10-20	8	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	AM
Draft IndependentChoices Transition Communication Plan	10-20	24	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	M&C
Vet Transition Communications Planning DPSQA	10-20	24	Leadership & Operations	Sandy Kasprzak & Chantielle Tally	M&C
Task	Days Timeline	Total Hours	Team	Key Personnel	PPL Division
Define and approved process for Self-Directed Advisory Group recruitment	10-20	6	Leadership	Sandy Kasprzak & Chantielle Tally	AM
Vet Fraud, Waste and Abuse Compliance Plan and present for DPSQA approval	10-20	5	Leadership	Sandy Kasprzak & Chantielle Tally	AM
Data Migration	20	150	Operations	Elizabeth Harris	TPO
<i>Draft Data Migration Plan</i>	10-35	8	Operations	Elizabeth Harris	ITS
<i>Vet Data Migration Plan with DPSQA</i>	10-35	8	Operations	Elizabeth Harris	ITS
<i>Agree on Data Migration plan with DPSQA & current FMS</i>	10-35	6	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
<i>Migrate All data per Migration Plan schedule</i>	10-35	40	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
<i>Migrate EVV Data</i>	10-35	40	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
<i>Verify Data Integrity</i>	10-35	24	Operations	Jaspreet Sethi & Elizabeth Harris	ITS

<i>Internal Data Auditing</i>	10-35	16	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
<i>Report of auditing to DPSQA</i>	10-35	8	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
IndependentChoices Materials	15	30	Operations	Sandra Woodward	EN
Vet and finalize Beneficiary/Employer Enrollment packet	10-25	15	Operations	Sandra Woodward	EN
Vet and finalize Employee Enrollment Packet	10-25	15	Operations	Sandra Woodward	EN
Orientation and Training	10-35	24	Operations	Maureen Winningham	L&D
Counseling and Cash Expenditure Materials Development	10	50	Operations	Danielle Sabestinas	C
Incorporate Information and Assistance per IndependentChoices and ARChoices documentation and requirements	10-30	25	Operations	Danielle Sabestinas	C
Tailor existing financial counseling materials and best practices for IndependentChoices	10-30	25	Operations	Danielle Sabestinas	C
Call Center Infrastructure	20	100	Operations	Lucas O'Connell	CS
Recruit and hire for IndependentChoices customer service team internally and externally	1-15	40	Operations	Lucas O'Connell	CS
Task	Days Timeline	Total Hours	Team	Key Personnel	PPL Division
Set up Five9 call center solutioning for the IndependentChoices program and establish a separate phone number	15-35	8	Operations	Lucas O'Connell	CS
Set up Client Relationship Management system and account for IndependentChoices.	15-35	24	Operations	Lucas O'Connell	CS

Configure Integrated Voice Recognition system	15-35	8	Operations	Lucas O'Connell	CS
Set up IndependentChoices call menuing	15-35	4	Operations	Lucas O'Connell	CS
Draft IndependentChoices transition scripts and FAQs	15-35	16	Operations	Lucas O'Connell	CS
PPL and AFMC Staff Training					
Develop IndependentChoices training curriculum	15-30	40	Operations	Sandra Woodward	EN
Organize training team and finalize materials	15-30	16	Operations	Sandra Woodward	EN
Training Operations and Enrollment Team members on program rules, requirements, policies & procedures.	25-40	24	Operations	Sandra Woodward	EN
Configuration of PPL Enterprise FMS Solution					
Initial setup of Enterprise Resource Management software support for IndependentChoices	10-20	160	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
Setup MyAccount web-based portal	15-45	240	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
Integrate PPL systems with the Arkansas DHS Medicaid Management Information System (MMIS), DPSQA and Employment Clearance Registry System.	50-70	240	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
Setup Time4Care	60-80	160	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
Integrate with Authenticare	60-80	160	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
Configuration of PPL Medicaid billing system	60-80	240	Operations	Jaspreet Sethi & Elizabeth Harris	ITS

Smoke Testing	80-85	85	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
Internal UAT	80-85	85	Operations	Jaspreet Sethi & Elizabeth Harris	ITS
Task	Days Timeline	Total Hours	Team	Key Personnel	PPL Division
Transfer of Beneficiaries/Employers and employees	45	8,800	Enrollment	Sandra Woodward	EN
Contact each program beneficiary/employer	40-85	1,100	Enrollment	Sandra Woodward	EN
Provide FMS and transfer orientation and skills training	40-85	2,200	Enrollment	Sandra Woodward	EN
Collect transition paperwork including a new IRS Form 2678 from each employer	40-85	2,200	Enrollment	Sandra Woodward	EN
Review current CEP and develop new CEP	40-85	1,500	Enrollment	Sandra Woodward	EN
Collect employee paperwork for payment processing	40-85	1,800	Enrollment	Sandra Woodward	EN
Provide mass communications upon DPSQA request	40-85	-	Operations	Chantielle Tally	M&C
Reporting	15	50	Operations	Chantielle Tally	D&A
Define and document all standing reports	55-85	6	Operations	Chantielle Tally	D&A
Develop and test standing reports	55-85	24	Operations	Chantielle Tally	D&A
Smoke test	55-85	16	Operations	Chantielle Tally	D&A
Confirm reporting meets DHS expectations	55-85	4	Operations	Chantielle Tally	D&A

Provide ongoing enrollment reporting for beneficiaries/employers (including collection of IRS Form 2678) during the transition	-	-	Operations	Chantielle Tally	D&A
Readiness Review	1	8	Leadership, Operations & Enrollment	Chantielle Tally	All
Demonstrate quality management features and functionality of PPL enterprise system	90	2	Leadership, Operations & Enrollment	Chantielle Tally	ITS
Demonstrate MyAccount configuration for IndependentChoices	90	2	Leadership, Operations & Enrollment	Chantielle Tally	TPO
Approval of all proposed forms, manuals, publications, and trainings	90	1	Leadership, Operations & Enrollment	Chantielle Tally	AM
Affirmation that PPL's EVV system has been tested and is approved	90	2	Leadership, Operations & Enrollment	Chantielle Tally	ITS
Task	Days Timeline	Total Hours	Team	Key Personnel	PPL Division
Validation of all current employee and Beneficiary/Employer forms and documentation to ensure compliance with existing qualifications.	90	1	Leadership, Operations & Enrollment	Chantielle Tally	AM
Enrollment Processing for new referrals	90 +	Ongoing	Enrollment	Danielle Sabestinas	I&A
Begin receiving referrals from DHS	90 +	Ongoing	Enrollment	Danielle Sabestinas	I&A
Prescreen personal care beneficiaries for self-direction (IndependentChoices)	90 +	Ongoing	Enrollment	Danielle Sabestinas	I&A
Provide employer orientation, enrollment and trainings via face to face, web or phone	90 +	Ongoing	Enrollment	Danielle Sabestinas	I&A

Financial Counseling for new referrals	90 +	Ongoing	Enrollment	Sandra Woodward	I&A
Assist prospective and enrolled participants in developing a personalized budget	90 +	Ongoing	Enrollment	Sandra Woodward	I&A
Assist with recruiting, hiring, managing, and dismissing employees	90 +	Ongoing	Enrollment	Sandra Woodward	I&A
Train individuals, representatives, and direct service workers	90 +	Ongoing	Enrollment	Sandra Woodward	I&A
Provide I & A to prospective and enrolled participants	90 +	Ongoing	Enrollment	Sandra Woodward	I&A
Transfer of CEPs					
Transfer of CEPs	25	100	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Assess current CEP process documentation	100-135	8	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Set up or access SFTP site	100-135	4	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Define transfer format	100-135	8	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Define transfer dates for file and variance file exchanges	100-135	8	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Define error file and triage process	100-135	8	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Define audit protocol for data integrity	100-135	8	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Define final reconciliation process for CEP transfer	100-135	8	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Complete initial file transfer	100-135	4	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO

Task	Days Timeline	Total Hours	Team	Key Personnel	PPL Division
Complete variance file transfer	100-135	4	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Audit transferred CEP data	100-135	16	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Reconcile transferred CEP data	100-135	24	Enrollment and Operations	Jaspreet Sethi & Elizabeth Harris	TPO
Manage payroll processing					
	115 +	Ongoing	Operations	David Goldberg	PTC
Process payroll including withholding, filing and payment of all employer and employee taxes and payments for goods and services	115 +	Ongoing	Operations	David Goldberg	PTC
Track and report Individual/Participant budget balances and expenditures	115 +	Ongoing	Operations	David Goldberg	PTC
Processing invoices for goods and services	115 +	Ongoing	Operations	David Goldberg	PTC
Manage employment taxes and insurance	115 +	Ongoing	Operations	David Goldberg	PTC
Perform fiscal accounting and make expenditure reports to the Participant or authorized representative and State authorities.	115 +	Ongoing	Operations	David Goldberg	PTC
Manage and direct disbursement of funds contained in the Participant-directed budget	115 +	Ongoing	Operations	David Goldberg	PTC

<p>C.</p>	<p>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.</p>
<p>During the implementation, our Operations team will include a certified project manager (PM) who is responsible for the end-to-end management of our program transitions and implementations. The PM will organize transition and implementation status meetings, which will cover requirements gathering, governance of implementation phases and communications planning. The PM will also coordinate internal PPL operational resources to complete work activities and deliverables on schedule. Those resources will participate in all applicable status meetings to speak directly to the work being completed in support of the next project objective.</p> <p>The project schedule will be used as a roadmap of activities and milestones for the IndependentChoices transition and implementation. Project schedule updates will be supplemented with data reporting as the transition progresses. Work pertaining to transitioning/enrolling participants and employees will be reported through dashboards that indicate the number that are fully enrolled, phase of enrollment and those with outstanding documents. Work pertaining to call center support for participants and employees will be reported through call center dashboards providing details on call volume, hold time, and reason for call. Our information technology team will join project status meetings as needed to provide demonstrations of system functionality.</p> <p>Each project status meeting will review the schedule, dashboards and outstanding items from the prior meeting that have been completed. Our team takes a collaborative approach to troubleshooting any process bottlenecks that exist today or emerge during the transition. Each status meeting is an opportunity to discuss bottlenecks, identify root cause and clearly identify the actions and owners to ensure timely resolution. After the implementation period, PPL will convene weekly status meetings. We will provide agendas, maintain action items, and ensure follow through on those items.</p>	

D.

Describe the Prospective Contractor approach to user acceptance testing.

All design, configuration and testing of PPL’s financial management and counseling information technology solution is completed internally leveraging segregated teams. Our system was designed for participant-directed models resulting in core components for enrollment, time capture, payroll processing and service billing. We have external and internal user stories specific for participant-directed models including baseline implementation User Acceptance Testing (UAT) scenarios including:

- Referral completion through MyAccount triggers notification to counselor for orientation and enrollment.
- Programmatic online enrollment requirements validation through individual and employer checklists
- Individuals/beneficiaries and their hired employees’ relationship status. Users verify relationship status impacts tax calculations as pertains to FICA exemptions.
- Calculation of billable rates per procedure code

User stories are standard for core system functionality and new stories are written by our technical product team during the implementation. As our teams gather program requirements specific to IndependentChoices, they will document system scenarios for testing. These stories validate that if a critical field, such as criminal background check status, is marked as “Failed,” a support ticket is opened.

PPL user story testers are staff members who have demonstrated FMS subject matter expertise in all operational areas with more than 5 years-experience of participant directed system implementations. Each tester has assigned cases across standard and program specific scenarios. They report outputs into a consolidated User Acceptance Testing (UAT) validations tracker. All issues are uniformly and centrally logged for developer review and readiness for additional testing. Upon completion of all user stories, the project manager will close that system configuration *gate* within the project schedule.

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.

[Redacted content]

1

[Redacted content]

2

[Redacted content]

3 

4 

5 

6 





[Redacted]

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

[Redacted]

[Redacted]

Time4Care
The most widely used EVV application in participant-directed programs in the country

[Redacted]

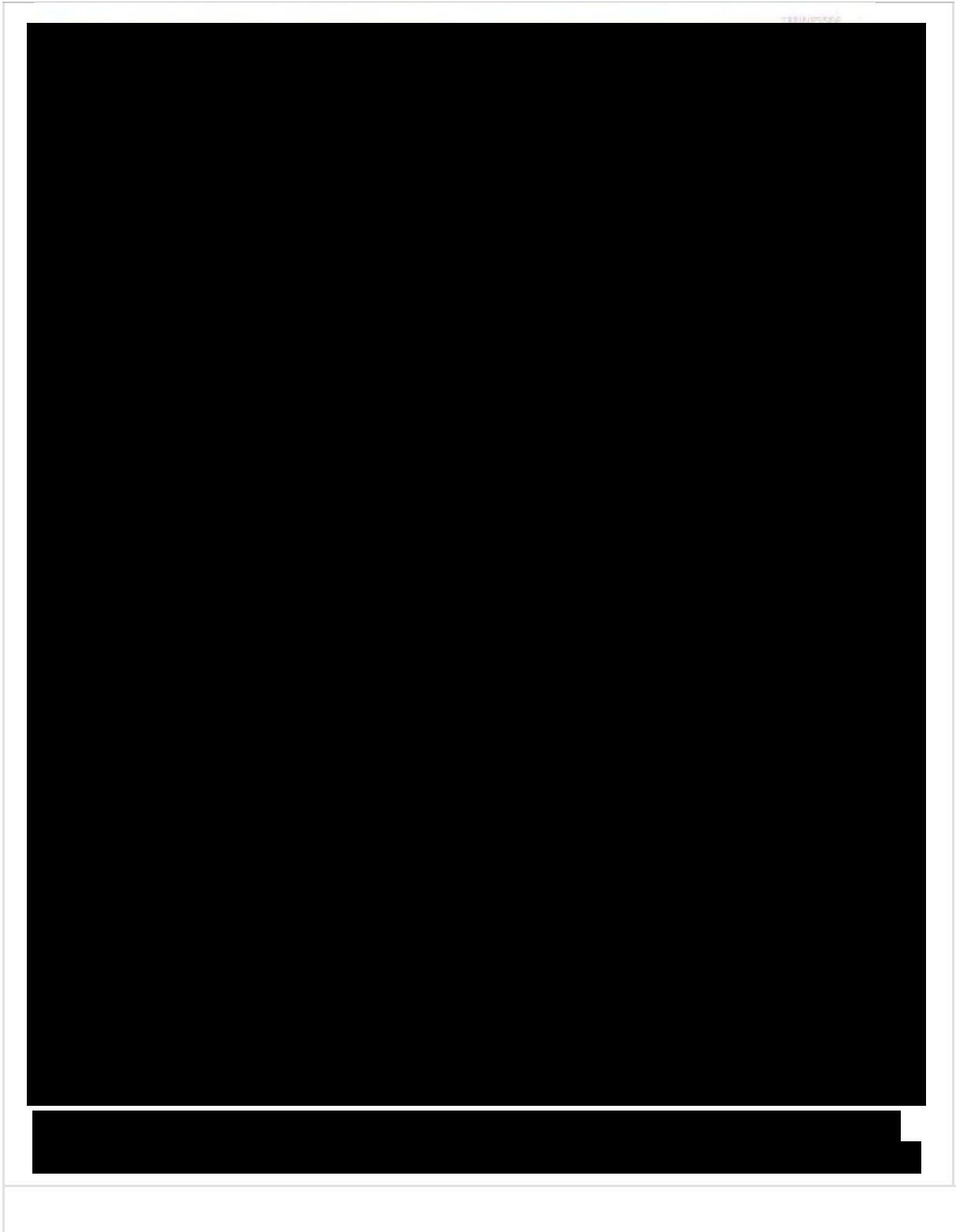
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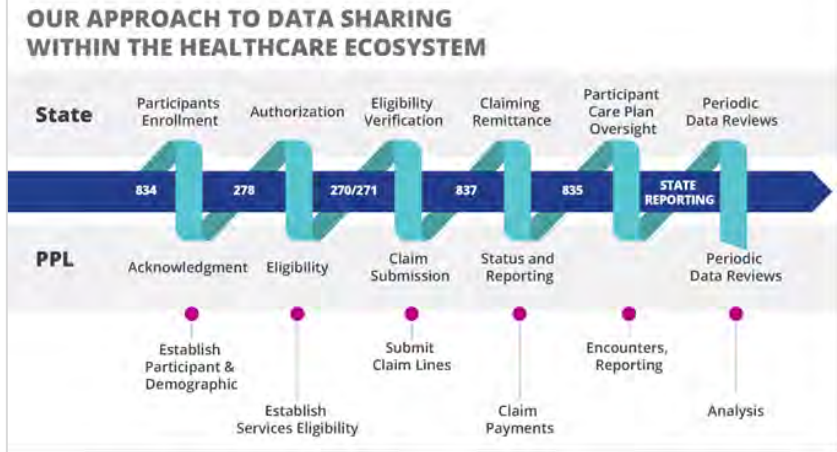




G.

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

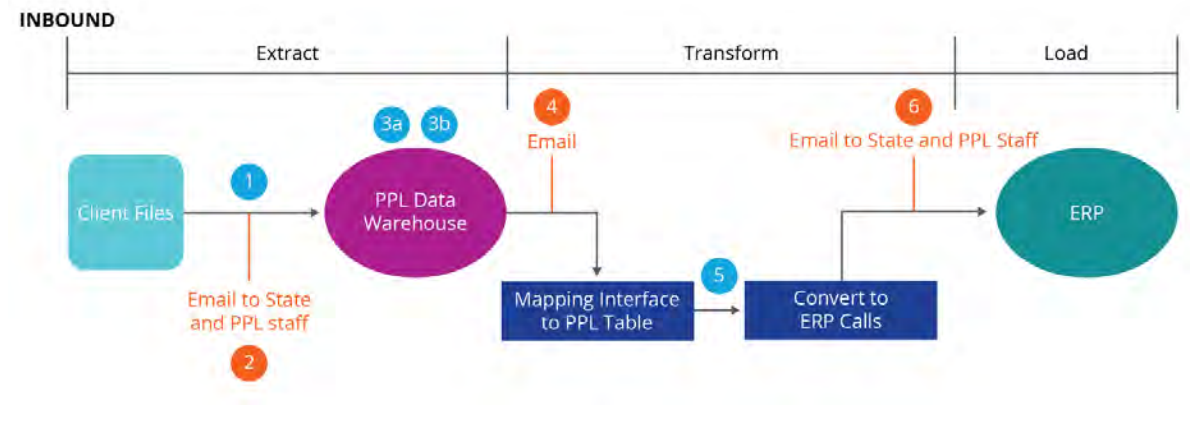
PPL systems and data are stored on our Enterprise Resource Planning software and MS Business Central. Our systems are HIPAA compliant and reside on secure Tier II servers in Watertown, MA and Austin, TX. Our system can transmit and receive all common file types including .xml and



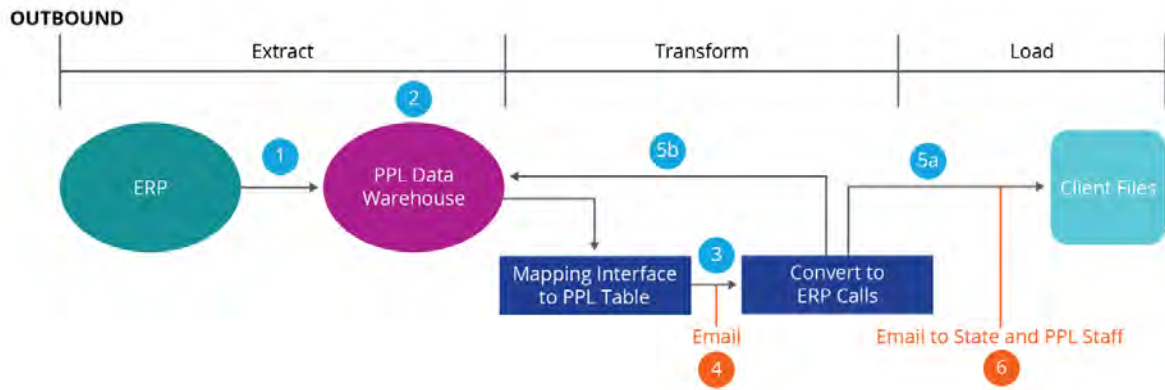
supports bulk file exchanges. We have transmitted and received data to Gainwell MMIS systems and have reviewed the Arkansas 837 Companion Guide. More than half of the programs under our management require ASC X12 837 Health Care Claims EDI submissions utilizing the full range of HCPCS medical code sets.

PPL’s enterprise solution is configurable to both receive and transmit data from the Arkansas agency system (MMIS). File transfer allows for timely and near error-proof transaction of data and is a standard operating procedure for PPL. We will establish a data exchange protocol and workflow processes that ensure relevant data, such as authorization and demographic data, is exchanged consistently, timely, and efficiently. The following figure shows the ETL (Extract, Transform, Load) workflow for the inbound/outbound file transfer process.

Inbound Extract, Transform, Load



Outbound Extract, Transform, Load



Service claim data is formatted using our proprietary Medicaid Billing System (MBS). We built our MBS to be highly configurable and capable of supporting the full range of ASC 12 compliant formats. The MBS collates all pertinent data from the beneficiary's service authorization and employee payment details to populate the full range of billing formats including the 837P 5010. The MBS is cloud based, HIPAA-secure and capable of generating 837P files the same day payroll is processed.

MBS is one component of our integrated FMS allowing us to seamlessly transfer beneficiary, service authorization and 837P data across applications ensuring claim integrity. The MBS supports all claiming types including Original, Replacement and Voids and can process and reconcile payments submitted to PPL on a HIPAA compliant ASC X12 835 Health Care Claim Payment/Advice files. Since X12 837P file format became the recommended best practice for Medicaid service claim submissions.

PPL has experience exchanging information in each of the following formats:

- 📍 X12 270 – Eligibility, Coverage, or Benefit Inquiry transaction
- 📍 X12 271 – Eligibility, Coverage, or Benefit Information transaction
- 📍 X12 278 – Healthcare Service Review Information (Authorization) transaction
- 📍 X12 834 – Benefit Enrollment and Maintenance transaction
- 📍 X12 837 – Healthcare Claim transaction
- 📍 X12 835 – Healthcare Claim Payment Advice transaction

H.

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

A note to the evaluator: This section focuses on our Customer Service and Enrollment team's processes, methods, and training *for implementation of the project*. For more information on processes, methods, and training, please see section E.5 for the Enrollment team and section E.9 for Customer Service.

PPL's goal of making participant direction easier begin with our processes, methods, and training of staff. Our customer service and enrollment team's processes for administering our FMS and counseling services are person-centered. Beginning with our enrollment process, counselors will support processes *that work for the individual*. The process for transition enrollment may be a face-to-face visit with their counselor who assists them in enrolling through MyAccount. The process for others may be to self-enroll online through MyAccount and meet their counselor virtually. We believe in providing trainees with many methods, so they have flexible but consistent choices to accommodate their learning styles.

PPL's customer service and enrollment teams are assembled by combining longer tenured employees with new staff specially hired to support the program. *Trainings occur in group settings with a lead trainer and subject matter experts based on the topic*. The training process for customer service and enrollment begins with a macro level overview of the principles of self-determination, traditional Home and Community Based Services leading to participant-directed programs. Attendees are prompted with interactive questions and discussions to affirm their understanding of how participant direction varies from traditional provider agency care and how support in the areas of customer service and enrollment differ.

As the project management team is confirming all program operating requirements and program rules with DPSQA staff, the outcomes are communicated to our Learning & Development team. We have core participant-directed trainings for newly hired staff to orient them to the model overall, including:

- The role of a participant/employer vs. the role of the PPL,
- Frequently asked questions about why IRS Forms SS-4 and 2678 are required,
- Self-directed budgets and service authorizations, and
- The importance of back-up planning.

The core trainings are then supplemented with program specific information pertaining to enrollment, hiring employees, and budget management. Employees in both customer

service and enrollment will receive training on:

- Cash Expenditure Plans,
- Roles and responsibilities of Counselors,
- Background check requirements and process, and
- Authorized budget change process

E.4 Readiness, Training, and Implementation

A.

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

PPL's Detailed Training Plan

On the following pages, please find PPL's detailed training plan. ***PPL is committed to providing training to the state agency and other entities deemed appropriate by DHS within 7 calendar days from the date authorized by the State to begin service.***

PPL's Approach to Training Agency Staff








PPL will tailor our standard onboarding training for DHS and other designated staff to account for any unique Arkansas program rules. During the programs initial implementation, our staff will review the materials with an emphasis on the role and responsibilities of the individual employer, provider, DHS, and other staff.

DHS will be engaged early on to ensure we have a standard process, open lines of communication and full training and support on our FI systems. We will accurately reflect DHS caseloads in MyAccount, which provides real-time Prior Authorization (PA) information. DHS will also have access to Client (employer) EVV usage rates to support EVV adoption success. The FI system will provide a one-stop shop for DHS to see which Beneficiaries/Employers may need additional training.

The PPL Team will begin setting up role-based access for DHS and other designated staff. During our introductory meetings with DHS, we will provide a MyAccount overview, FI transfer plan and schedule. We will associate DHS and other designated staff to their Beneficiaries/Employers and segregate their access user role. DHS will be able to track transfer status for their Beneficiaries/Employers and we will provide referral and authorization training. ***PPL will provide in-person training or virtual training on all developed forms, documents, MyAccount system, Time4Care mobile app and review any information necessary to set up accounts for the individuals for payments within our system to be processed to the employees of the individuals.***

The PPL team will provide MyAccount tutorials, training videos and live support through Customer Service and the Regional Liaisons for DHS and other designated staff. MyAccount offers a number of self-service features for DHS employees, Beneficiaries/Employers and employees including direct deposit set-up (including bank account and routing number changes), access to paystubs, year to date gross and net wages, taxes withholdings and their annual W-2. MyAccount is fully integrated with our Time4Care EVV solution. Beneficiaries/Employers and employees will be able to review and update information necessary for FI transfer starting within 120 days of contract award.

After the initial implementation, we will provide additional one-on-one training sessions on a semi-annual basis, as well as on an as needed basis when it is determined by DHS. These trainings are conducted by Account & Enrollment Managers. Some key responsibilities of the Account & Enrollment Managers include but are not limited to:

-  Assisting with the enrollment process for Beneficiaries/Employers and their employees;
-  Being the main point of contact for DHS;
-  Working with DHS Administrators to keep access to Public Partnerships MyAccount Web Portal for current staff;
-  Responding via telephone or email to the day-to-day participant direction issues as requested by DHS;
-  Supporting the training and education needs of DHS via onsite or WebEx formats;
-  Informing DHS of errors that interrupts participant services (for example: not receiving authorization files, errors in participant demographic files and gaps in services), and;
-  Informing DHS of significant program changes and new regulatory changes such FLSA overtime rules.

Counselors

Our counselors provide training using a variety of methods, including interactive webinar, phone, zoom meetings, self-guided or in person. PPL has created documentation and training videos to help customers and vendors acclimate to our tools, MyAccount and Time4Care. Customers can contact PPL's customer service through email, chat, or phone for additional assistance on any topic training or otherwise. Customer service can walk through how to attain training material and education or walk-through processes during the call, email, or chat. PPL is dedicated to the success of our Beneficiaries/Employers self-directed journey we have the tools and the expertise to support.

Training for Employees

The primary objective in training direct care workers hired into self-directed models is to ensure they understand the **roles and responsibilities** involved. For many Beneficiaries/Employers and potential hires, the concept of a household employer versus an appointed

payment agent can be confusing. We want the employee to fully understand **who to contact, about what issue, when and how.**

The next key objective is ensuring **they understand the individual is enrolled in a Medicaid funded programs and therefore all must adhere to the budget regarding time worked and payments.**

Additionally, the value of training on **time submission** has never been higher with the arrival EVV. Moving to a mobile application for time submission is a major change for many and comprehensive training on its importance is critical. With tens of thousands of Beneficiaries/Employers and their workers already trained and using PPL’s Time4Care app, we know we have proven effective training materials to drive high adoption. Other key objectives for employees include;

Criminal background check process and why it is necessary

What to do if the beneficiary asks them to work *extra* hours

Employees’ role in reporting suspected abuse or neglect

How to manage their MyAccount including setting up direct deposit

What to do if they forget to log in or out on EVV

Training for Beneficiaries/Employers or their Representative

Training for the participant or their representative is not done over one session, it is a constant flow of information. The table on the next page demonstrates the topics for the training modules.

RFP Requirement	PPL Training Focal Point
Understanding the role of the beneficiary	Our point of emphasis is truly that self-direction offers more choice and control and comes with more responsibility, so understanding all roles is critical as the beneficiary.
Understanding the role of the FEA	Role of PPL in establishing an EIN on behalf of the beneficiary, processing payroll for hired workers, processing employer and employee taxes, providing customer service support.

Cash Expenditure Plans	Ongoing management of the CEP to ensure the beneficiary maintains proper levels of care through the plan year.
Selecting Employees	How to recruit, screen, interview and select potential workers.
Performance Management	The beneficiaries long term health and wellbeing is best achieved through excellent personal care. Scheduling and training workers based on personal care needs, overseeing worker functions, and providing Criminal Background Check support.
Scheduling Back-ups	Employees can get sick too and COVID-19 has taught everyone that back-ups should be several people, not one. Ensuring backup plans are updated and communicated regularly.
Fraud, Waste and Abuse	How to identify and report concerns with suspected fraud, waste and abuse and exercise backup plan to ensure care coverage.
Neglect and Exploitation reporting	Beneficiaries need to be their own strongest advocate. How to identify and report neglect and exploitation to the appropriate parties and exercise backup plan to ensure care coverage.
Information Technology Support	We are there to support beneficiaries in adopting our technology, including MyAccount, accessing our customer service team, inputting timesheets using EVV.

Additional Documentation:

PPL has included a Comprehensive Training Plan on the following pages to further meet the requirements of Section E.4.A of the RFP response

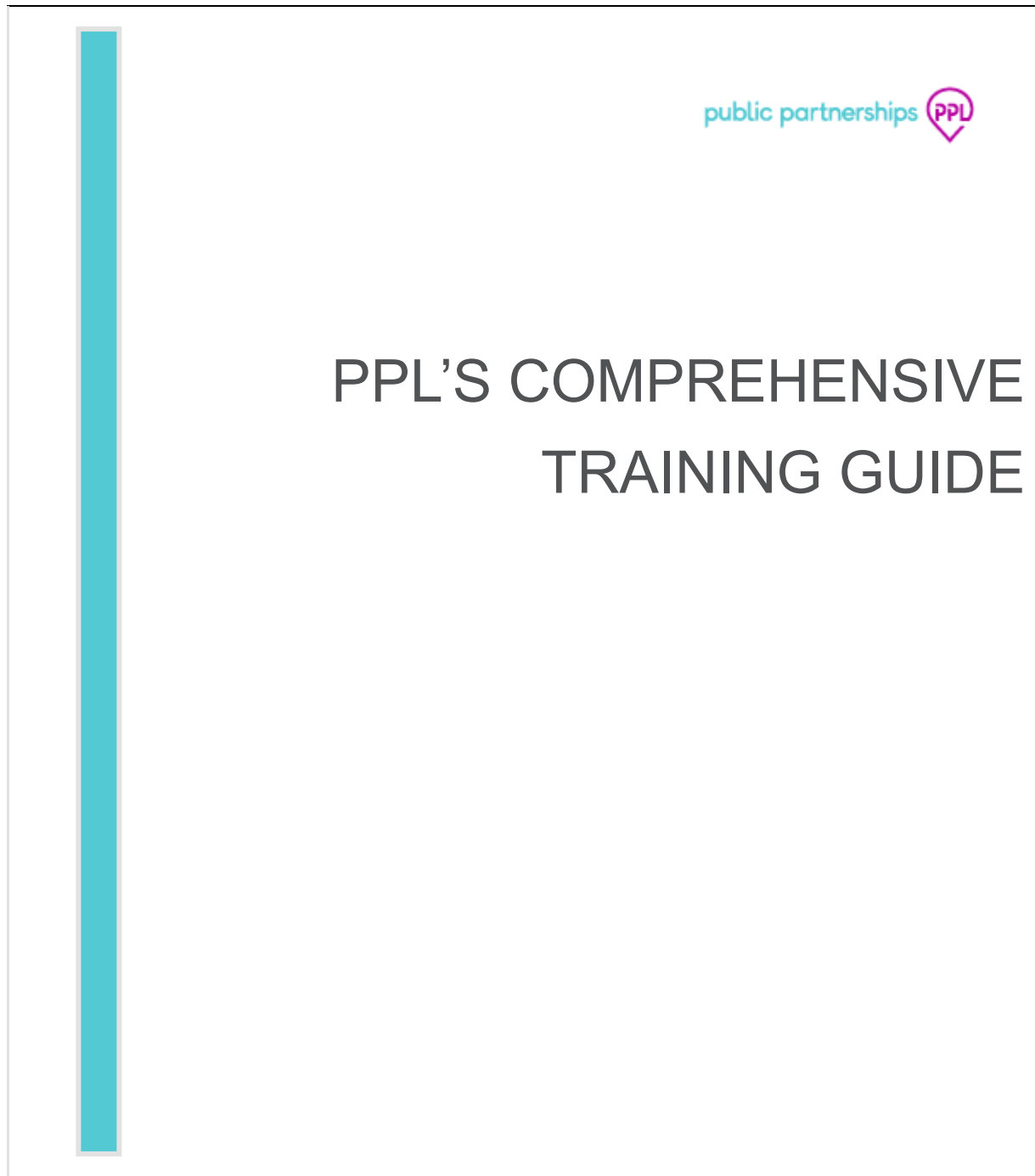


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1. Background and Scope

1.1 Purpose of the Training

This Training Plan is intended to provide a method and approach for developing, managing, communicating, and deploying training to users of PPL's MyAccount System. The training content, materials, and approach outlined throughout this plan are reflective of the identified training needs outlined in section 2.5.7. The following list provides a high-level overview of the purpose of the training by user group.

- **Providers:** Providers will have sufficient skill with the MyAccount web portal to view and manage user account information including work schedule, report time and mileage, and change submitted timesheets. Providers will also have sufficient skill with the PPL Time4Care™ mobile phone application to clock in and out at worksites and manage their time entries.
- **Individuals:** Individuals will have sufficient skill with the MyAccount web portal to view and manage user account information and associated providers. They will be able to review and approve or reject hours worked as submitted by their providers on either MyAccount or Time4Care. Individuals will also have sufficient skill to use the MyAccount scheduling function.
- **Other Designated Staff:** DHS staff, administrative staff, and field staff, including Case Managers will have sufficient familiarity with MyAccount to access information to support their business and informational needs. Additionally, they will be prepared to provide support to individuals and providers with using the system. Staff needs include approving, denying, processing and editing of submitted time, updating schedules, suspending providers, and manual time entry for those with timesheet exceptions, among other activities.

The following list identifies those to whom this plan does not apply.

- **User Acceptance Testing:** User Acceptance Testing (UAT) will be addressed in the MyAccount Test Plan and the state UAT Test Plan.

1.2 This is a Living Document

This Training Plan and documentation has been created, and will continue to be further developed, as a collaborative effort between PPL, DHS, and other appropriate stakeholders. As such, this is a living document and may be modified by mutual agreement throughout the project lifecycle. In the event of a conflict, the information contained in the Contract takes precedence over the information in this document.

2 Training Overview

This Training Plan is specific to the development and delivery of training services and materials for individuals, providers, and state staff transitioning to PPL's Time4Care mobile

application and MyAccount web portal. Additionally, this training is provided to new entrants after implementation, and to State Users who will be managing the system.

To ensure the training meets the needs of the identified audiences, this Training Plan describes the strategies related to adequate preparation and development including activities undertaken to:

- Work collaboratively to leverage expertise across entities with a vested interest in the Training Plan including Project staff, DHS, PPL staff, and any subcontractors
- Acquire an understanding of the needs and skills of the target audiences
- Develop materials, formats, and levels of training that are responsive to the varied needs, skills, preferences, and learning styles of the target audiences, including accessibility considerations
- Determine readiness of training staff and target audiences prior to delivering training
- Ensure optimal timing of communication and training delivery
- Ensure adequate geographic distribution of training across the state based on demographic data

3 Training Plan Components

The methods to accomplish the activities stated above are addressed in detail through the following sections found in the Training Plan:

- **Training Methodology (Section 4):** This section accommodates the following:
 - Needs of the user population's technology proficiencies and variations
 - Capacity for attending and benefiting from training
 - Differences in learning styles
 - Training resource capacity
 - Industry best-case training research and application, including a description of the training approach, potential risks, needs and skills analysis, levels of training, and methods for monitoring and feedback
- **Training Goals (Section 5):** This section describes goals for successfully executing the training and communication in accordance with the Contract. It also describes when and how the goals will be evaluated and measured to determine whether or not they have been met.
- **Roles and Responsibilities (Section 6):** This section identifies the roles and responsibilities of the training staff. For example, who will deliver the training and who will develop the materials. Additionally, it clarifies the responsibilities of PPL staff, DHS, and other state resources or partners. Finally, it describes how actionable items are to be tracked using the Responsible, Accountable, Consulted, Informed (RACI) project management strategy.
- **Training Readiness (Section 7):** This section outlines specific requirements used to determine the readiness of the project team to execute the Training Plan and the

readiness of the user audience. It includes a description of preparation activities and a specific set of “go-no-go” criteria.

- **Training Communications (Section 8):** This section discusses the means of communication employed to reach and engage with the people supporting and participating in user training. This includes actions to ensure close collaboration with DHS Communications staff to launch effective communication strategies. Subsections address communication components, coordination, distribution channels, outreach plan, taxonomy, and training updates.
- **Training Materials and Lesson Plans (Section 9):** This section describes how training content will be developed and delivered for State’s review and revisions prior to final approval of deliverables. It includes activities to vet the training materials with relevant stakeholders for feedback prior to launch.
- **Training Schedule (Section 10):** This section outlines the training schedule for all intended training audiences including Central Office users, Local Office users, individuals, and providers. The actual scheduling will not begin until after the Training Plan has been approved. This section of the Training Plan will be updated after the final schedule has been confirmed. It includes a description of the following:
 - Training phases
 - Timeline proposed schedule of in-person and remote training
 - Training transfer
- **Training Risks (Section 11):** This section lists potential training risks with recommended steps to mitigate these challenges.

3.1 Training Report Plan

To document and convey training achievements, training-related data will be captured and reported at regular intervals. Report templates with defined data fields per training type will be developed by PPL and approved by DHS. Training reports may include information such as, but not limited to the following:

- Number of training sessions
- Type of training
- Training locations
- Number of users
- Evaluations from participants and information regarding the actual training results
- Recommendations for follow-up training

In addition, training reports may be used to convey information related to any unforeseen circumstances that impact training or issues generated by users (for example, outstanding policy considerations). For example, training reports will convey information related to the following questions:

- Were the number, type, and location of trainings delivered according to the agreed upon schedule?
- Were the training venues and formats adequate in terms of capacity, equipment, and access?
- Were the training goals met related to knowledge transfer, comprehension, and retention for each user group?
- Were attendees satisfied with the training they received?
- Were updates to training materials required, completed, and disseminated?
- Were future training needs identified?

TRAINING LOGISTICS AND ATTENDANCE REPORTING

A master training schedule will be used to track the total number of trainings delivered by type and location. As attendance will be an indicator of reach to the target audiences. Due to the scope of the training, unduplicated counts cannot be guaranteed (that is, a person who attends both an in-person training and an online remote training will be counted twice). The following list describes how attendance targets will be developed, captured, and reported for each training type and location:

- **Online Training Reports:** A primary method of online remote training will be webinars. The number of webinars needed will be determined by calculating a percentage of the estimated total per target audience, minus the training targets projected for in-person training. Given the estimated target, attendee capacity of the Microsoft Teams platform will then be considered to determine the number of webinars needed to meet the target.

For live webinar trainings using Microsoft Teams, attendance will be captured in the platform. Information will be downloaded from Microsoft and provided in a report format. Attendance by each attendee logged in will be tracked over the duration of the webinar. In the event that a live webinar training is broadcast to a group of people in one location, an attendance sheet will be requested from the on-site organizer. PPL and the State will collaboratively agree to the data elements.

For other types of remote online training options such as computer-based training, video tutorials and recorded webinar presentations, depending on the hosting platform, web analytics may be available to provide information such as site traffic, frequency of hits on particular training materials, etc. Options for generating and reporting these data will be explored when the platforms are decided upon.

- **In-Person Training Reports:** The number of in-person trainings will be determined by calculating a percent of the estimated total per target audience by location with consideration of the total number of contractually obligated in-person training sessions. See section 11.3, In-Person Training Delivery for additional information on in-person training targets.

As in-person training is delivered around the state, attendance reports will be compiled and delivered at regular intervals. Attendance will be recorded using a method approved by Project Staff (for example, electronic registration platform). Attendees, whether pre-registered or drop-in, will identify themselves by name, position, Provider ID, etc.

- **Evaluation Reporting:** In addition to attendance, interim evaluation reports will be compiled and delivered. See section 4.10, Monitoring and Feedback for a description of methods employed to monitor training success and gather feedback from users. Outputs from those activities will be included in the evaluation reports.
- **Post-Training and Future Training:** In anticipation that some changes may occur during the time of implementation that may create discrepancies between the content delivered during training and new or different actions that must be performed in the MyAccount system, Post-Training, or Go-Live updates may be necessary. Any change in action or new action required by users will be tracked, documented, and updated in the training materials. Efforts to disseminate updated material to prior users will be determined by the scope of the change required and documented in a report format.

Based on the results of the Training Delivery Phase, future training needs may become evident for particular target audiences or locations. Future training needs will be tracked, documented, and presented in a report format that will be approved by the state.

- **Final Reporting:** Upon completion of all in-person and remote online training, a Final Cumulative Report will be compiled. This report will contain all previously submitted reports condensed into one document, as well as a brief overview of the training schedule as-delivered, overall reflection and commentary on training statewide, and cumulative attendance and success metrics.

The following table lists and describes the report types.

Report Type	Frequency	Purpose
Training Logistics and Attendance Reports	Within one week of training delivery date throughout the duration of the Training Delivery Phase	To report on training schedule, type, location, attendance, and venue quality and capacity.
Evaluation Report	Monthly throughout the duration of the	To report on outputs from monitoring and feedback activities for trainings occurring in the prior month.

	Training Delivery Phase	
Post-Training/ "Go-Live" Maintenance Report	As needed, pending system changes	To report on updates or alter training to reflect changes to the system at, or around, time of implementation, and efforts to disseminate updated training materials to previously trained audiences.
Future Training Needs Report	As needed based on results of Training Delivery Phase	To report on future training needs as indicated by the results of the Training Delivery Phase.
Final Cumulative Report	End of training effort	To report on overall training results, including reflection, cumulative attendance, and evaluations.

4 Training Methodology

The methodology used to develop and deploy user training is based on the unique needs of the target audiences. Given the anticipated range of variability across training audiences, several considerations will be applied to provide trainings that are relevant, accessible, and meet the needs of the target audiences. These considerations include the following:

- Adult learning strategies
- Variation in level of comfort and proficiencies using technology and web-based applications
- Ability to attend and benefit from training
- Training resource capacity

ADULT LEARNING STRATEGIES

Due to program eligibility requirements, all attendees are expected to be 18-years old or older. Therefore, adult learning strategies are most applicable. In addition, educational level and learning needs of older adults and people with disabilities will be considered. For example, PPL will try to keep document readability to a 6 - 8th grade level and a minimum 14-point font.

Adult learning theory¹ suggests that, for adults, learning occurs in three ways (visual, auditory, and kinesthetic). In addition, assumptions about adult learners must be made to provide successful learning opportunities. These assumptions include that adult learners:

- Need to know why what they are learning is important

- Need to take responsibility and take part in their learning
- Bring experience to learning
- Are ready to learn when the need arises
- Are task oriented

These assumptions will be applied to the development of training for the target audiences. Current individuals, providers, and Local Office users will bring experience in recording and approving work hours in the existing system. As such, they will understand the importance of learning this new system and the relationship with provider payments.

TECHNOLOGY PROFICIENCIES

It is anticipated that there will be a range between and within target audiences pertaining to proficiency, experience, and level of comfort using technology. Strategies to meet the needs of low-tech populations such as in-person presentations will be applied to ensure that training is appropriate and does not overwhelm users.

ABILITY TO ATTEND TRAINING

Many providers may have limited ability to attend in-person training due to non-standard work hours, multiple jobs, or inability to travel. Individuals may have difficulty obtaining transportation to in-person events. As for web-based training, individuals and providers may encounter challenges due to lack of internet access, computers, or smart phone technology. These barriers will be considered when determining the best type, location, and outreach methods for these audiences. For example, we will try to offer multiple types of training (in-person, web-based, etc.) at different times of the day and different days of the week to accommodate varying schedules. We will also try to schedule training at well-known locations to facilitate attendance. Weather is also a factor in some areas of the state where snow, ice or fog may impact the ability to attend training. A list of considerations will be developed by PPL and approved by the state. The list will be used when evaluating potential in-person and web-based trainings. PPL will provide a report of how it tried to mitigate issues through its training schedule.

ACCESSIBILITY

There are many factors to creating an accessible training approach including physically, linguistically, and attitudinally. The following list identifies some of the factors:

- **Physical Accommodations:** Attention will be given to selecting training sites to ensure maximum accessibility whenever possible. A venue's accessibility will be evaluated on the following parameters.
 - Occupancy
 - ADA compliance
 - Cost
 - Location

- IT support for WIFI/adequate bandwidth

- **Language Accommodations:** Posted signs at such events will be written in large, easily readable fonts. Written materials will use at least 14-point font, and can also be made in larger fonts, or alternative formats for those with visual impairments. Options for closed captioning will be explored for live presentations as well as online trainings. Training communication will clearly state if closed captioning will or will not be available. Use of plain language and simple step-by-step instruction will be provided throughout all training approaches. Training material will avoid the use of overly complicated jargon and will provide examples where applicable.

The need for assistance with and translation of materials into languages other than English in Oregon has been identified and may subsequently be planned for this training effort. Particular needs for assistance and translation in Russian, Spanish, and some Chinese dialects were requested. Utilizing PPL's SeaTac, WA customer service staff, many (if not all) of the approaches outlined below in Section 4.4 Training Approach could be offered in multiple languages to accommodate stakeholders for whom English is a second language. PPL and OR Project Staff will determine if translation services are necessary, at what sessions and for how many individuals. PPL is not contracted to provide translation services for training but if there is a need for these services will try to accommodate the request.

- **Attitudinal Accessibility:** This refers to creating training environments that are open and welcoming to people of various backgrounds, experiences, and abilities. This includes a space where users are treated with respect, and feel free to ask questions or request accommodations.

4.1 Training Approach

It will be necessary for all target audiences to know how to use the MyAccount and Time4Care system respective to their role by the Go-Live date. The intent is to provide members of target audiences with information through, at least, one of the training and information dissemination activities. The approach involves providing various types of training to ensure that users can receive training and information in ways suited to their needs and preferences, and that make the best use of training resources. To accomplish this, training modalities will use a mix of visual, auditory, and kinesthetic learning styles. Due to the need to reach a significant number of people across the state, the overall approach relies on a prioritized order of training types including self-guided, instructor-led web-based, and in-person approaches.

SELF-GUIDED APPROACHES

It is anticipated that the majority of individuals and providers will need to acquire the necessary knowledge and skills by means of self-guided learning methods including written materials and video tutorials. These methods will be made available first and throughout

the duration of the training effort to provide adequate training and informational materials to those who prefer this learning style. This approach will also mitigate the number of people who then require instructor-led web-based or in-person approaches.

WRITTEN MATERIAL

Training materials provided in writing can be made accessible via the Internet (for example, by download), as attachments to e-mail, or distributed in hard copy via multiple methods (for example, mailed or distributed at in-person training). Due to the self-service nature of using written materials, they can be a useful training method for users who prefer to progress at their own pace. Written methods can also be accessible to users who do not have regular access to the Internet. If written explanations are kept concise and use of images is maximized, this method may be accessible to users for whom English is a second language. The following list describes the training materials:

- **How-To Guide:** Step-by-step 'How-To' instructions can be stand alone or used within other training modalities. These instructions can be followed progressively or accessed by subject-specific segments. Given that this training is for a web-based time capture system with which providers and individuals must interact to capture worked hours, the best way to show examples will be to include screenshots (images of the screen as the system is maneuvered through multiple steps) so that users may gain familiarity with the look and flow of the system. Examples of different screens by user type will be provided in the How-To Guide. (Please see sample guides for training on MyAccount and Time4Care in Section E.4)
- **Video tutorials:** Video tutorials will be made available and hosted on approved platforms. Tutorials take users through a variety of online processes using video and audio accompaniments and leveraging the principles of adult learning. Training is customizable based on the audience. For example, individual and provider training can be specific to how they create, submit, and approve an electronic timesheet through the MyAccount web portal or Time4Care mobile application.

INSTRUCTOR-LED WEB-BASED APPROACHES

Web-based approaches will be used for pre-implementation training, post-training, and future training. Such training will be accessible to users with internet access using a computer, tablet, or smartphone. However, certain types of web-based approaches may not work or may not work well on all Internet enabled devices. For example, content may not display properly on smaller screens, or accessing online training via smartphone may be difficult depending on strength of wireless connection. Specifications for joining a webinar using the Microsoft Teams, including browser compatibility, will be tested and documented. Recommendations for how users can test compatibility and successfully join the webinars will be communicated to audience groups with information regarding session

registration.

Webinars will be provided in real-time or as pre-recorded sessions accessible at any time. These are typically hosted on a web platform. Offering both types maximizes the opportunity for stakeholders to receive training information regardless of their ability to attend at a set time or need to access such training beyond the hours any live sessions are offered. Webinar formats can vary, and include instructor-led live tutorial methods, scenario-based instructions, and a live question and answer session. Questions and answers from each session will be recorded and distributed to DHS staff and, as appropriate, system users. The following list describes the considerations for each type of webinar:

- **Live Presentation Webinars:** A live webinar is a real-time, instructor-led format that can allow for live questions and answers. This training method can have bandwidth limitations; that is, a maximum number of users who can login at once. Also, because of the logistics related to this method, such as requiring users to login at a specific date and time, this method may be preferable for training sessions where multiple learning objectives may be covered. Known limitations to this method will be communicated to all registered users prior to training.
- **Recorded Presentation Webinars:** Webinars, which can be recorded with or without a live audience, eliminates opportunities for live question and answer periods, but can offer self-service flexibility. For example, a recorded webinar could be watched at any time of day and may also offer the user the ability to pause, rewind, or re-watch the presentation as desired. Any known limitations to this method will be identified in the instructional documentation associated with these webinars.

IN-PERSON APPROACHES

While in-person training is an effective training approach, it is resource intensive. Therefore, offering in-person training requires a balance between desirability and feasibility. In-person training can be accessible to individuals and providers who can get to and from a training location at a designated date and time. Many people value the opportunity to learn directly from a presenter, and to have the opportunity to have their questions answered. There are often capacity limitations for this type of training, so registration and attendance need to be planned and managed. The following list describes the types of in-person approaches:

- **In-Person Presentations:** This format includes a presentation delivered by a live trainer and will include a question-and-answer session. In-person training allows for training numerous individuals at the same time. Including a question-and-answer period, allows for case or scenario specific questions to be asked and answered. Such questions often benefit not only the individual who asks them, but others in the

group that may have similar questions. Questions may be compiled throughout training to create Frequently Asked Questions (FAQ) content to be made available in written, web-based, or other platform. The following list describes the type of in-person presentations:

- An In-Person Session for individuals and providers is defined as a four-hour block to include one optional presentation (15-20 minutes) for entry-level technology users, a 10-minute break, one presentation (60 to 90 minutes) for individuals followed by a 10-minute break and one presentation (60 to 90 minutes) for providers.
- An In-Person Session for Local Office Users is defined as a three-hour block to include one presentation (85 minutes) for Local Office Super Users, a 10-minute break and one presentation (85 minutes) for Regular Users.
- An In-Person Session for Central Office Users is defined as a three to three and a half-hour block to include one presentation (2 hours) for Central Office Super Users, a 10-minute break and one presentation (60 minutes) Program-Specific Users.

In all sessions, PPL will communicate that every document referenced is available electronically on PPL's website. Physical copies will be available for those who request a hard copy.

- **One-on-One Training:** This format can be provided in conjunction with in-person presentations. Availability of such training is dependent on the number of trainers on-site and availability of computer workstations. For many, experiential learning is the most effective means for knowledge retention. While this type of training allows for maximum ability to meet the unique needs and learning styles of each participant, it is the most resource intensive.

4.2 Timing of Training by Audience Type

DHS and State program-specific users associated with the program will be trained first. This will ensure that they have a thorough understanding of the MyAccount and Time4Care system to perform job related duties as well as feel prepared to field questions from individuals and providers. Case Manager or other authorized users may be the most familiar point of contact for many individuals and providers and, therefore, will need to have the ability to accurately answer questions and perhaps provide direct assistance with the MyAccount and Time4Care system. A small amount of overlap is deliberate for those who realize late that they need training or would like refresher training. Participants and providers will be trained next.

4.3 Needs and Skills Analysis

To develop appropriate training materials, a thorough understanding of the needs and skills of each target audience is required. PPL will consider these needs and skills when finalizing a set of training delivery methods. Activities undertaken to assess the needs and

skills for each target audience are described in this section.

4.4 Levels of Training

Users have access to and are responsible for performing specific functions in the MyAccount system and therefore different levels of training are required. This section of the Training Plan provides an overview of roles and responsibilities according to user group, and considerations for levels of training.

OVERVIEW OF USER GROUPS

The MyAccount system is housed in a secure location to ensure the protection and integrity of all confidential data. Access rights are restricted by user group. That is, data elements and action controls that appear on the interface screens are displayed, disabled, or simply not shown, according to the level of information access permitted by the user's assigned group. There are various groups within the MyAccount system, such as individual, provider, State User, PPL User, and any other Program-Specific User. Further, the content of each function is personalized and limited to the information that is relevant to the authorized user (for example, providers can only access information of individuals who they serve). The following list describes the various groups:

- **Individual:** Members of this user group will be responsible for accessing information related to their associated providers, managing provider work schedules, and reviewing, approving, or rejecting hours worked as submitted by their providers. They will also need to have a basic understanding of the actions required by providers. This training will also include information about typical problems encountered when using the system and troubleshooting related to their user group.
- **Provider:** Members of this user group will be responsible for accurately recording and submitting the hours they worked for each individual they support. Providers will need information for accessing both the MyAccount web portal and Time4Care mobile application. They will be responsible for adding notes as necessary and other pertinent information. Additionally, they will be responsible for amending the hours when necessary, so that discrepancies can be resolved. This training will also include information about typical problems encountered when using the system and troubleshooting related to their user group. Finally, Providers will need understand scheduling functionality.
- **DHS Staff and Authorized Users:** Members of these user groups will be responsible for assigning relationships between individuals and providers. In addition, they will be responsible for creating, editing, modifying, and deleting relationships between individuals and providers. Local office staff will also have the ability to create, edit and cancel schedules, and create timesheets. This training will also include information about typical

problems encountered when using the system and troubleshooting particular to their user groups, as well as typical problems encountered by both individuals and providers.

LEVELS OF TRAINING BASED ON USER GROUPS

Due to the various types of users who will be accessing the MyAccount system, training needs necessarily vary. PPL has identified the following user groups for individuals and providers and two user groups for state staff.

- **Individual and Provider Standard User Group:** These users will receive standard MyAccount and Time4Care training. These users may have little to no experience with or access to technology. Separate phone or in-person training will be offered, as needed, to these users to cover basic aspects of accessing MyAccount or Time4Care online applications. The paper timesheet alternative will be addressed here.
- **Local Office Super User and Regular User Group:** These users will receive training on MyAccount, scheduling, reporting, managing relationships within the system, as well as supporting basic individual and provider questions. They will also receive training on pend management.

4.5 Monitoring and Feedback

Post-transition PPL intends on measuring training effectiveness by means of an evaluation through satisfaction surveys. Survey metrics will include tracking the number of users utilizing different training methods where possible and tracking user comprehension and satisfaction.

EVALUATION ELEMENTS

The following list details the elements of the evaluation:

Complete satisfaction survey. A satisfaction survey that asks how training might be improved will be issued after implementation during our annual satisfaction survey review. Questions in the survey will include whether users felt like they learned how to use the MyAccount and Time4Care system, were able to ask questions at the training, and were satisfied with the training settings, agenda, time, approach, etc.

5 Training Goals

To ensure training expectations are met, specific training goals will be established for each user group. The following sections identify the training goals to be established.

5.1 Across All Target Audiences

The following list contains the training goals established for all audiences.

- All users will be notified of the transition to the MyAccount system, and the timeline associated with the transition.

- All users will understand how to access training and supporting documentation and acquire needed assistance relevant to the transition.
- All users will develop a basic understanding of the functionality of either MyAccount or Time4Care, or both.
- All users will understand how to log in and how to retrieve login information if it is lost.
- All users will receive information about who to contact if they have questions.
- All users will receive information about common problems encountered and troubleshooting for at least their respective roles.
- All users will understand profiles, relevant to their roles.

5.2 Individuals

The following list contains the training goals established for individuals.

- Individuals will understand why DHS is moving to the MyAccount and Time4Care system, and the benefits of this transition for them.
- Individuals will understand how to register and login.
- Individuals will understand how to establish and manage a provider schedule.
- Individuals will understand how to review provider hours, and how to approve or deny the hours that are recorded in MyAccount and/or Time4Care.
- Individuals will understand how to view their service plan and utilization.
- Individuals will understand Criminal Background Check process and PPL contact for additional support.

5.3 Providers

The following list contains the training goals established for providers.

- Providers will understand why DHS is moving to the MyAccount system, and the benefits of this transition for them.
- Providers will understand how to register and log in.
- Providers will understand how to select each individual for whom they provide services.
- Providers will understand how to input their hours into MyAccount and Time4Care and submit for payment.
- Providers will understand the individual/Central Office approval and rejection process.
- Providers will understand the basic functionality of the Time4Care mobile application and EVV compliance.
- Providers will understand how to view the service plan and utilization of the individuals they serve.
- Providers will understand the scheduling functionality.

- Providers will understand Criminal Background Check process and PPL contact for additional support.

5.4 DHS or Program-Specific User

The following list contains the training goals established for DHS/program-specific user:

- DHS/program-specific user will be well versed in the transition plan and can effectively communicate with users who rely on their knowledge and expertise.
- DHS/program-specific user will be able to deliver information about using the system in ways that meet the needs of different stakeholder groups while ensuring the necessary tasks and key message is consistent throughout.
- DHS/program-specific user will know how to access materials that explain how to use the system and will be able to direct users to this material, should users acquire assistance.
- DHS/program-specific user will be able to enroll various types of users, assign and modify user roles and use the MyAccount system throughout the life of the contract.
- DHS/program-specific user will be able to process submitted time and manage pending time.
- DHS/program-specific user will be able to edit, approve and reject timesheets as well as edit schedules, if required.
- DHS/program-specific user will be able to create and run reports in MyAccount
- Select DHS/program-specific user users will understand the administrative functions of the MyAccount and Time4Care systems.

5.5 Evaluation of Training Goals

PPL will offer training through various approaches, see section 4.4, Training Approach. As a result, evaluation methods will be tailored to the specific type of training. See section 4.10, Monitoring and Feedback for a description of evaluation methods and activities. The type of data gathered through the activities will be driven by the training goals. The evaluative data will be aggregated, described, and provided in an Evaluation Report referenced in section 3.1 Training Plan Report.

6 Roles and Responsibilities

To establish expectations for training staff and to manage training tasks, roles and responsibilities must be assigned. The following describes relevant training tasks, and Table 3 lists the tasks, and identifies the responsible parties.

- **Training Material Development:** Includes the development of training presentations and supplemental materials such as handouts relevant to each user group.
- **Training Material Vetting and Approval:** Includes reviewing all training materials and providing constructive feedback for the purposes of improving training materials to best meet the needs of each user group.

- **In-Person Training Site Recommendations:** Relates to providing a list of preferred in-person training sites, where applicable.
- **In-Person Training Site Reservations:** Includes ensuring training sites meet necessary requirements such as capacity and accessibility. In addition, includes contacting and performing all necessary functions to reserve in-person training sites. Depending on the venue, this may require calling, emailing, or online scheduling.
- **General Project Communications:** Includes the development and dissemination of overall project communications including benefits of transition, implementation timeline, expectation for user groups, etc.
- **Training Communication Material Development:** Includes development of training communication materials such as training announcements (“Save the Date” postcards, flyers), FAQs, training schedule, and registration information.
- **Training Communication Dissemination External:** Includes disseminating information to the field, including user groups and other external stakeholders.
- **Training Communication Dissemination Internal:** Includes disseminating information to DHS/OHA staff and relevant business partners.
- **In-Person Training Delivery:** Refers to the delivery of instructor-led training with a live audience at a training site. May include one-on-one training.
- **Instructor-led Webinar Training Delivery:** Refers to the delivery of instructor-led training via webinar, where the host will be in one location and broadcast the live training via webinar technology.

Roles and Responsibilities for Training Preparation, Oversight, and Delivery

Task	Responsible Party
Training Material Development	PPL
Training Material Vetting and Approval	DHS
In-Person Training Site Recommendations	PPL
In-Person Training Site Reservations	PPL
General Project Communications	DHS Communications
Training Communication Material Development	PPL
Training Communication Dissemination External	DHS Communications/PPL

Training Communication Dissemination Internal	DHS Communications/PPL
In-Person Training Delivery	PPL
Instructor-led Webinar Training Delivery	PPL

The RACI model will be used to track and assign decision-making authorities to each task. RACI stands for:

- **Responsible:** Person who performs an activity or does the work.
- **Accountable:** Person who is ultimately accountable for completing task.
- **Consulted:** Person that needs to provide feedback and contribute to the activity.
- **Informed:** Person that needs to know of the decision or action.

RACI Model

Task	PPL	DHS	DHS Communications	State Staff User (Policy and Operations)
Training Material Development	R, A	R, C	R, C	I
Training Material Vetting and Approval	I	R, A	C	C
In-Person Training Site Recommendations	R, A	R		C
In-Person Training Site Schedule	R, A	C	I	C

In-Person Training Site Reservations	R, A	R		
Training Communication Material Development	A, R	C	C	
Training Communication Dissemination External	I	A	R	
Communication Dissemination Internal	R, A	R	R	
In-Person Training Delivery	R	A	I	I
Instructor-led Webinar Training Delivery	R, A	R	I	I

7 Training Readiness

This section describes how the determination of readiness for training on the part of user audiences, as well as the training team, will be made.

7.1 Project Team

Readiness of the project team to execute the training plan will primarily be impacted by the overall timeline of MyAccount production and the Go-Live date for implementation. A final version of the MyAccount web portal and policies related to program requirements must be available to develop accurate training. Trainers will need to receive appropriate training and have a thorough understanding of the MyAccount and Time4Care system, training goals, training content, and training format. Trainers must demonstrate readiness for training

delivery through a rehearsal of training presentations with key staff.

7.2 Training Preparation

Written materials and pre-recorded online tutorials will be viewed and vetted by Project Staff, TTF and/or the DHS Communications team prior to being made available to the public as part of a Training Preparation. Once these materials have been placed on the agreed upon public locations, PPL will test to ensure these materials can be downloaded, viewed, and accessed as intended. The following table describes the components and preparation activities that must be completed prior to in-person training sessions.

Training Components and Preparation Activities for In-Person Sessions

In-Person Training Component	Preparation Activities
Enrollment/Registration Management	<p>Providers and individuals invited to register to attend a presentation.</p> <p>Offer at least one complete session (defined as one presentation specific to the needs of providers, one presentation specific to the needs of individuals, and time slots for one-on-one assistance) at each location.</p> <p>Additional presentation times made available in locations that contain a high number of individuals receiving services and in locations that have a high interest in attending in-person training session.</p> <p>Providers and individuals registered to attend a specific presentation timeslot using an online self-registry process or a call-in self-registration process.</p>
Facilities	<p>Secure locations for trainings that are geographically central to the area being served, are familiar or well-known by locals of the area, or are regularly frequented by providers or individuals to the extent possible.</p> <p>Secure multiple rooms or rooms with dividers to allow for a separation between the presentation portion of the training and the one-on-one assistance.</p>

	<p>Secure facilities as early as is feasible to allow for ample time for materials to be distributed among providers and individuals regarding the in-person training schedule.</p> <p>Gather information regarding the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Number of electrical outlets available <input type="checkbox"/> Availability of a screen or a blank wall for projection of the presentation portion <input type="checkbox"/> Accessibility of the location <input type="checkbox"/> Parking limitations or specifications, if any <input type="checkbox"/> Availability to set-up a check in station outside of the training rooms <input type="checkbox"/> Distance between the available rooms and the main entrance of the facility <input type="checkbox"/> Availability of Internet access <p>Confirmed locations training and any specifications requested.</p>
Equipment	<ul style="list-style-type: none"> • Projector • Microphone or sound system (dependent on the size of the venue) • Screen • Ticketing system to coordinate provision of one-on-one assistance • Extension cords • Pens • Attendance sign-in sheet • Name badges for all PPL staff and contractors • Printed call-center contact information • Printed training materials (see Training Materials, below in the table)
Staffing	<p>Perform all needed functions at each of the training locations. This includes providing the following minimum staffing:</p> <ul style="list-style-type: none"> <input type="checkbox"/> A designated person or persons to greet attendees, track attendance, and direct the training attendees to the correct location. <input type="checkbox"/> A presenter tasked with providing the presentations.

	<ul style="list-style-type: none"> <input type="checkbox"/> At least two designated staff to provide one-on-one troubleshooting, technical assistance, and walk-through of the test MyAccount environment. <p>DHS staff person attend to help field questions related to DHS policy or practice.</p>
Training Materials	<p>Presentation-provider specific (projected and printed slides)</p> <p>Presentation-individual specific (projected and printed slides)</p> <p>Outline for presenters (provider and individual)</p> <p>Printed tip sheet: Helpful Hints for Using MyAccount and Time4Care</p> <p>Test Scenarios for one-on-one assistance</p> <p>Materials in alternate formats (large print, other languages as identified)</p>
Attendance and Issues Tracking	<p>Track the attendance at each session</p> <p>Maintain records and transmit to the Project Staff</p> <p>Track issues that arise at each training site related to site, venue, audience, potential system defects or program or business rules that need to be addressed.</p>
Presentation Components	<ul style="list-style-type: none"> a. Explanation of move to MyAccount and benefits of the transition b. Timeline of transition to MyAccount c. Guidance for accessing ongoing support and training relevant to MyAccount and Time4Care d. Explanation of how to register for MyAccount e. Explanation of how to perform tasks specific to given user roles
One-on-One Technical Assistance	<ul style="list-style-type: none"> f. Using ticketing system one-on-one training staff will call attendees needing assistance to one of the workstations.

	<ul style="list-style-type: none"> g. Training staff will identify if the person is a provider or individual. h. Training staff will flip to the appropriate test scenario sheet i. Training staff will offer to answer any outstanding questions the person had following the presentation j. If question cannot be answered training staff will record the question and direct the provider or individual to check OR-specific MyAccount/Time4Care informational page for the answer to their question within two to three business days. k. Training staff will offer to walk provider or individual through test scenario using the MyAccount test site. l. Training staff will answer any additional questions m. Training staff will inquire if provider or individual is willing to take a short survey about their training experience (if so, see Post-Training Survey below in this table)
<p>Post-Training Survey</p>	<p>After the individual or provider has agreed to complete a survey, training staff will direct them to the survey specific to their role. If possible, digital surveys on the workstations will be use. If not possible, paper surveys and pens will be provided. If paper is used, differing colors of paper will be used for provider and individual surveys.</p> <p>Survey will consist of no more than six questions regarding their training experience and readiness to begin using MyAccount or Time4Care for provider time capture, and/or scheduling.</p> <p>If electronic survey, provider or individual will be thanked for their feedback after the survey through an electronic message.</p>

	<p>If paper survey, provider or individual will be directed by training staff to place survey in basket as they leave.</p> <p>If electronic survey, surveys will be reviewed at the end of each training day.</p> <p>If paper survey, at the end of each session, surveys will be collected and logged by presentation greeter, and compiled for analysis. Hard copies of surveys will be provided to DHS.</p>
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The following table describes the components and preparation activities necessary to prepare for remote, live-webinar training sessions.

Training Components and Preparation Activities for Live-Webinars

Live-Webinar Training Components	Preparation Activities
Enrollment/Registration Management	<p>Providers and individuals invited, via email and link included in the Welcome Packet, to register to attend a presentation.</p> <p>Offer at least one complete session (defined as one presentation specific to the needs of providers, one presentation specific to the needs of individuals, and time slots for one-on-one assistance) at each location.</p>
Facilities	Determine if various field offices have the capacity to host live-viewings of the webinars
Equipment	Computer with microphone and speakers or computer with access to a phone line
Staffing	<p>Provide at least two staff on each live webinar</p> <p>DHS staff person attend to help field questions related to DHS policy or practice</p>
Training Materials	Presentation-provider specific (projected and printed slides)

	<p>Presentation-individual specific (projected and printed slides)</p> <p>Outline for presenters (provider and individual)</p>
Attendance Tracking	<p>Track the attendance at each session</p> <p>Maintain records and transmit to the Project Staff</p>
Presentation Components	<p>In general, all presentations will contain the following components:</p> <ul style="list-style-type: none"> n. Explanation of move to MyAccount and benefits of the transition o. Timeline of transition to MyAccount p. Guidance for accessing ongoing support and training relevant to MyAccount or Time4Care q. Explanation of how to register for MyAccount r. Explanation of how to perform tasks specific to given user roles
Post-Training Survey	<p>Fill out a short online survey after the training. Individual survey results will be delivered to the state via agreed upon format.</p>

8 Training Communications Overview

PPL will support the state to engage and communicate with users regarding the transition to the MyAccount system. Due to differences across target audiences, the optimal means of outreach and engagement will necessarily vary by audience type.

The goal of training communications will be to target as many users as possible and to provide information that is both understandable and timely. It is likely that communications about the training will occur over time and in different formats. PPL will collaborate and work under the guidance and direction of the DHS Communications Department related to crafting effective messaging, deploying communication strategies, and reaching target audiences in a timely manner. While this communication strategy assumes close collaboration, DHS Communications Department will be primarily responsible for overall project communications, and PPL will be primarily responsible for training specific communications. Communication requirements, found in the Communication Support section of the *Business Transition Plan*, will be addressed according to the overall project

and training timelines.

To ensure that training communications reach intended audiences, PPL will provide information about different user groups and the responsibilities that they will have within the new system. This will allow the state to best coordinate its timeline for the distribution of communications materials.

9 Training Materials/Lesson Plans

PPL shall train DHS staff, Case Managers, Providers, Participants and other designated staff on the MyAccount and Time4Care mobile system application. These trainings shall, at a minimum, provide the following information:

- Detailed understanding of the function of the MyAccount and Time4Care mobile system application for DHS staff, Case Managers, Providers, Participants and other designated staff
- Detailed understanding of the individual and provider functions and views
- The role of the individual in the time capture process
- The role of the provider in the time capture process
- Scheduling
- System notifications
- Who to contact if there is a problem experienced by individuals and providers

This section includes the lesson plans, topics, objectives, guiding questions, and methods for delivering training.

Lesson plans help structure the learning of different users and ensure that the training methods are well thought out and adhere to the learning objectives. The following table details the lesson plans for each type of training offered.

LESSON PLANS

Topic	Description	Objectives	Guiding Questions	Method/Medium	Role
Training Process	Introduce instructors, general information, (e.g., location of rest rooms), define training roles and	To ensure users are familiar with training logistics, their role and the instructor's role, and the material	What am I going to have to do today?	Classroom training / in-person lecture	DHS, Providers, Individuals

	responsibilities, and review the agenda.	that will be covered.			
Training Objectives	Review the objectives of the system overview training.	To ensure users understand the desired effect of the training.	What should I leave here expecting to know?	Classroom training / in-person lecture	DHS, Providers, Individuals
Terminology	Review terms that will be used in the training	To avoid confusion regarding terminology used in training	n/a	Classroom training / in-person lecture	DHS, Providers, Individuals
System Structure	Describe the overall structure of the system. Users make entries at workstations (if available) when instructed by the trainer.	To ensure users have a general understanding of the functions available and how the system is structured. Having this context ideally helps users retain more detailed information about the system.	How does the system work from a high level?	Classroom training / in-person lecture, on-line entry when instructed	DHS, Providers, Individuals

<p>Navigating Through the System</p>	<p>Describe various methods for navigating from one function to another. Users make entries at training workstations (if available) when instructed by the trainer. For State and Local Office Super User/Reg staff, this includes accessing different roles.</p>	<p>To ensure users know how to get from one area in the system to the next desired area.</p>	<p>How do I move around in the system?</p>	<p>Classroom training / in-person lecture, on-line entry when instructed</p>	<p>DHS, Providers, Individuals</p>
<p>Navigating Through the System - Training Exercise</p>	<p>Users complete a number of exercises to navigate from one area to another.</p>	<p>To ensure users understand how to get from one area in the system to the next desired area.</p>	<p>n/a</p>	<p>Classroom training / on-line exercises</p>	<p>DHS</p>
<p>Managing User Accounts</p>	<p>Users complete a number of exercises to</p>	<p>To ensure users understand role-based</p>	<p>How are users added to the system?</p>	<p>Classroom training / on-line</p>	<p>DHS</p>

	add, remove or change the role of a user, assign case managers and case manager agencies. Note: Central Office Program Specific Role does not assign case managers or case manager agencies.	access and how to add and remove users and assign case managers and case manager agencies		exercise s		
Processing Time Submitted	Users complete a number of exercises to process submitted time.	To ensure users understand how to process the time submitted.	How do I submit time?	Classro om training / on-line exercise s	DHS	
Managing Exceptions/ Pends	Users complete a number of exercises to edit, approve and suspend submitted time and edit schedules.	To ensure users understand how to facilitate the scheduling and time submission process to aid individuals	What happens if there is a problem with time submission?	Classro om training / on-line exercise s	DHS	

Supporting Individuals and Providers	Users complete a number of exercises to understand how to respond to frequently asked questions by individuals and providers. Users will also be trained on support ticket functionality.	To ensure users understand how to support individuals and providers in everyday processes and document assistance in support tickets	What types of questions from individuals and providers am I expected to answer?	Classroom training / on-line exercises	DHS	
How to Get Help	Review how to access the help system and how the contents are organized. Users make entries at training workstations (if available) when instructed by the trainer.	To ensure users know how to access the help system and obtain the desired information.	Where do I go with my questions?	Classroom training / in-person lecture, on-line entry when instructed	DHS, Providers, Individuals	
How to Get Help - Training Exercise	Users complete a number of exercises to	To ensure users understand how to	n/a	Classroom training / on-line	DHS, Providers, Individuals	

	access help and obtain requested information.	access the help system and obtain the desired information.		exercise s		
Associating Individuals and Providers	Users complete a number of exercises to associated individuals with the providers who work for them	To ensure users understand how and why associations are made	How does the system record that a worker works for a specific individual?	Classro om training / on-line exercise s	DHS	
Individual and Provider Use of the MyAccount System	Demonstrat e how individuals and providers will use the MyAccount System	To ensure users are confident in how individuals and providers will be impacted by the change	What are individuals and providers going to see?	Classro om training / on-line exercise s	DHS	
Entering and Submitting Hours Worked	Users complete a number of exercises to enter and submit hours worked using both MyAccount and Time4Care. Note: Central	To ensure users understand how to enter and submit hours worked.	n/a	Classro om training / on-line exercise s	DHS, Providers,	

	Office Super Users/Program Specific can also edit time.				
Scheduling	Users complete a number of exercises to create, view, and edit the schedule.	To ensure users understand how to create, view, and edit the schedule.	How do I schedule time?	Classroom training / on-line exercises	DHS, Providers, Individuals
Approving Time Submitted	Users complete a number of exercises to review, approve/reject submitted time.	To ensure users understand how to review, approve/reject time submitted.	How do I pay my providers?	Classroom training / on-line exercises	DHS, Individuals
Budgets and Authorizations	Demonstrate how users can view their budgets and authorizations	To ensure users understand how to view budgets and authorizations	What am I authorized to use?	Classroom training / on-line exercises	Individuals

Training materials and lesson plans will be developed in advance of the training and the state will have an opportunity to review the materials and provide feedback. Materials will be continually updated to reflect the evaluations provided by different users. All materials will be updated as frequently as necessary and will be made as user friendly as possible. These materials will be distributed directly through the training, whether online or in person. The Training Plan and applicable materials will be modified as necessary to meet the needs of the different user groups.

9.1 Training Material/ Lesson Plan Deliverables

This section of the Training Plan describes the training deliverables that will be provided.

The following table lists the training materials and provides additional information for each deliverable.

TRAINING MATERIAL DELIVERABLES

Item	Train er	Delivery Method
Call-In Training Script for Entry-Level Individuals and Providers	PPL	PPT emailed for review
Online Training Presentation for Individuals	PPL	PPT emailed for review
Online Training Presentation for Providers	PPL	PPT emailed for review
Online Training Presentation for Program-Specific Users	PPL	PPT emailed for review
FAQ for All Users	PPL	Word document e-mailed for review
Troubleshooting Guide for All Users	PPL	Word document e-mailed for review
Online Live Webinar Training Presentations for All Users	PPL	Test webinar
In-person Training Presentations for Individuals and Providers	PPL	In-person dry run
In-person Training Presentations for Individuals and Providers	PPL	In person and on-site
In-person Training Presentations for Regular Users	PPL	In person and on-site

In-person Training Presentations for Program-Specific Users	PPL	In person and on-site
Webinar Presentation Providers and Individuals	PPL	Live Webinar
Recorded Webinars Providers and Individuals	PPL	Recording to post online
Webinar Presentation Program-Specific Users	PPL	Live Webinar
Recorded Webinars Program-Specific Users	PPL	Recording to post online
User Manual	PPL	Word document e-mailed for review

9.2 Training Materials Vetting/Dry-Run Activities

Prior to submission of materials to the State for final approval, PPL will seek feedback on training materials from select informants. The State will be responsible for identifying a small sample of appropriate and representative parties for all planned training groups (providers, individuals, and Central and Local Office staff users). PPL will then present training materials to this sample group to obtain feedback that will inform any necessary adjustments. This presentation may be done in person for providers and individuals but will likely be done via webinar or online for Central and Local Office staff users, in acknowledgement of busy work schedules.

After the materials have been vetted and approved, PPL will conduct a dry run of the training presentations with a select group of stakeholders identified by the State. This will be a complete run-through of the presentation as it is intended to be delivered to the user groups. Feedback from this dry-run exercise will be incorporated as warranted to improve the overall presentation.

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.

PPL has been providing orientation and skills training to State Departments, Employees, and individual/designated representatives for over 20 years. We have consistently accepted feedback from both DHS and individuals to refine and expand on our materials and approach.

PPL’s national FMS experience has resulted in our selection as the statewide vendor for Common Law Employer orientation and skills training in Connecticut, Oregon and most recently Vermont. In Connecticut, PPL is the provider of Self-Direction Training & Technical Assistance to individuals enrolled in one of the developmentally disabled Waiver programs. Employees and Beneficiaries/Employers receive orientation, training, and support from PPL to recruit, hire, and manage their employees. provides virtual training via Brainier, an online competency-based Learning Management System (LMS). PPL provides virtual training and consultation services for the Self-Directed Employer Resource program to help Oregon Home Care Commission ensure the quality of home care services. Optional training is offered to new employers on roles and responsibilities in self-direction with emphasis on the responsibilities of being an employer.

PPL will bring this same level of dedication and support to Arkansas through in-person and online training of our systems. To that end, Public Partnerships will provide detailed training on PPL’s proprietary self-directed web portal called MyAccount and our EVV compliant mobile app Time4Care to DHS, individuals, and representatives. The system is intuitive, user friendly, has defined user roles and the ability to enroll electronically.

Orientation and Skills Training on MyAccount and Time4Care

During implementation, PPL will work with DHS and other representatives on training of our systems with supporting materials and user guides. The role of IT systems for administering self-directed personal care and attendant care benefits in Medicaid continues to evolve given CMS requirements such as Electronic Visit Verification (EVV). With these new technologies, Beneficiaries/Employers and employees deserve quality and comprehensive trainings so they can take full advantage of the added benefits to their participant-directed journey.

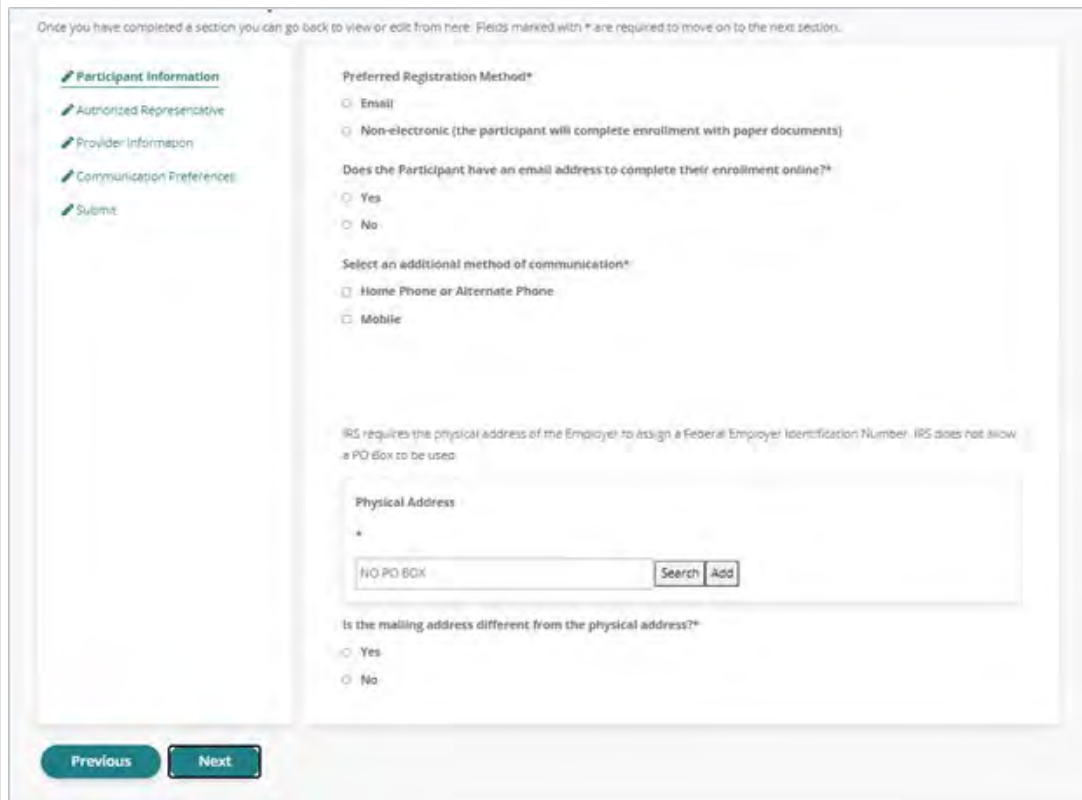
Self-directed service options today are easier for individuals to access, and for state administrators to manage, when the fiscal intermediary has an information technology solution explicitly designed for self-directed models. PPL’s FMS solution is built around our self-direction enterprise portal, MyAccount. Our system is designed to be user-friendly and easy to navigate.

MyAccount – Online Referrals and Enrollment

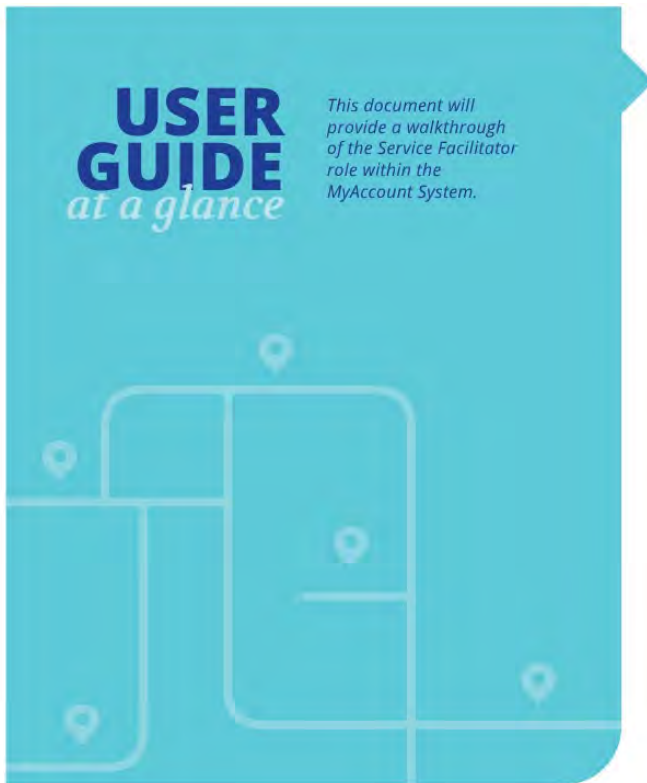
Public Partnerships’ mission is to **transform more lives by making self-directed home care easier for all**. Part of our approach to making self-direction easy is developing and deploying a highly innovative and modern enterprise-wide self-direction portal, MyAccount. MyAccount’s offers an online referral system for case managers that has integrated Business Process Management (BPM) technology to ensure we track referral progress for timely enrollment.

This referral process is intended to be straightforward and self-explanatory, please see the following image for an example of this system. PPL will train and offer supporting user guides to DHS on how to use and navigate through the enrollment process for Beneficiaries/Employers and employees to ensure a smooth enrollment transition.

Our user guides detail the full MyAccount enrollment module from referral through to



assisting with ongoing program inquiries. The MyAccount enrollment module was designed for both those individuals capable and comfortable with online self-service and those less comfortable online. Please see the following table of contents for one of our user guides. This user guide was made for Service Facilitators and their needs.



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MYACCOUNT GUIDE FOR SERVICE FACILITATORS | 7

MyAccount offers online review of pre-populated tax forms filled in with the information provided in the referral. Beneficiaries/Employers can then sign the completed enrollment forms electronically, which dramatically reduces processing and enrollment cycle times. Furthermore, electronic enrollment eliminates incomplete paperwork submissions that result in returns, frustration, and extended cycle times. Our participant versions of the above user guide offer detailed instructions for these topics.

While online is preferred to help Beneficiaries/Employers get started faster, PPL staff remains fully capable of supporting employees enrollment telephonically, through video conference or in-home to help educate on and complete enrollment paperwork.

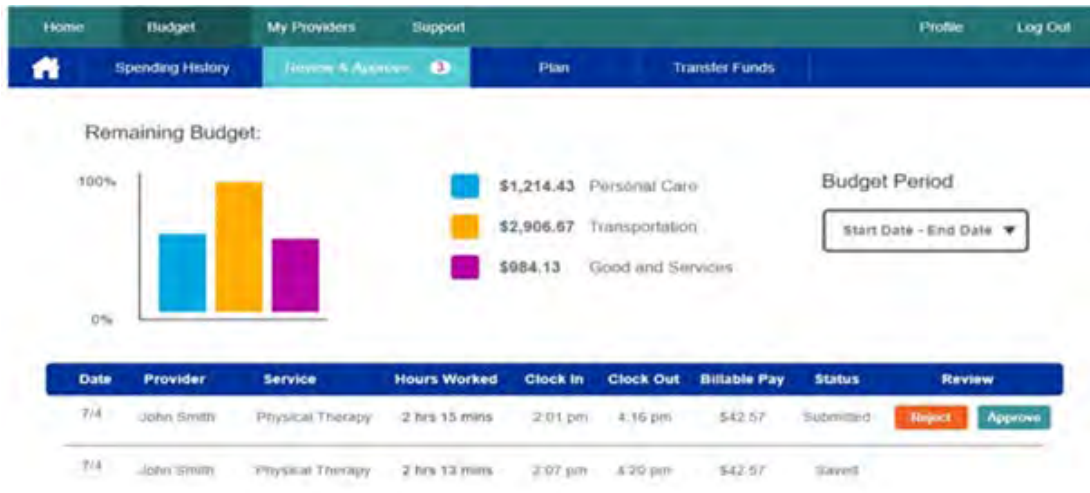
Prior Authorization and Budget Management

A hallmark of our MyAccount system is the capacity to store prior authorization and budget information electronically and validate time submission against the remaining service balance (s). MyAccount can be configured to support any budget and service authorization type, from weekly to annual allocations and unit based or dollar. At its core, our financial management system is incapable of issuing a non-authorized payment, as it will not pay in the absence of available budget without manual intervention. ***DHS will be trained in how***

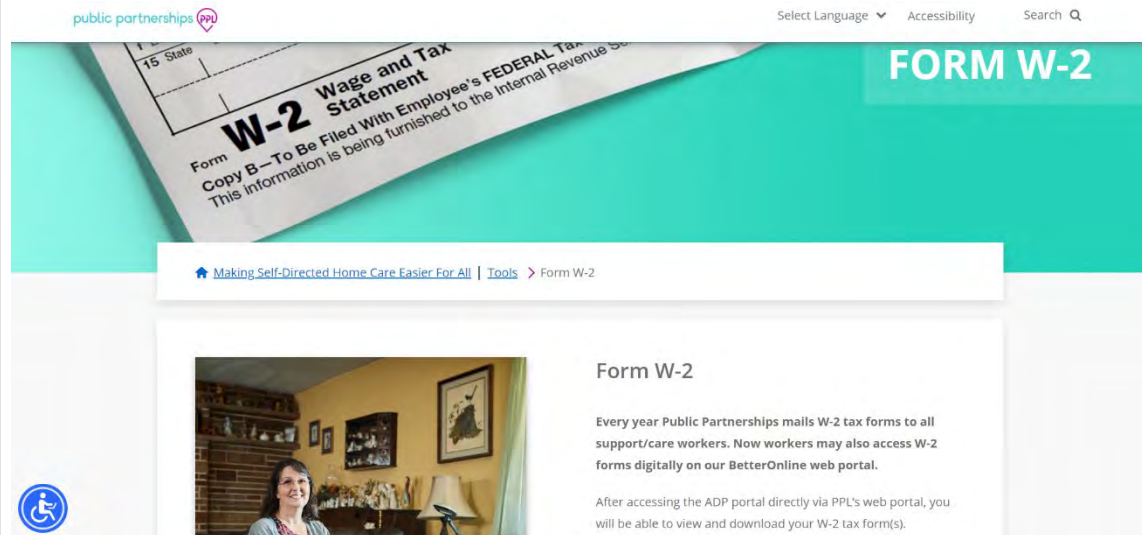
to enter, edit, and approve budgets and service authorizations through virtual and in-person training.

With MyAccount, Beneficiaries/Employers can view their overall budget with services shown, including current balance and pending (i.e. *to be paid*) shifts. MyAccount displays utilization data in colorful charts that make it easy for Beneficiaries/Employers to manage their services and stay focused on their health and well-being. The MyAccount configuration below includes an overall budget comprised of individual services (e.g., Personal care, Transportation, Goods and Services). While our user guide for Beneficiaries/Employers explains and walks through viewing/managing their budget, MyAccount was created with participant-direction in mind with a simple and easy-to-understand user interface to support utilization without the need for complex training.

Access to Real Time Budget Usage for Individuals and Case Managers



Online Access to Pay Statements and W-2s for Employees



MyAccount brings professionalized payroll for direct care workers by permitting the same kind of online access to pay statements and W-2s that many employees enjoy in today's workforce. MyAccount provides access to the past three years of W-2 forms for workers. This provides significant convenience for employees as they manage their tax filings. The screenshot here is our 5-step instructions for accessing Form W-2 online. While we have made MyAccount simple and easy-to-use, we also understand that some users may be uncomfortable with technology and would prefer to have a guide to refer to.

HOW TO ACCESS ONLINE FORM W-2

[▶ INSTRUCTIONS](#)

- 01** Log into your [MyAccount Account](#). If you do not have an account, you'll need to create one. Please check your email for your referral link.
- 02** Once you're logged in, click on the **"My W-2"** option on the dashboard, example below. This view may be different per program, but the option will have the same name.
- 03** Click **"View"** which will take you to your ADP Dashboard
- 04** Click icon the **"Your Pay"** icon
- 05** Click **"Tax Statements"** on the right bottom side. Available W-2's will be listed in the dropdown menu.

Case Management System Access

PPL understands that other third-party care coordinators or case managers may need timely service information for their clients who are participating in self-direction programs. Our training for these groups includes end-to-end training on their options in MyAccount. MyAccount features role-based access to ensure our technologies strengthen the exchange of information both during enrollment and while services are being utilized. A third-party care coordinator or case manager will learn how to set up a username, password and create a profile. Then these third-party users will be trained on how to receive prompt and concise responses on enrollment status, current blockers to enrollment, and how to access to the same budget utilization information as the individual.

Time4Care – PPL’s EVV compliant solution

PPL understands that thorough, flexible training is required to support users in feeling comfortable with EVV requirements. We have extensive experience in orientation and skills training on our Time4Care mobile app solution. Our training and orientation not only include written guides and in-app guides, online webinars, and virtual trainings but also personalized training over the phone by our staff as well.

Our training for employees builds on existing user guides and FAQs generated from PPL’s successful EVV implementations for self-directed options across 13 states.

Guides – The following EVV training documents have been developed with a new user in mind. These documents are consistently updated and refreshed.

How to download Time4Care

Frequently Asked Questions

Time4Care User Guide

▶ QUICK GUIDE


TIME4CARE™ MOBILE APP

by Public Partnerships

Download the Time4Care App


1. Go to **Google Play** or the **App Store** on your Android or iOS device.
2. Tap on **Search**.
3. In the search bar, type in: **Time4Care**.
4. Download the **Time4Care app**.
5. Once the application has downloaded, tap to **open**.

Log in or Sign Up



If you already have a user account for MyAccount, log in to the app with the same username and password.

If you have not completed your enrollment in MyAccount, you will need to complete this first to create your username and password.



- Clock-in and -out in real-time to record time worked.
- Timesheet submission is no longer needed - each shift is submitted individually for review and approval.
- For EVV users, location is captured at clock in and clock out.
- Location is not tracked during visit or any other time.

Our guides are intended to keep things simple and cover core functionality that employees need to know. PPL offers additional mediums for training purposes, including more below.

WebEx – As part of EVV implementations, we also conduct a series of WebEx sessions for employees. Web training assures maximum flexibility for employees but also allows for repeated attendance. ***These sessions have been very well attended and often attended more than once.*** The WebEx training series is offered pre- and post- EVV go-live to ensure the employees are successful during the initial days and pay-periods.

Virtual or In-person – Enrollment Specialists assist the provider in the introductory concepts of EVV. Our Information & Assistance Team has successfully moved the needle on EVV adoption with consistent outreach and re-education. PPL has also supported EVV compliance through townhalls helping promote EVV adoption and answer any questions that case managers, employers or employees may have.

Phone – We recognize that each person has a preferred learning style and web-based is not for everyone, so we have included **over-the-phone** training as an option.

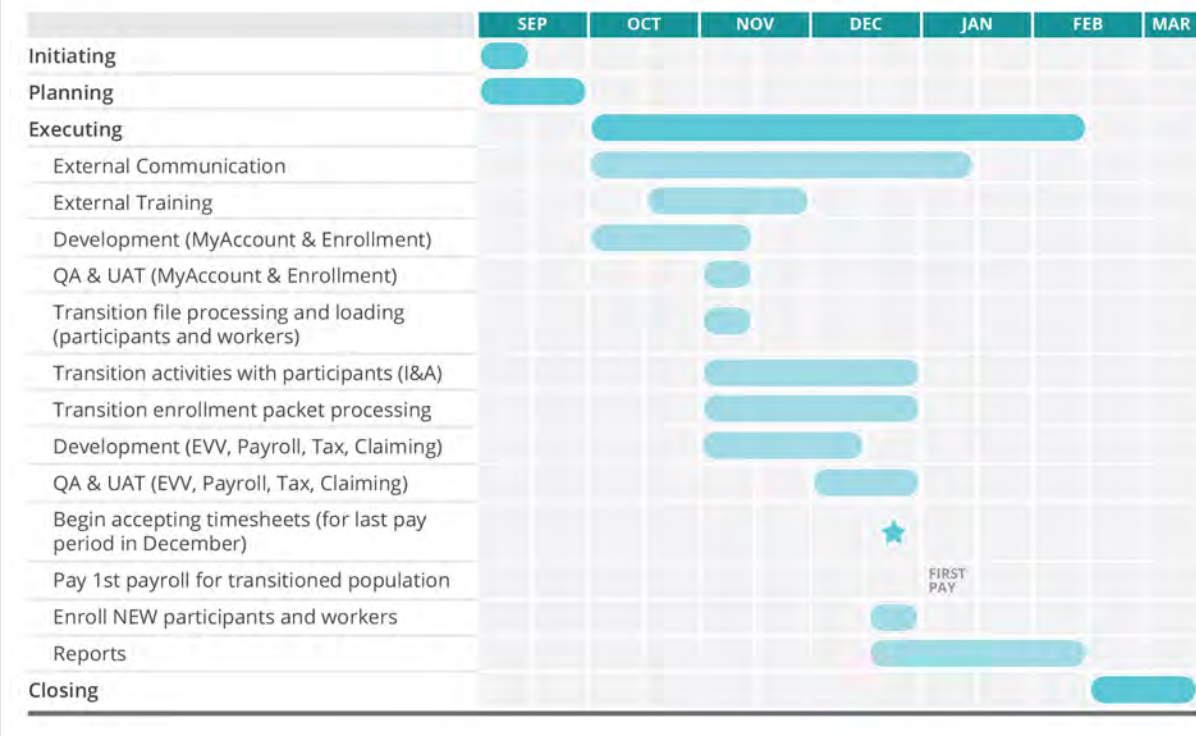
The Time4Care mobile app is a PPL product and our call center staff, enrollment support team, account managers and employer/employee liaisons are trained expert users. Employers and employees receive comprehensive training and we have created several guides available on demand, demonstrating key features. EVV users can access a “contact us” screen within the app providing call center contact information and an option to email. PPL brings a 350-person customer care team that includes 40% Spanish speakers and multi-lingual support in 13 languages. Customer service staff can walk employers and

employees through common issues for resolution on the first outreach. Our EVV support materials have been translated into 13 languages.

Any questions or additional training on our Time4Care system can be made regularly by our Customer Service and Account Management team. For day-to-day call center servicing, our staff have access to the Time4Care Emulator. This enables the representative to replicate the application on the computer, to assist the caller with any issues they may be experiencing. Our call center managers regularly attend cross functional meetings with our account management team who keep them informed of EVV rule changes at the state and program level. Changes warranting updates to documented rules, roles and policies are the responsibility of the account manager, who also coordinates with the call center manager to deliver supplemental training or updated reference materials. All staff also have ongoing access to our learning management system that includes modules for an EVV Overview, time entry, and time adjustment.

Training and Orientation Timeline

The fiscal intermediary transition period will begin in Fall 2022. It will be important to provide Time4Care and MyAccount training prior to launch but not so far ahead of schedule that users forget what they learned. Generally, 90 days prior to the first pay period users will be required to use Time4Care is an appropriate amount of time to offer a menu of training options. Assuming an August through December implementation period there will be 2-3 critical activities and benchmarks to hit each month.



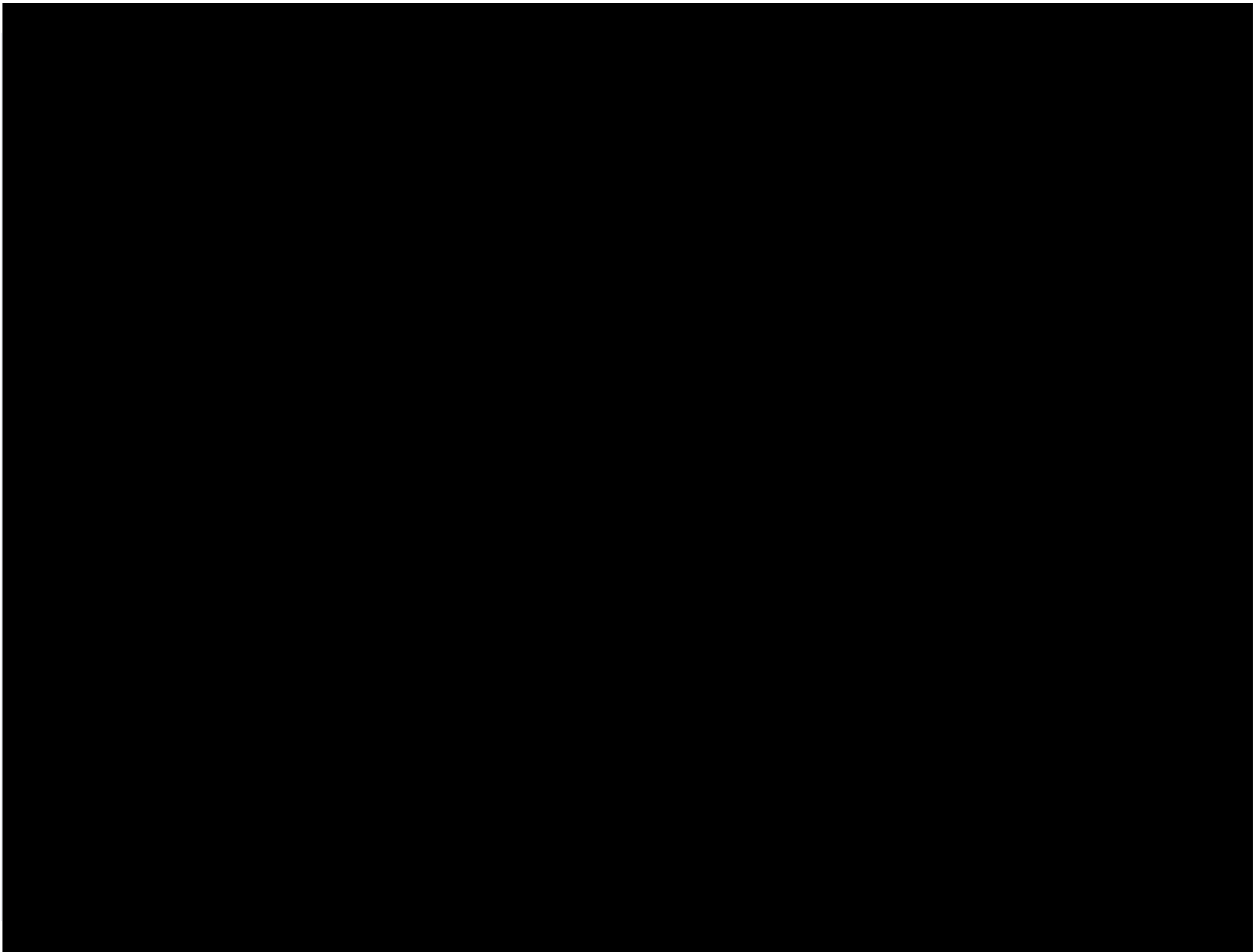
PPL will develop a robust communication for end users in conjunction with MyAccount training. **In October**, we will be finalizing Arkansas branded Time4Care Training Materials and finalize the schedule with DHS while initiating our Time4Care training communication plan to employers, employees, and all key stakeholders late in the month. **In November**, we will be mobilizing resources, including staffing, training materials, locations and organizing virtual training. Based on demographic data provided on the employers and employees, we determine where in-person training sessions are viable and desired. Virtual group training sessions can begin in late November to gather feedback and identify any information gaps. **In late November and early December**, PPL will be solely focused on providing every employer and employee EVV training in a way that ensures they are ready for mid-December.

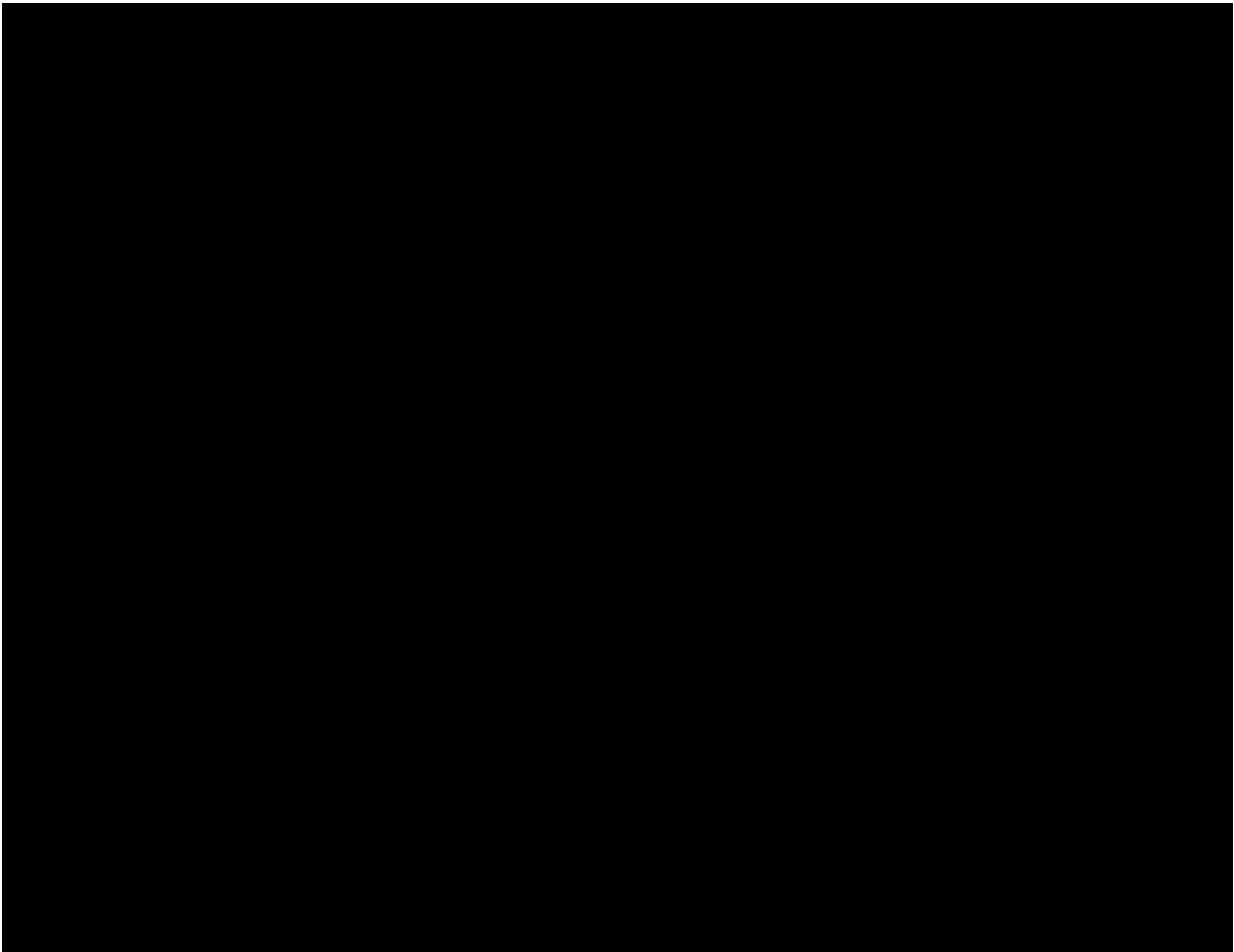
Virtual individual & group: Online *face-to-face meetings*, have become the norm as a result of the pandemic, and we have found them highly effective as an EVV training method. They facilitate one-on-one support efficiently and with flexibility. Additionally, we find screensharing to be effective in walking through clocking in/out. PPL can also provide webinar style training where the content is more formally presented, and time is allocated for questions.

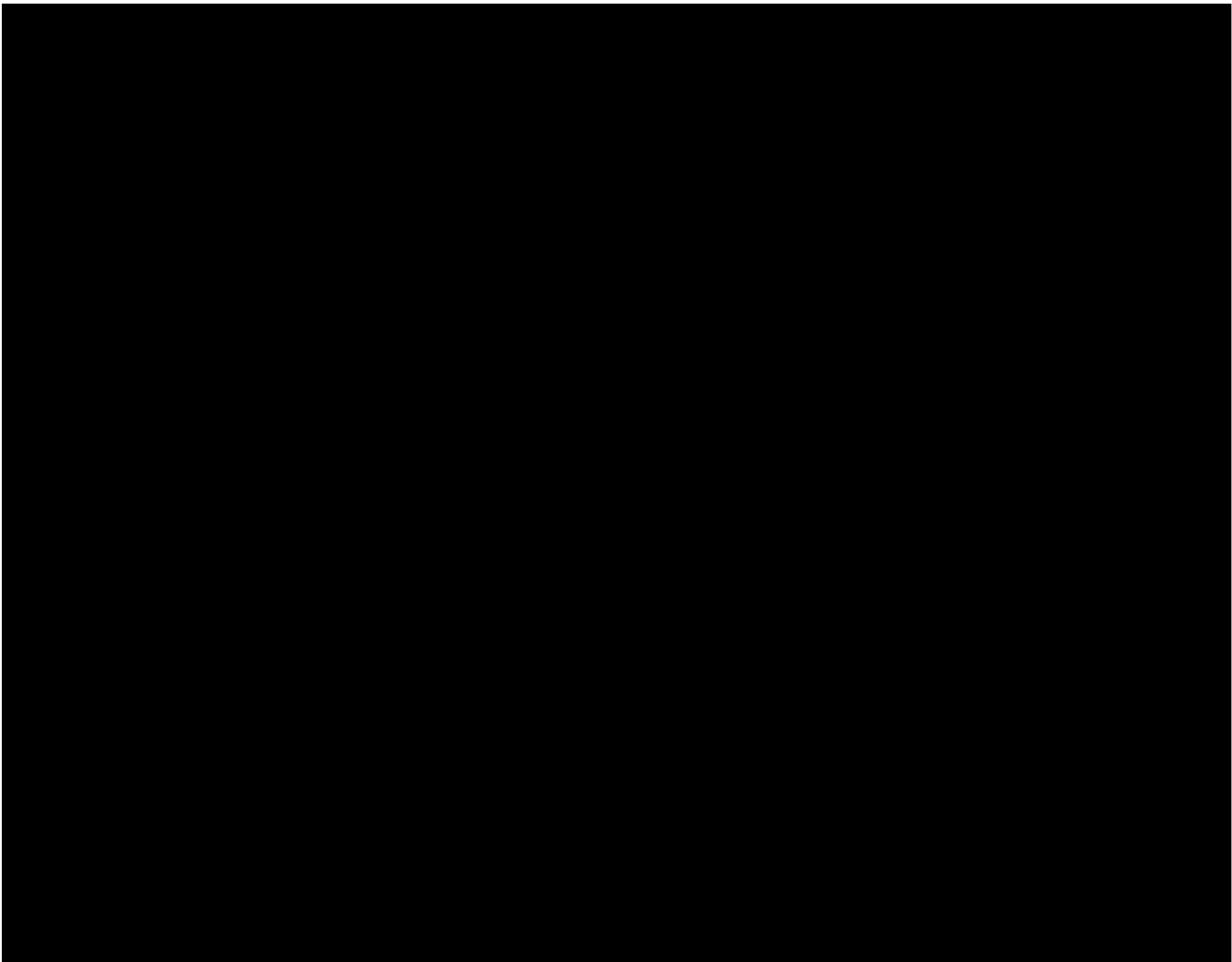
In-person individual/group: We will provide one-on-one trainings as needed onsite at one of our Arkansas locations or coordinate with DHS and an Access/Case Management agency (or other social service provider).

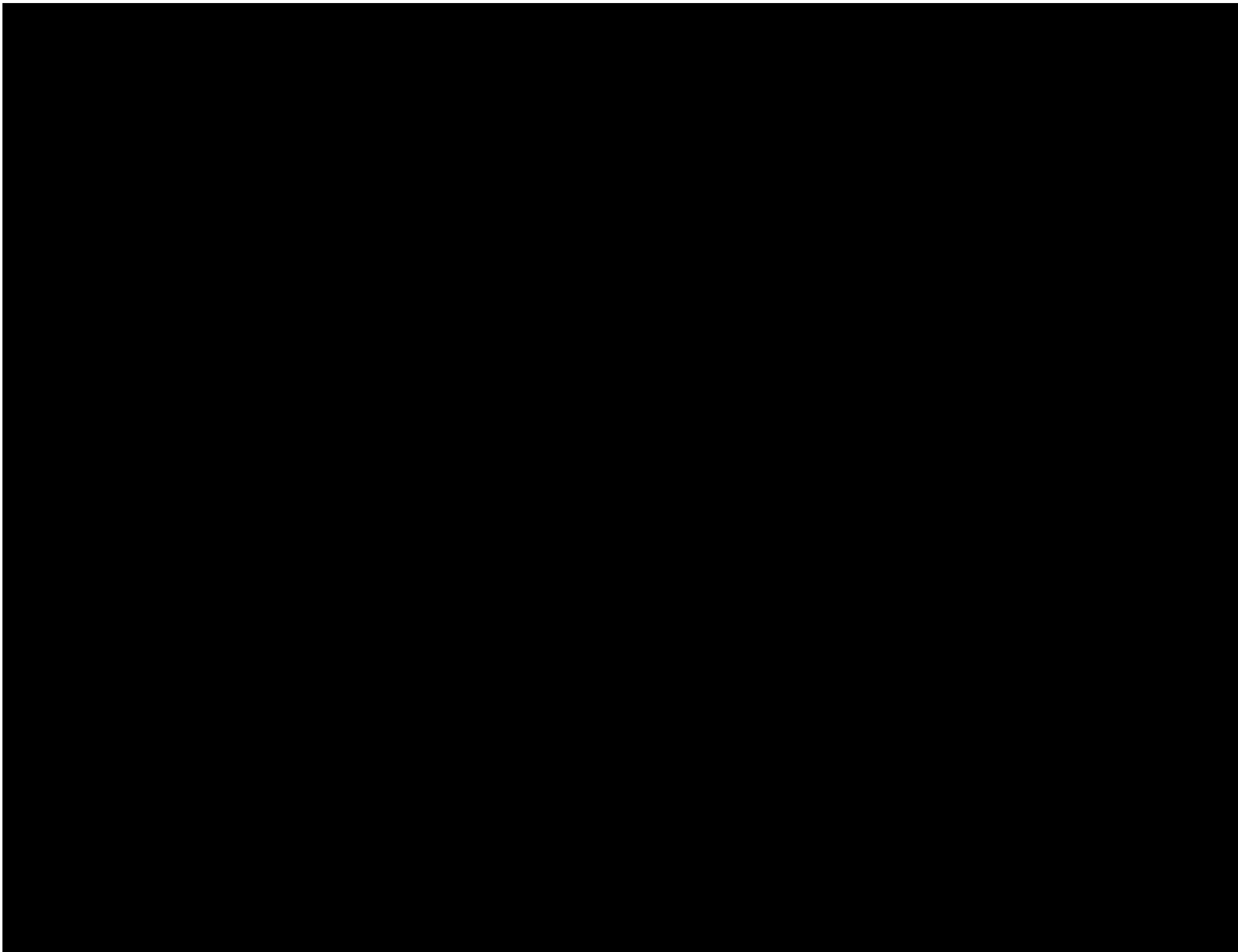
Supporting Documents

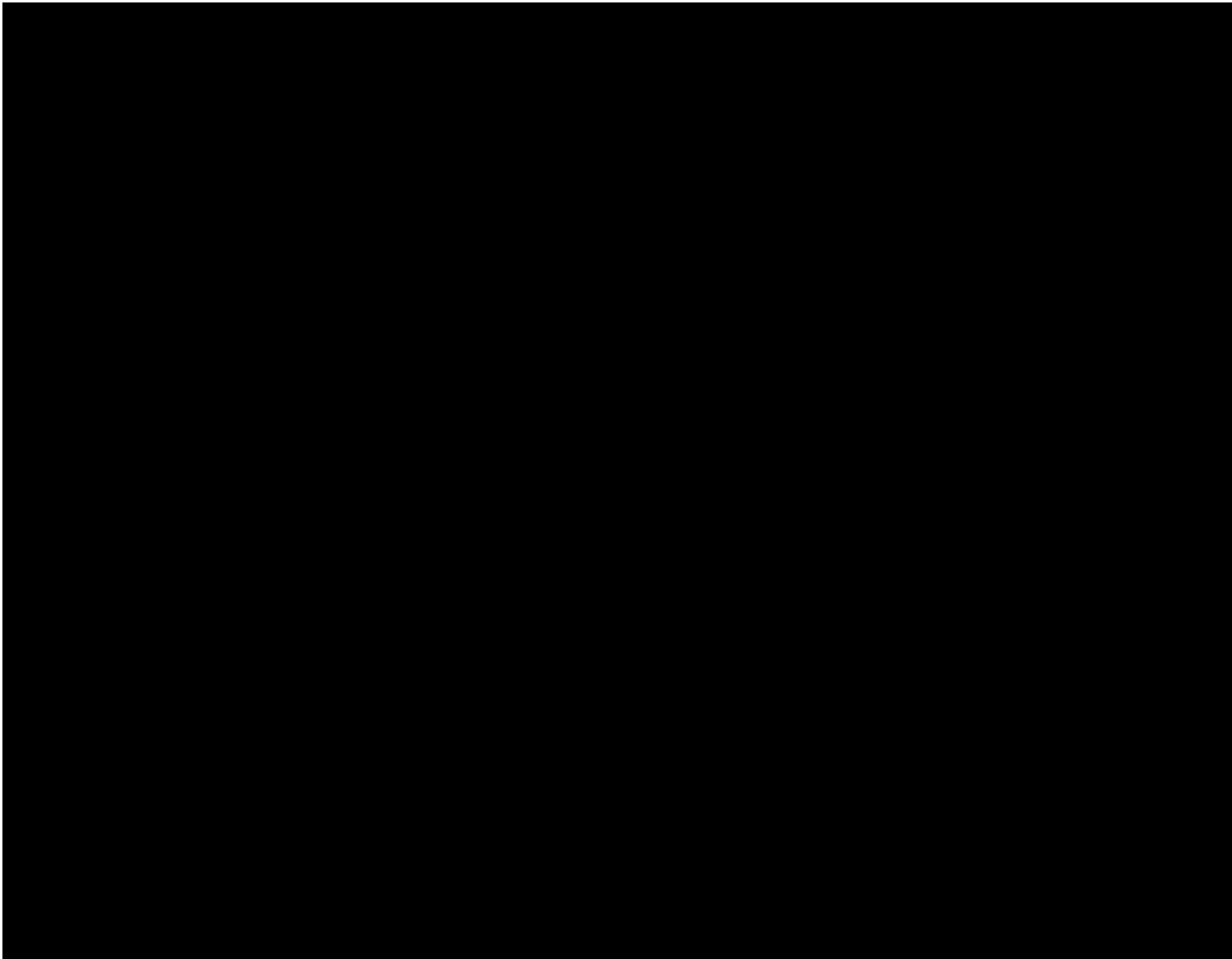
PPL will customize user guides for Arkansas and FAQs for employees, Beneficiaries/Employers, DHS staff and other designated representatives to help train and navigate through MyAccount and Time4Care. Please find a sample of our system training materials as MyAccount Service Facilitator User Guide and MyAccount Participant/Provider FAQ on the following pages.

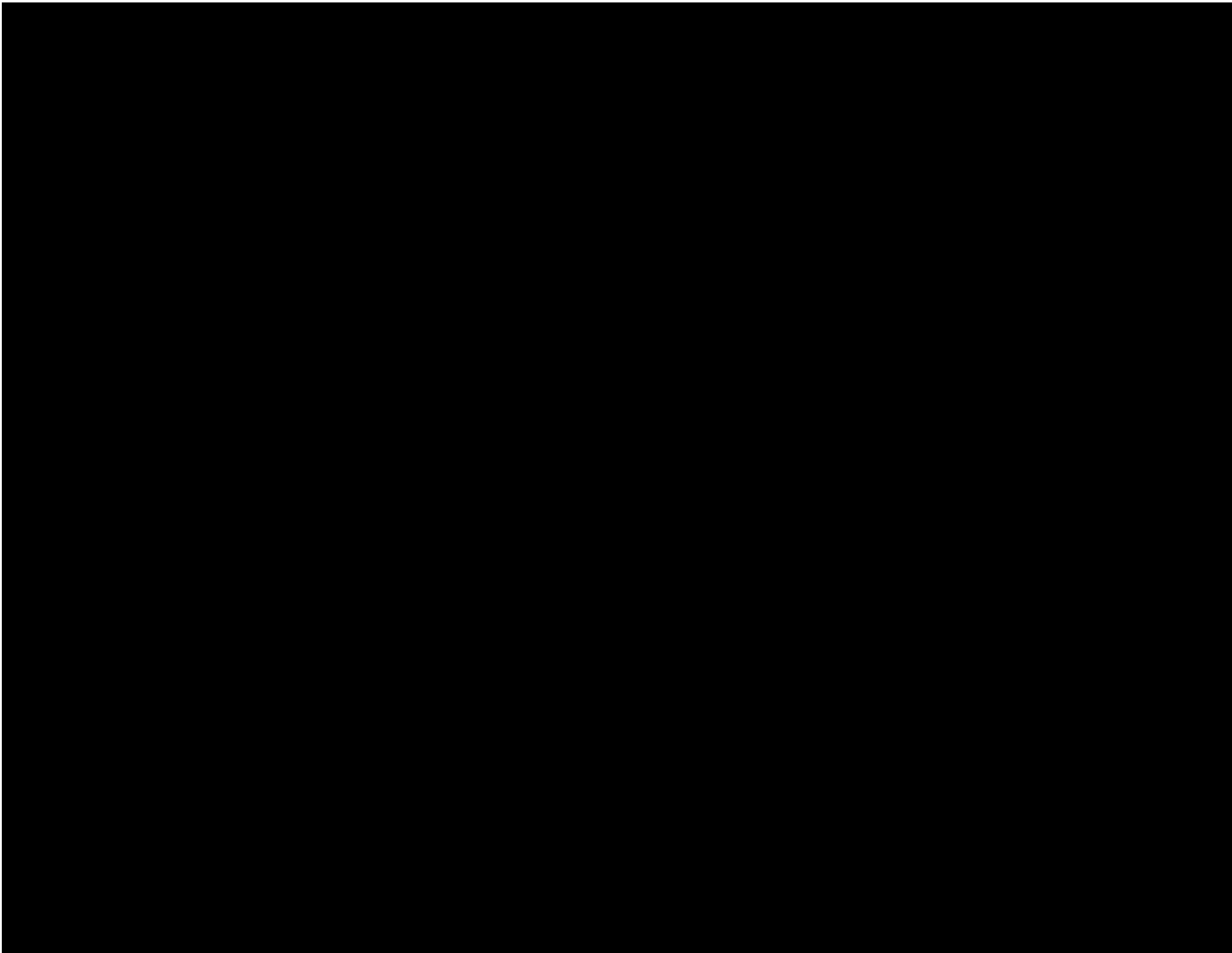


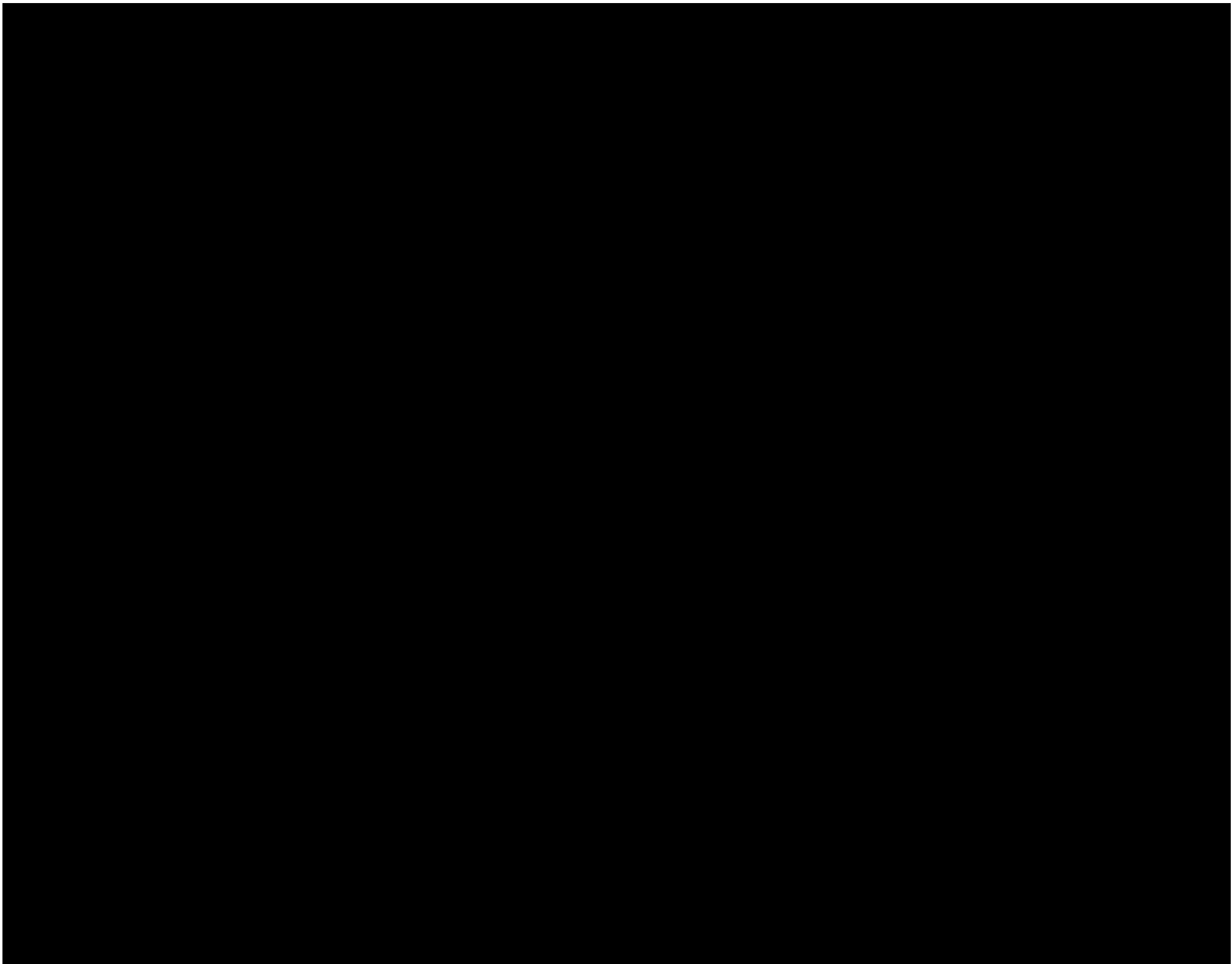


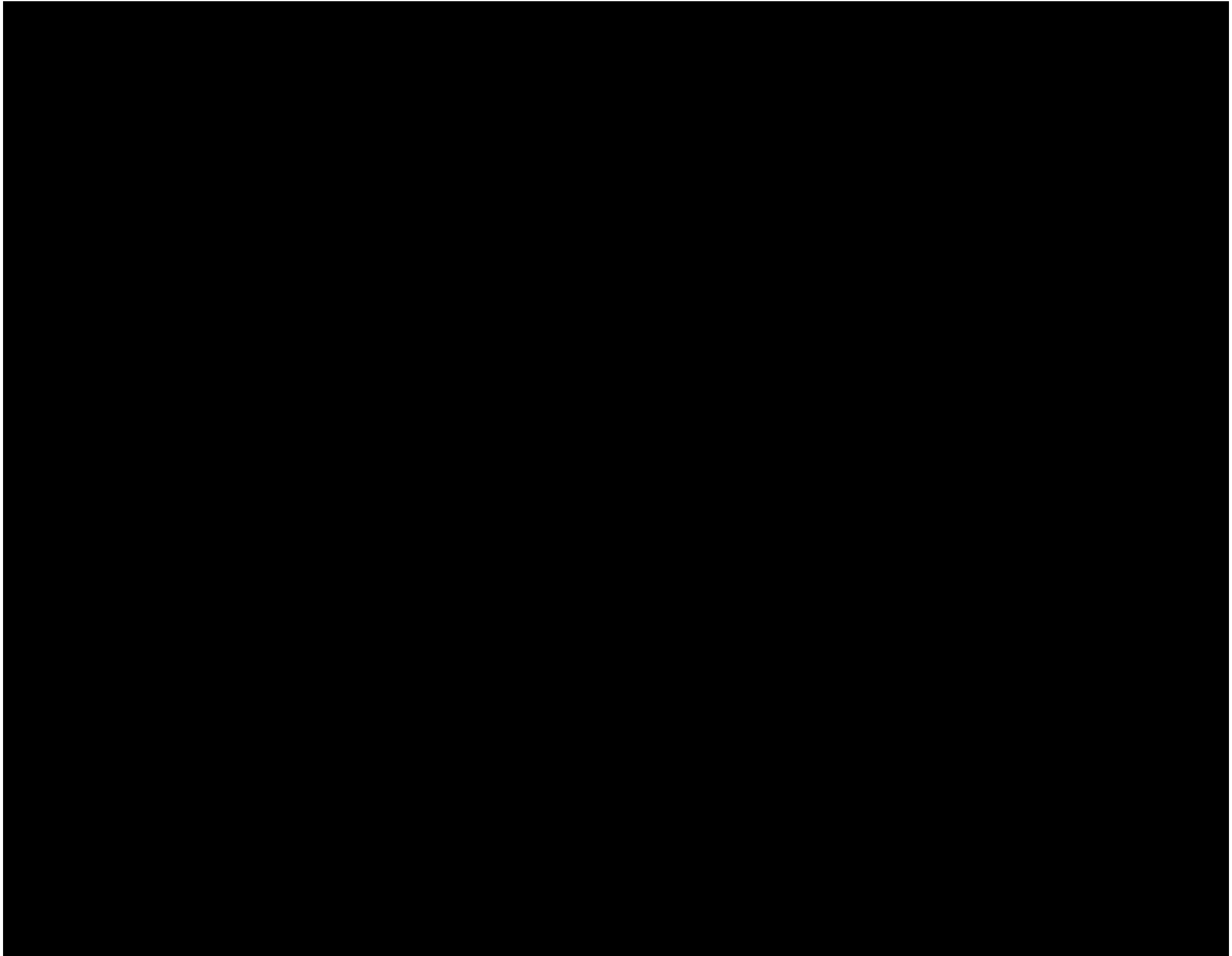


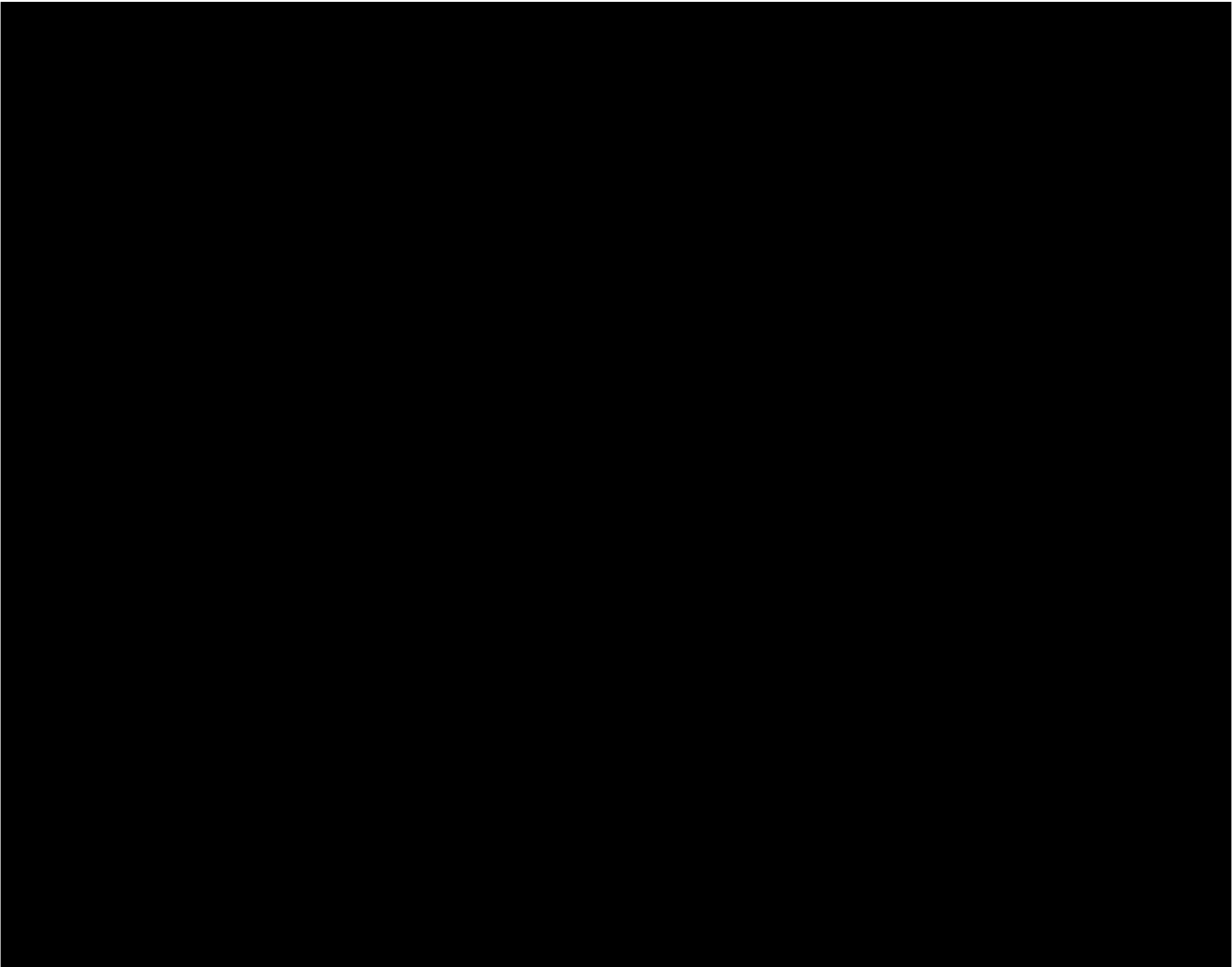


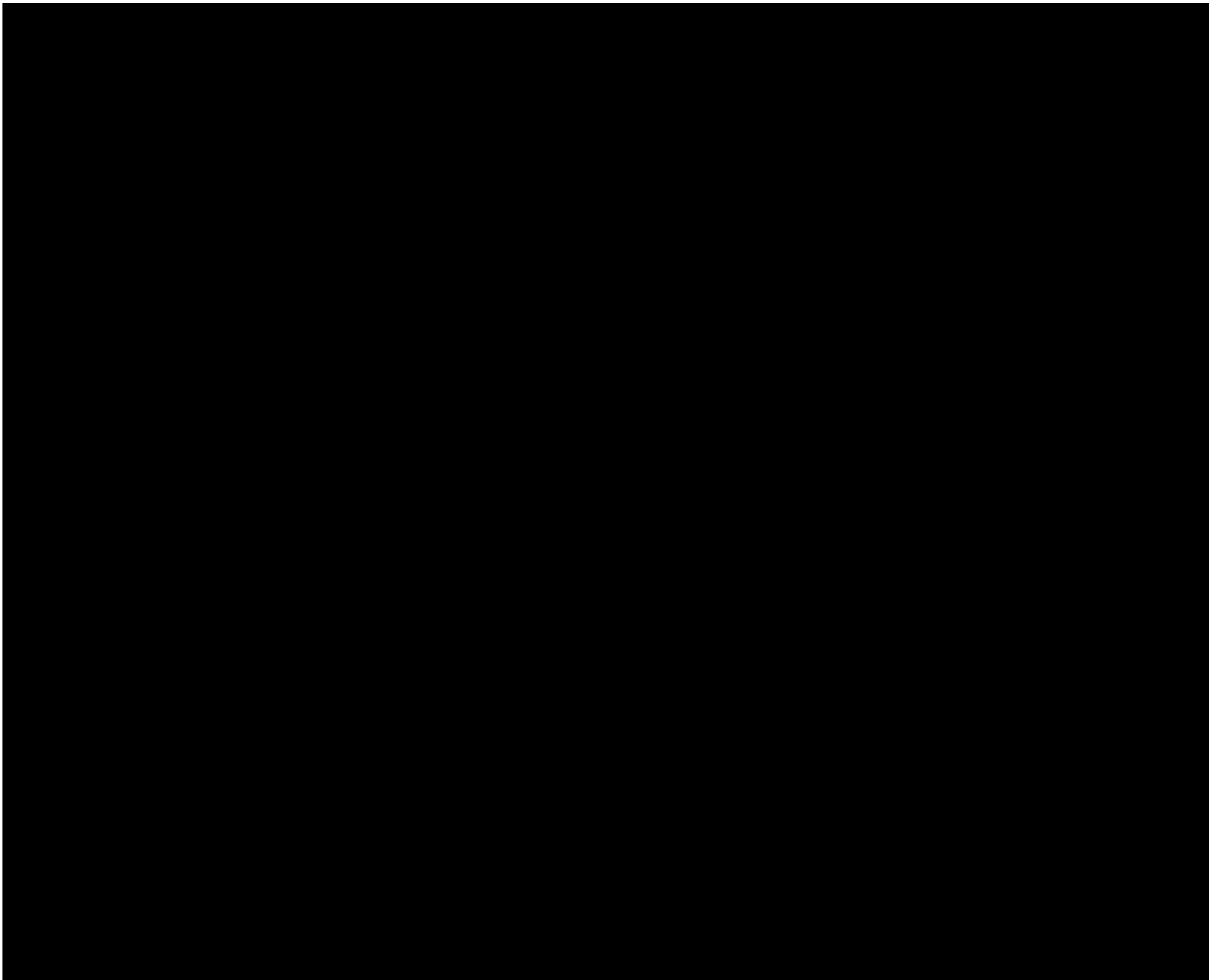


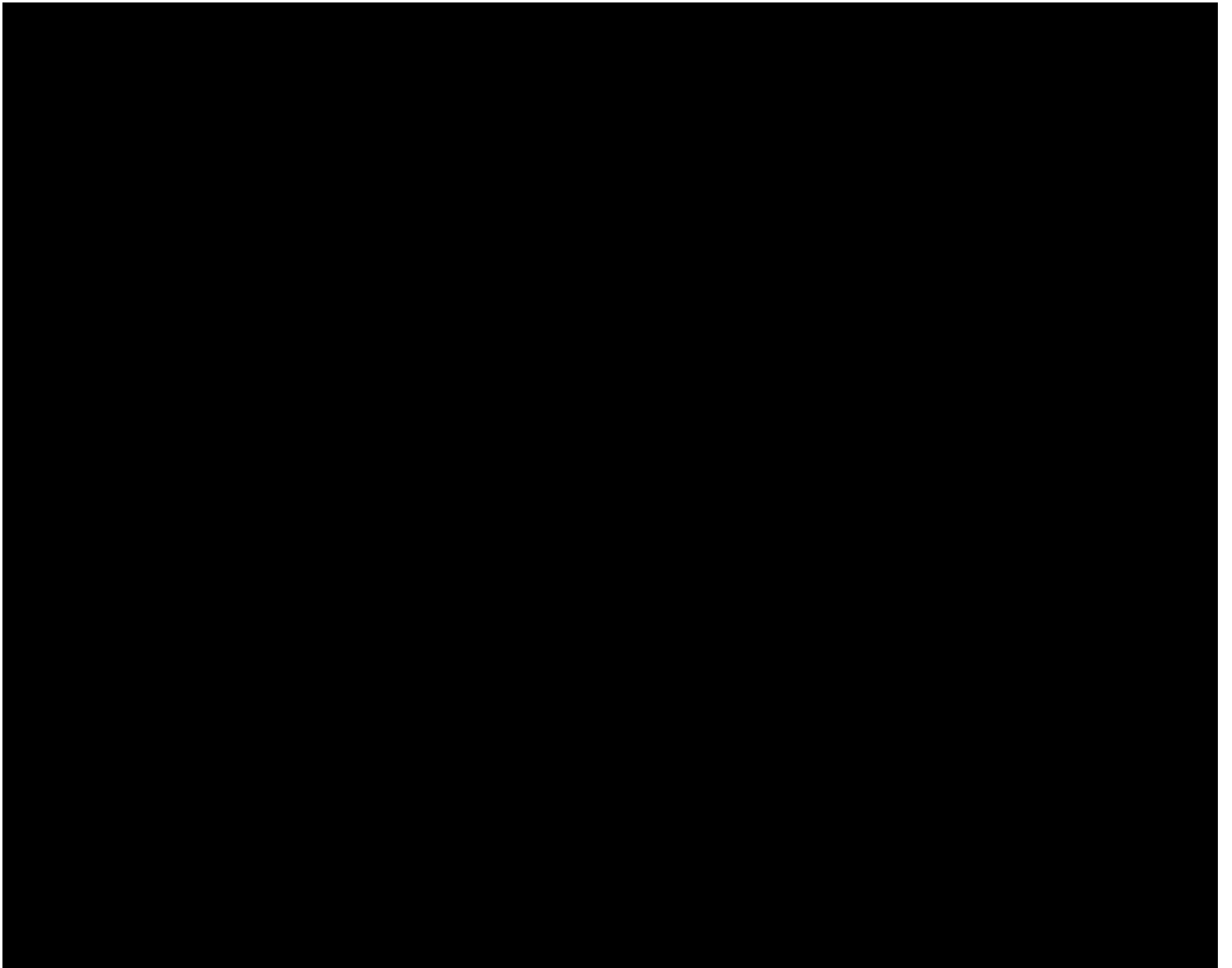


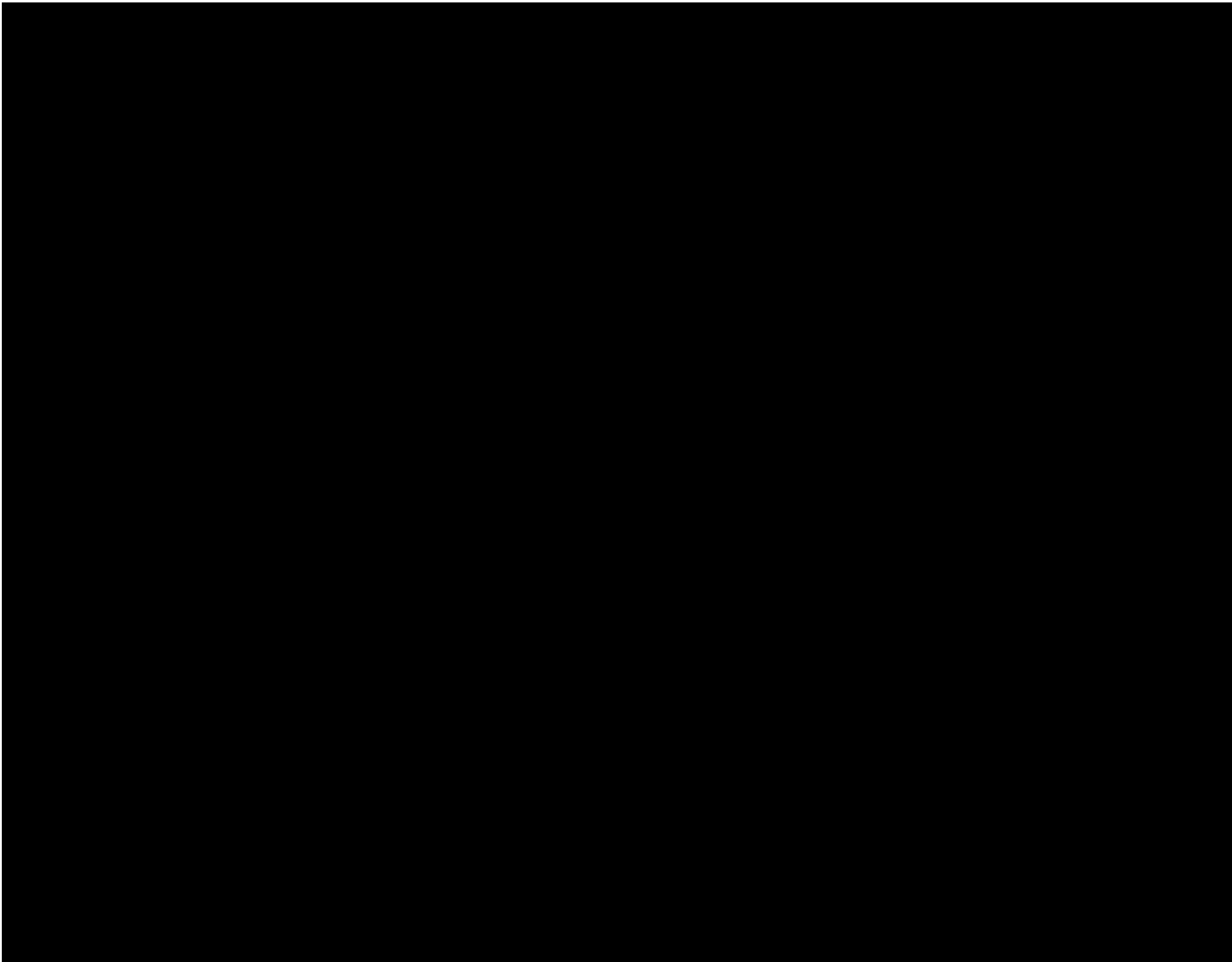


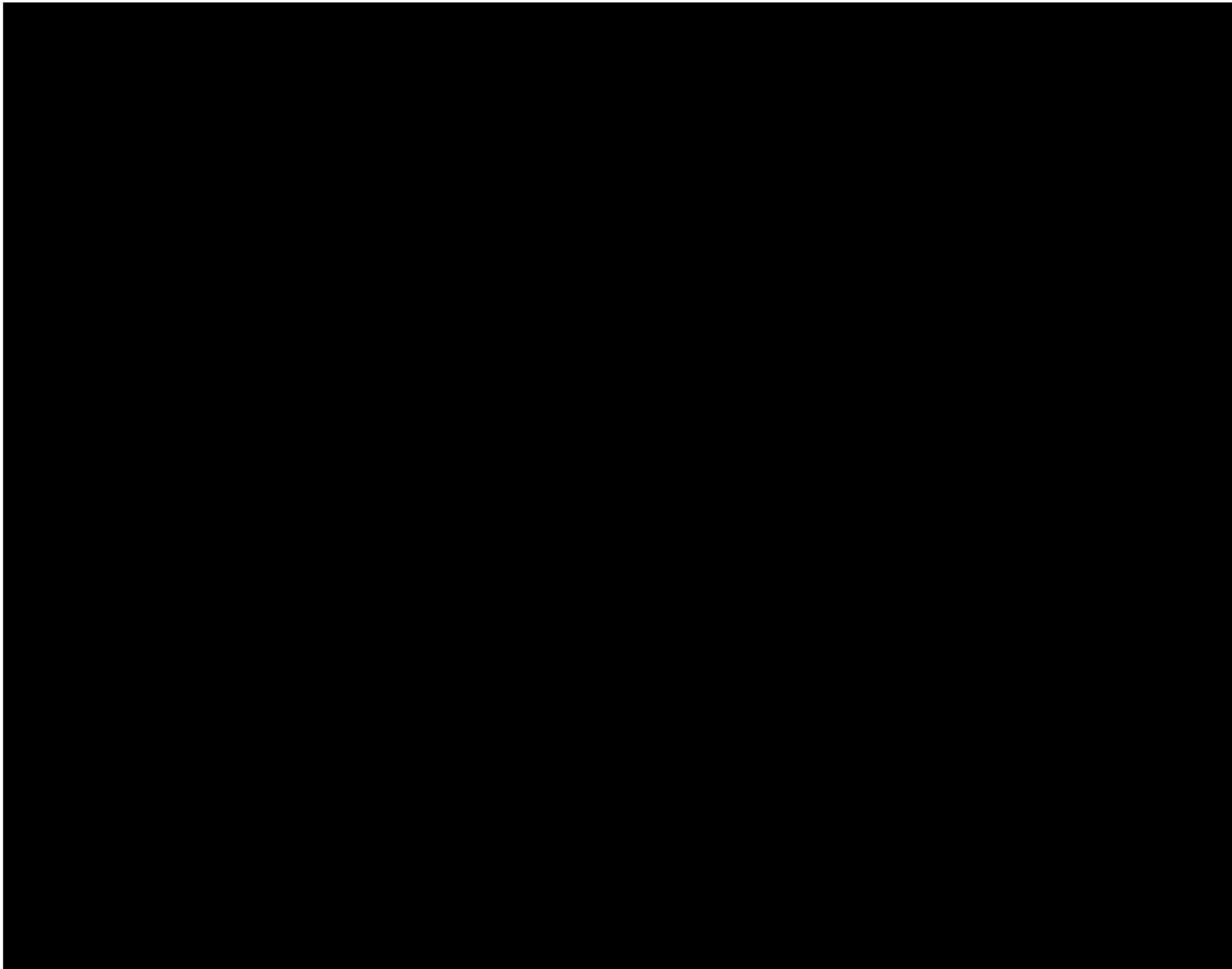


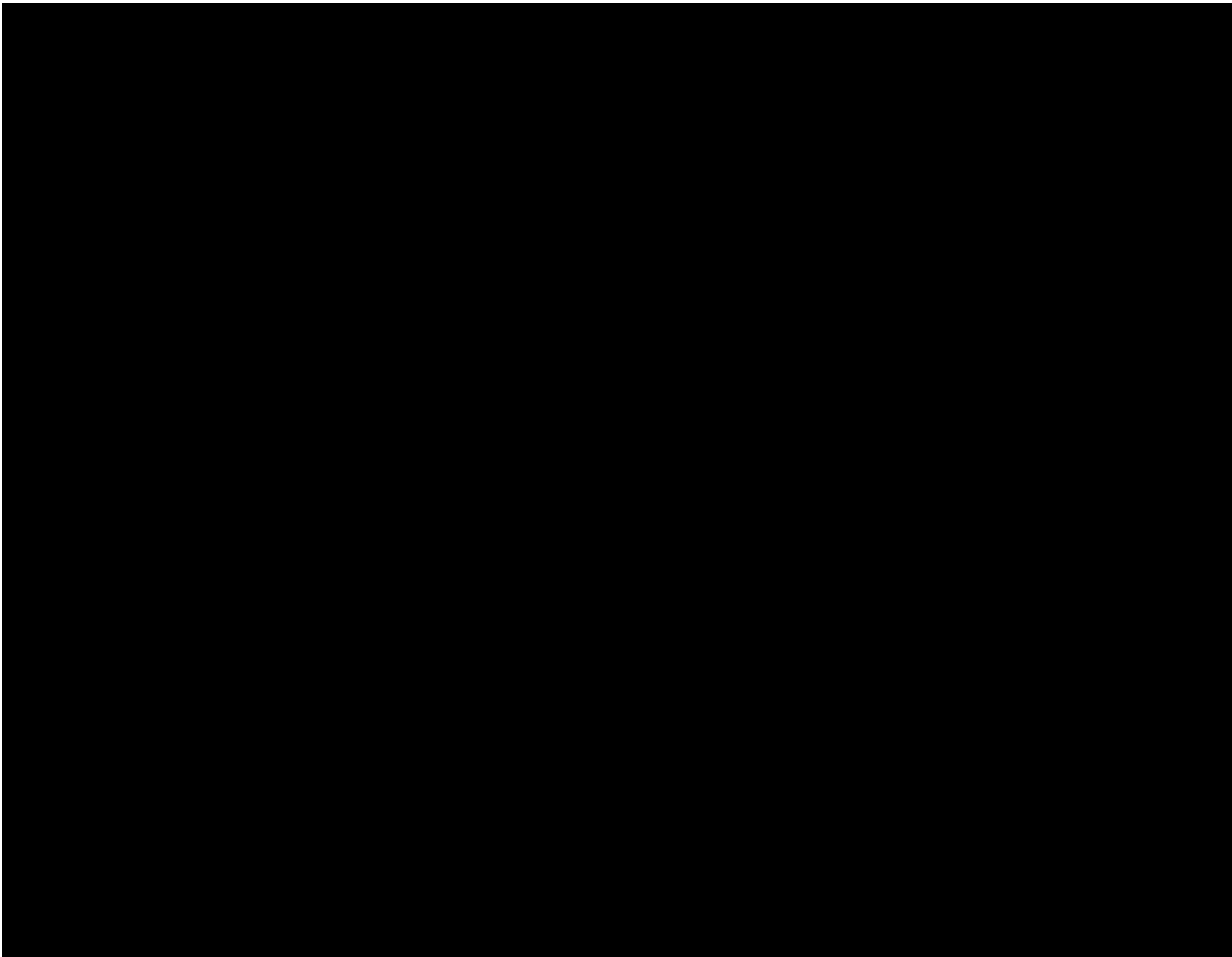


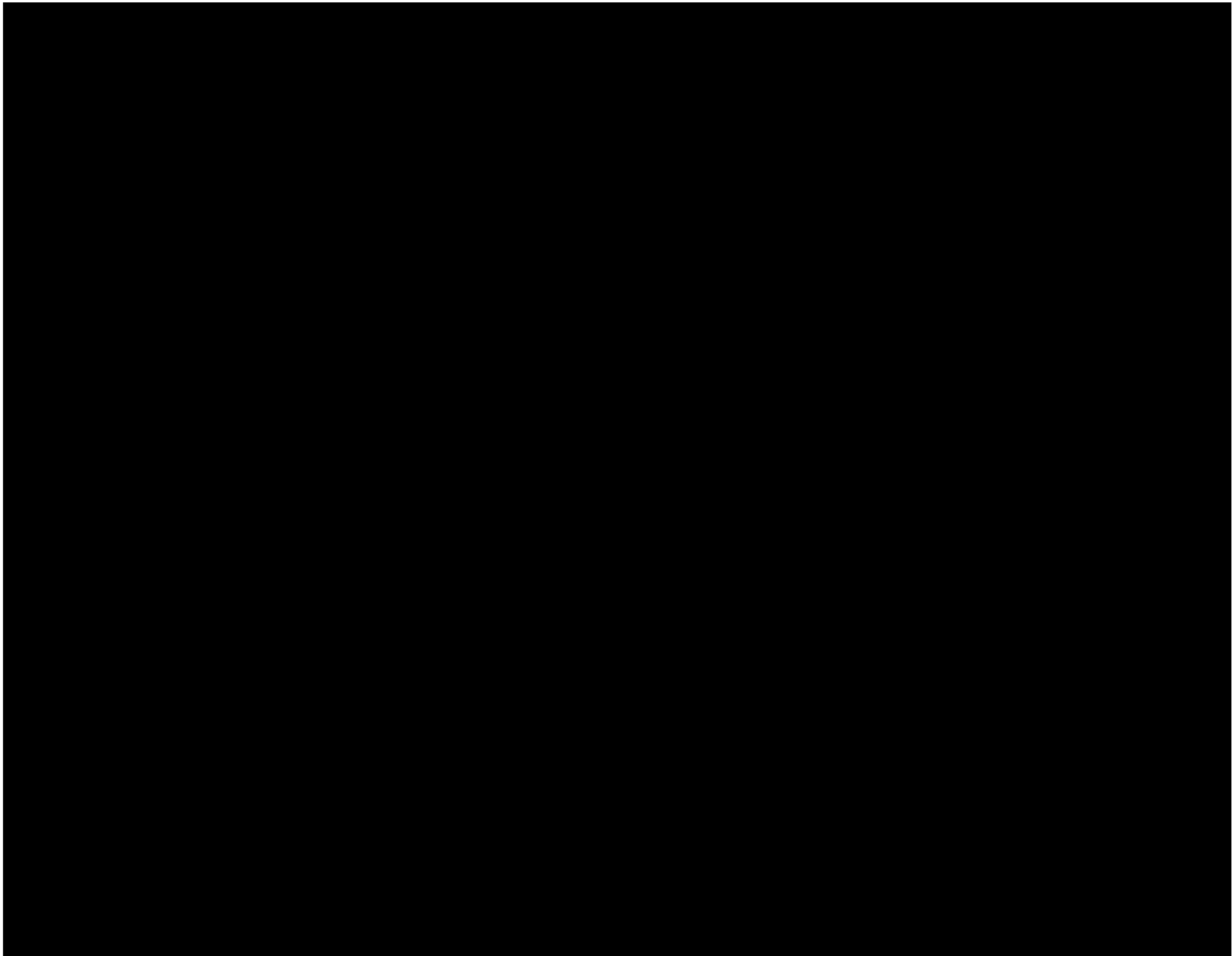


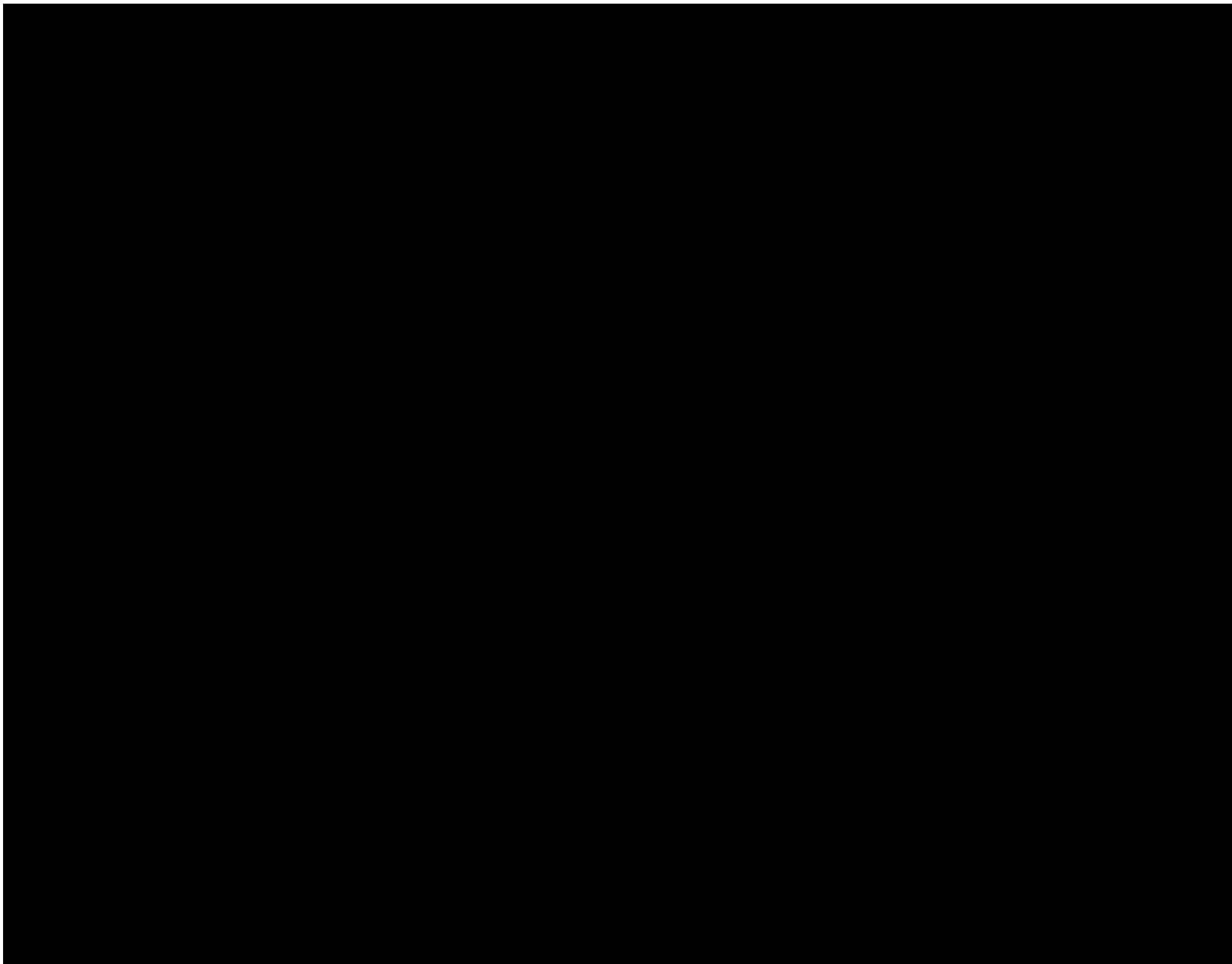


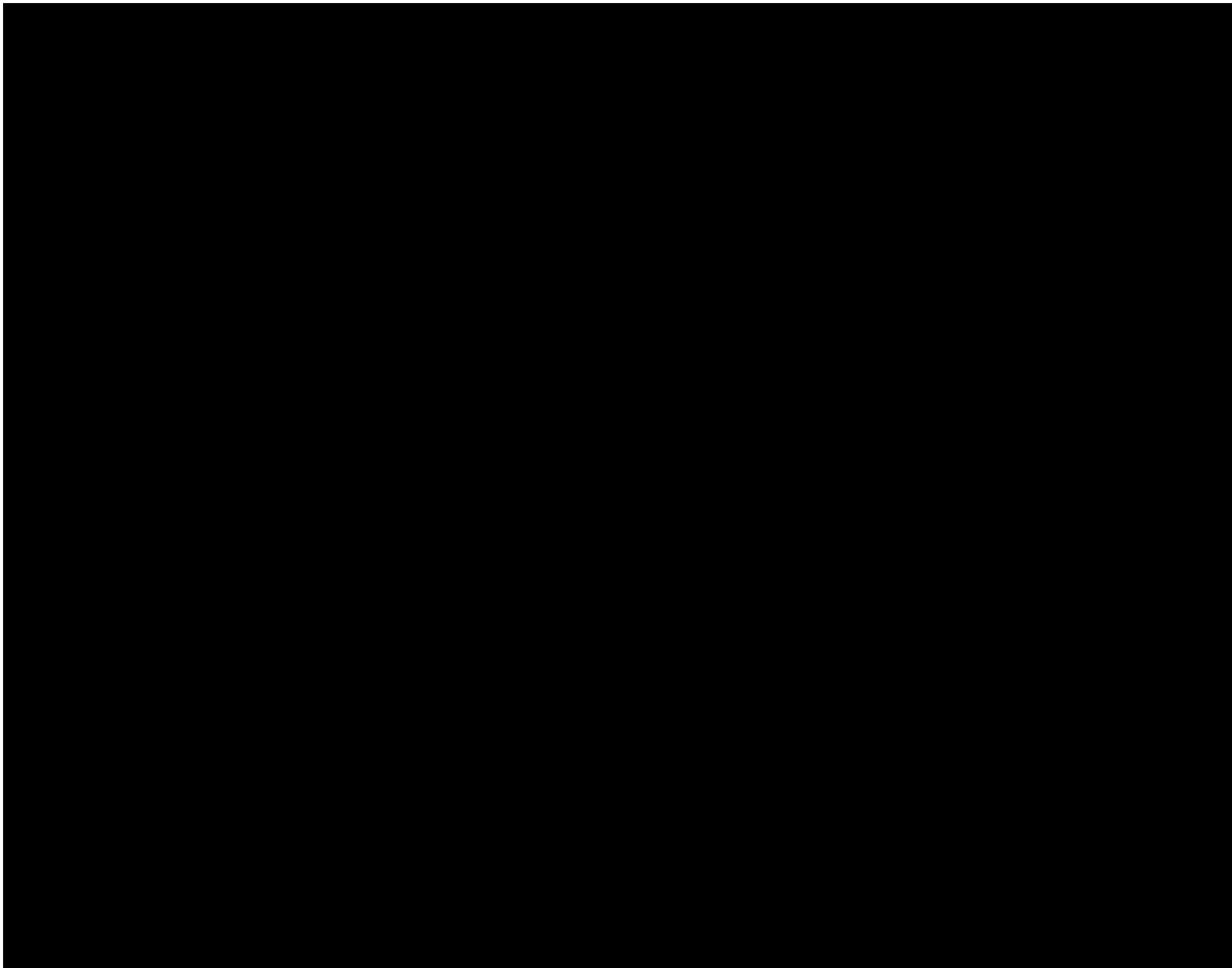


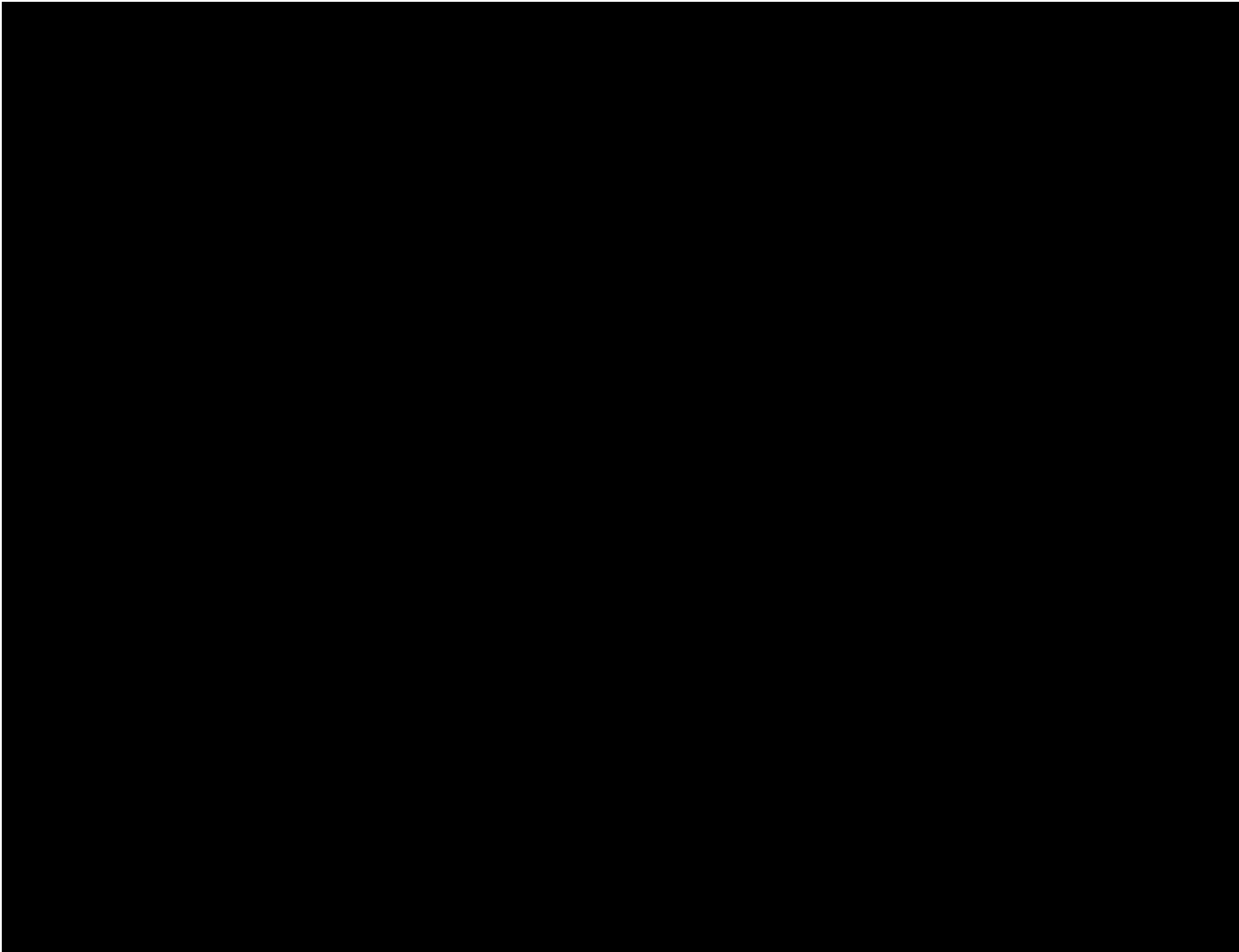


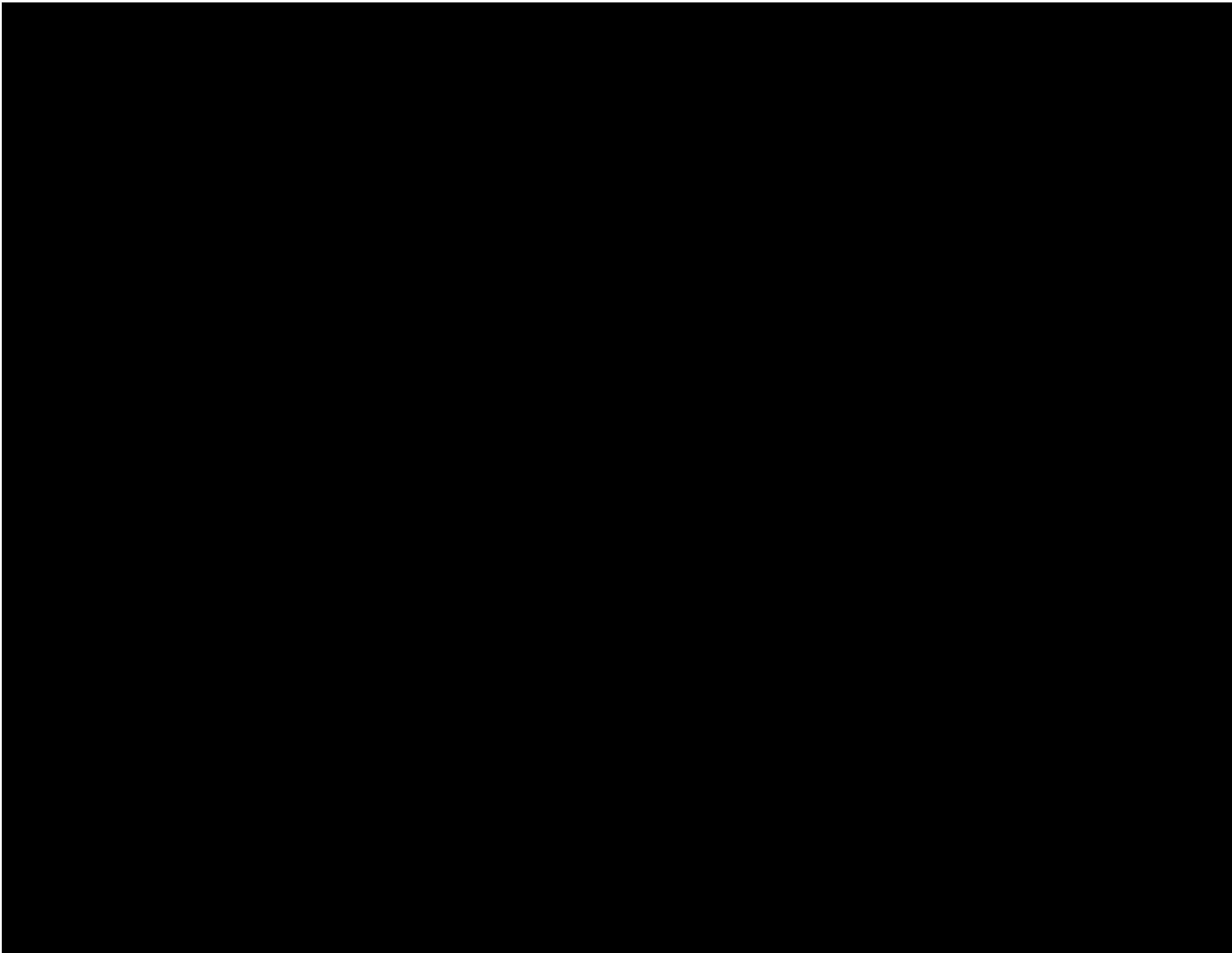


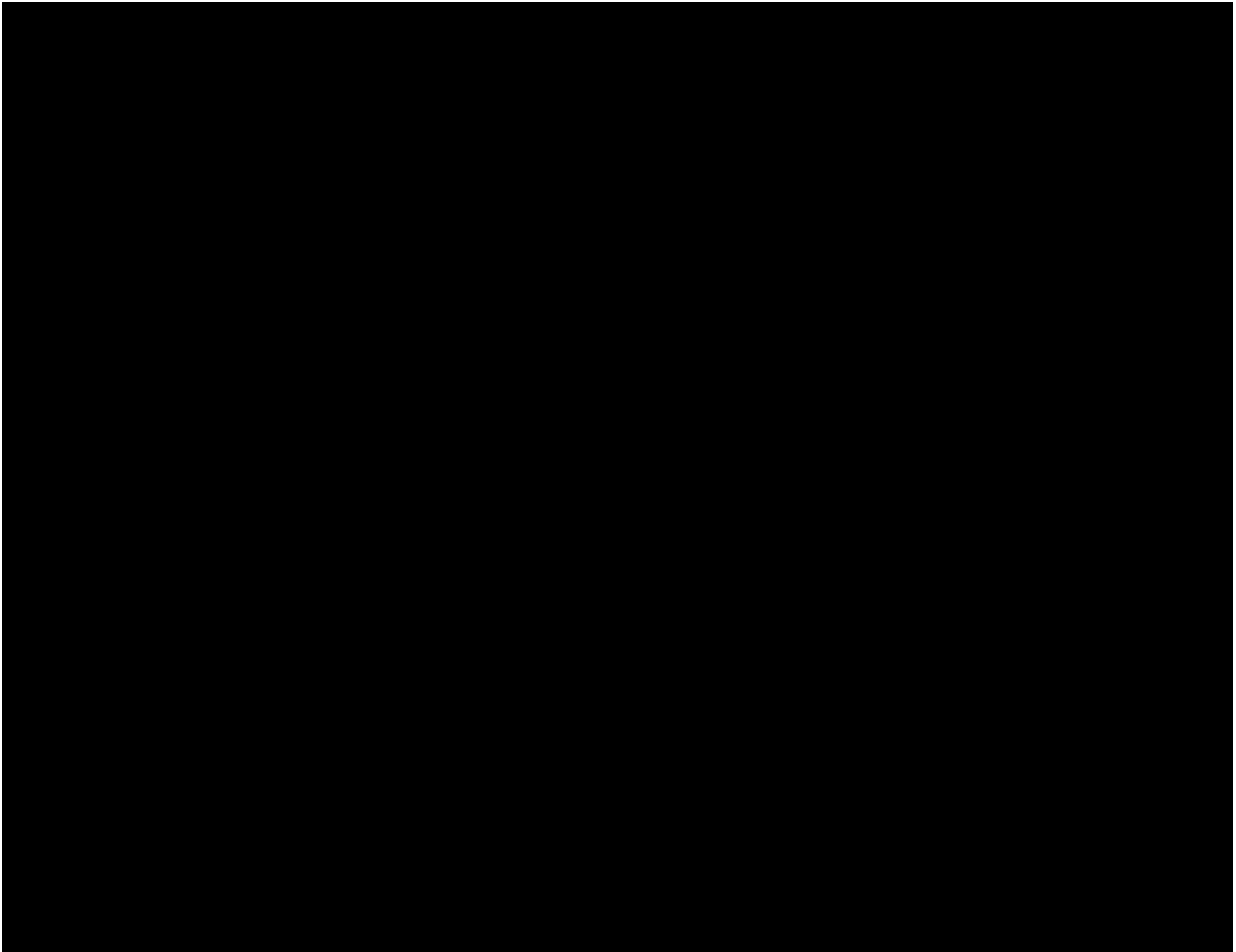


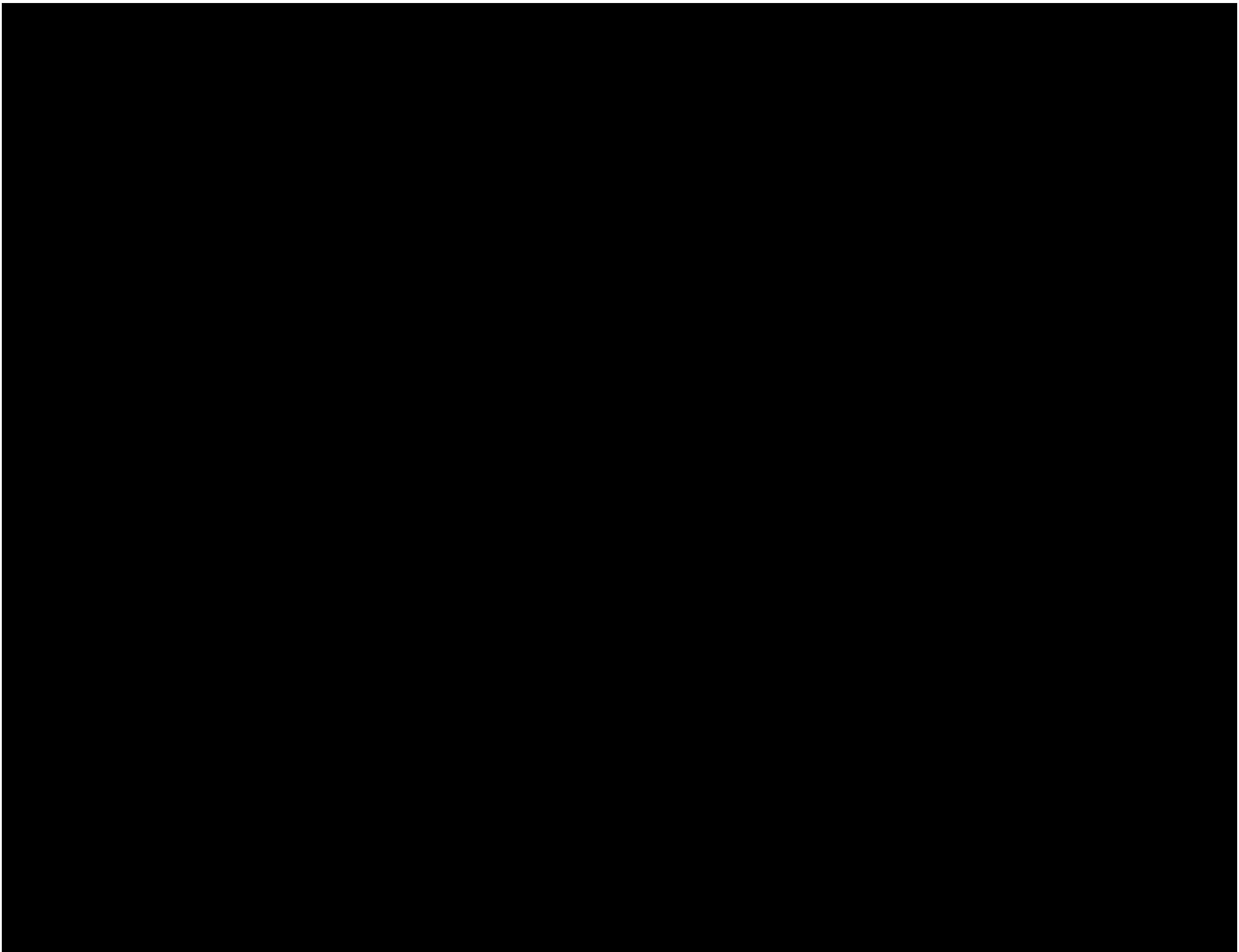


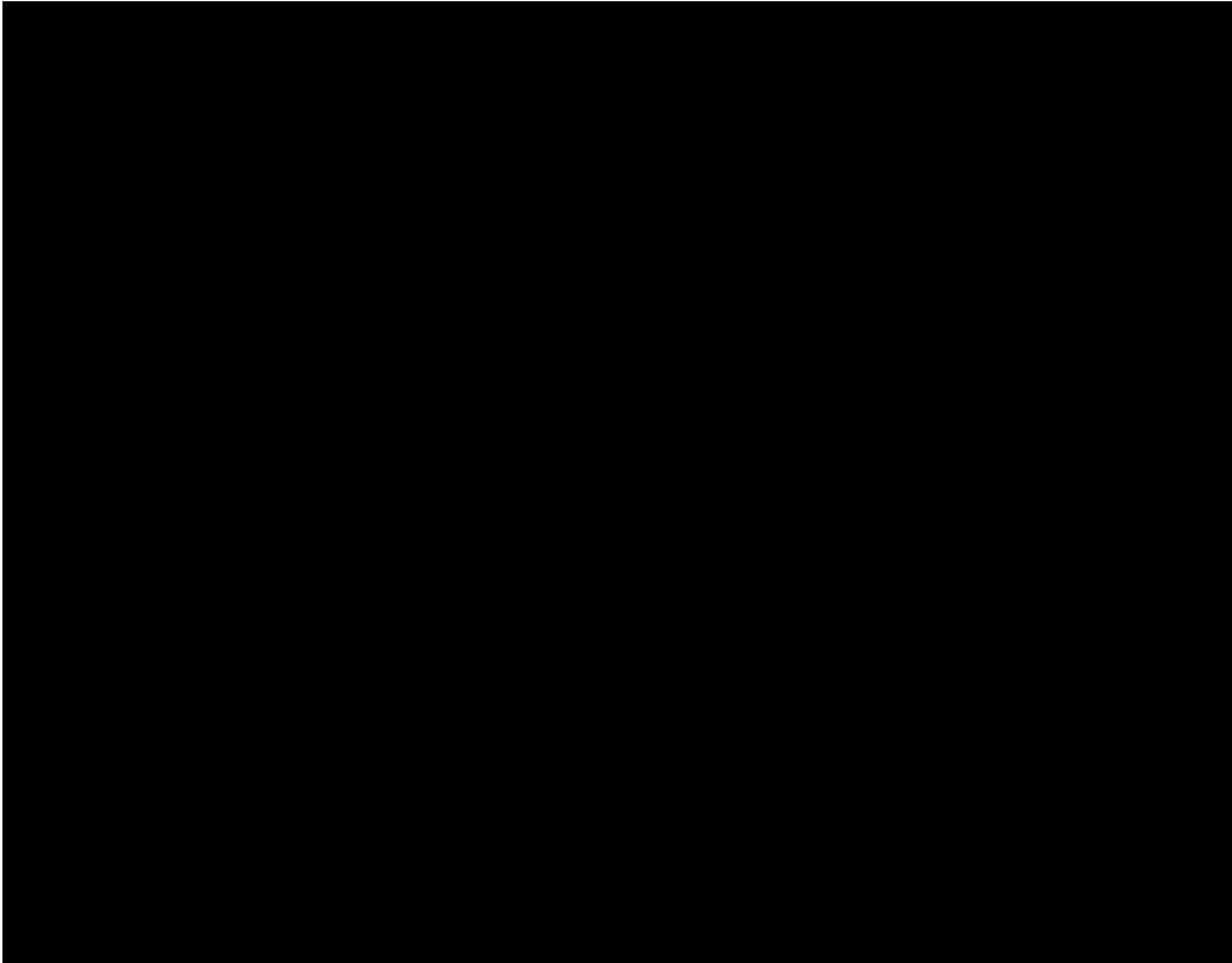


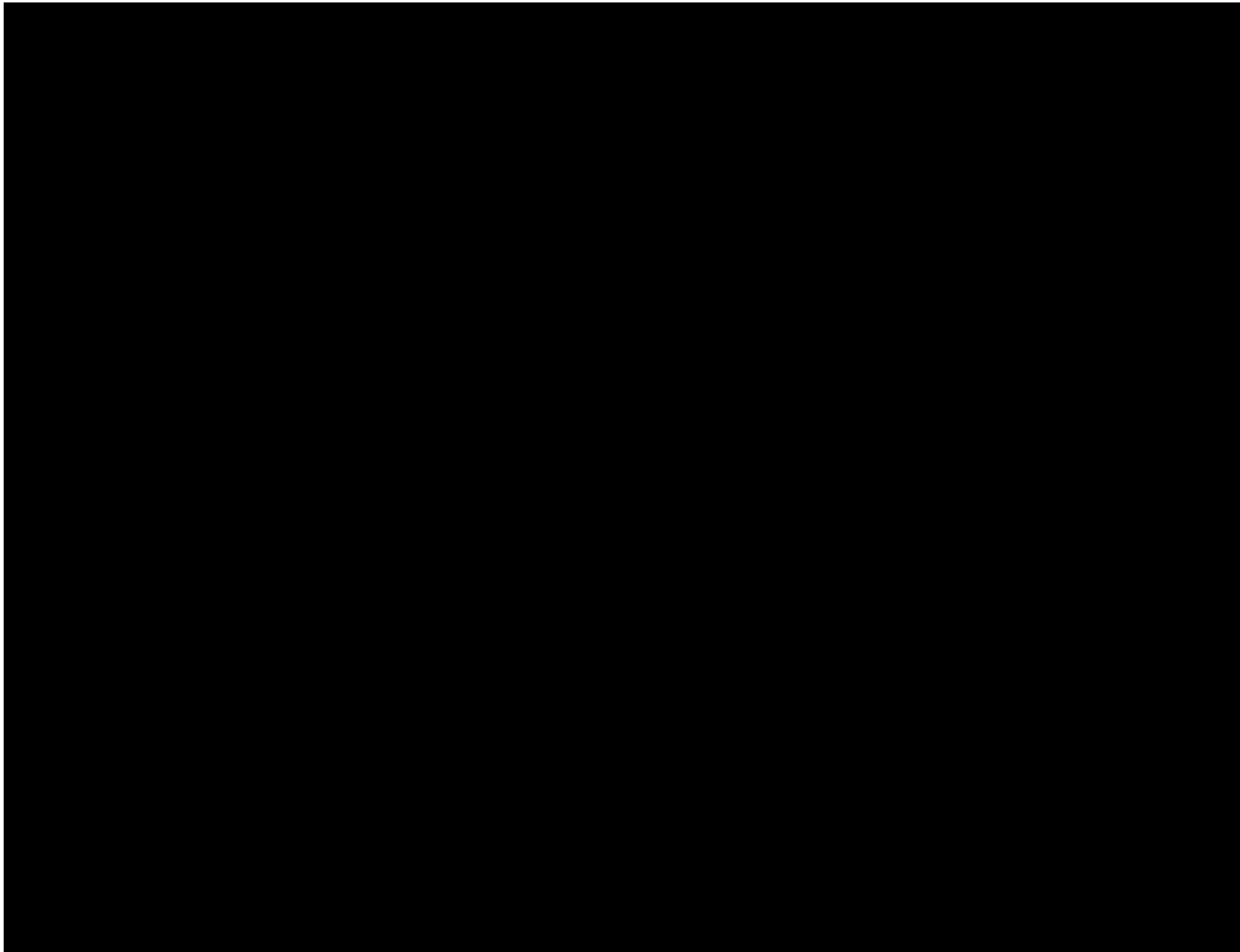


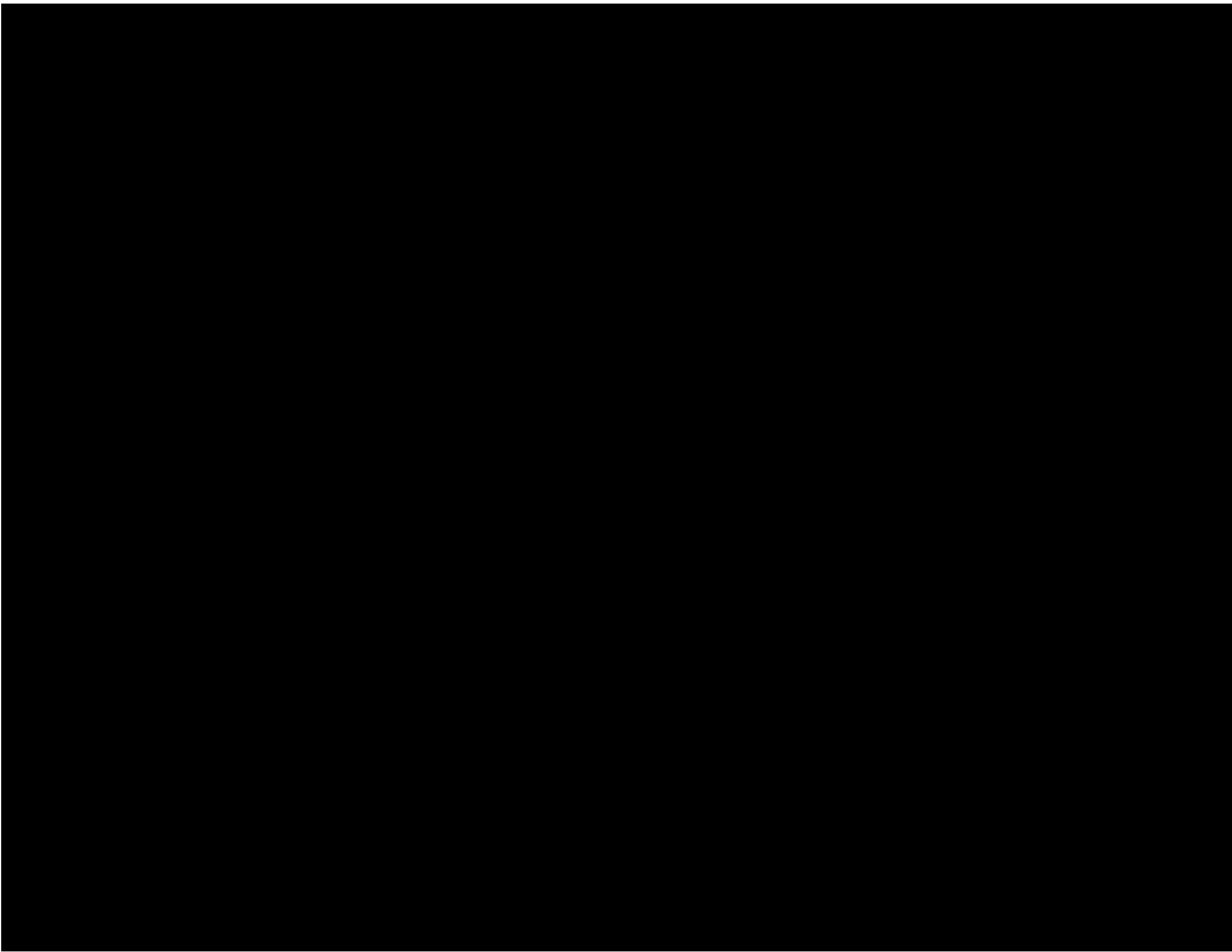


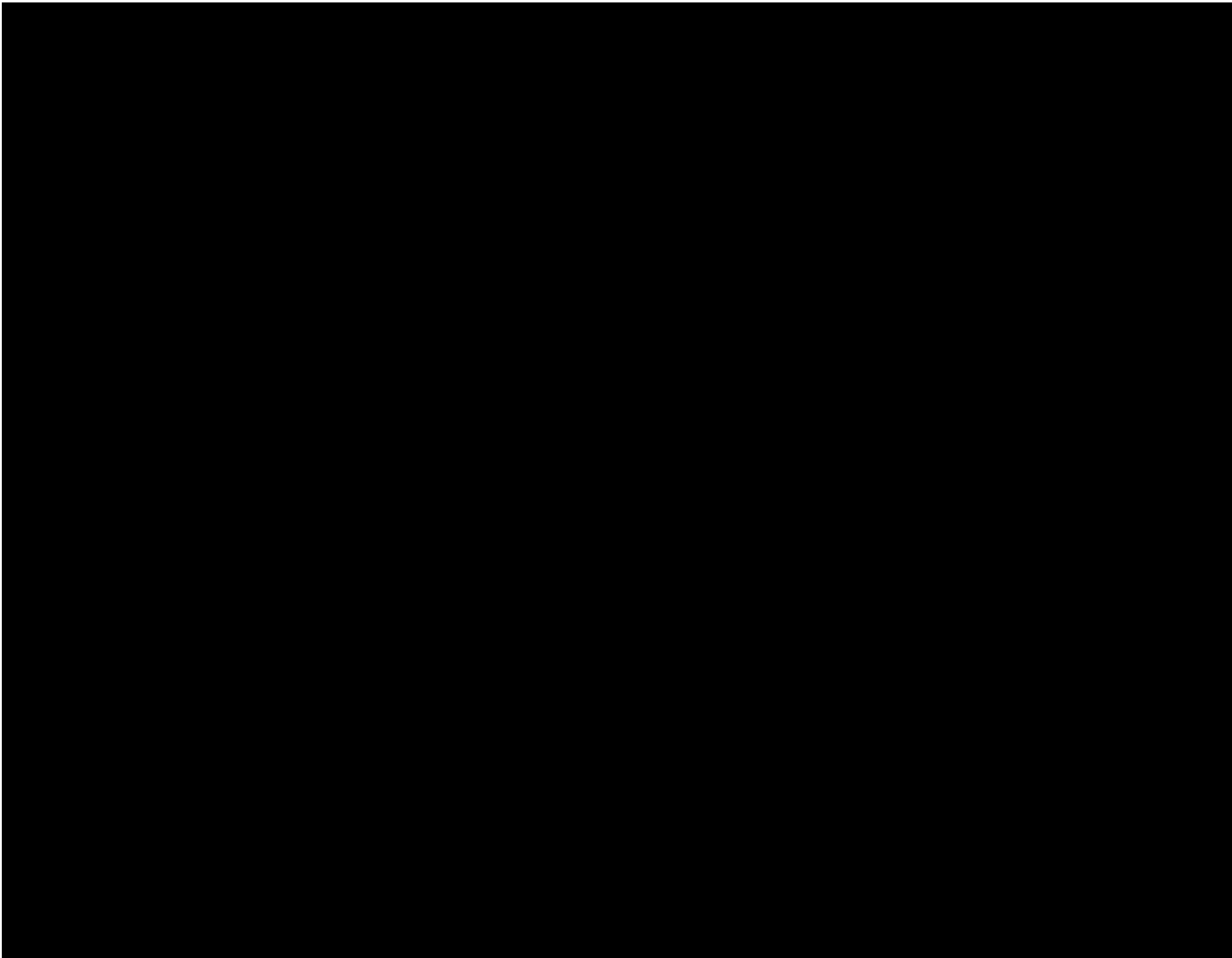


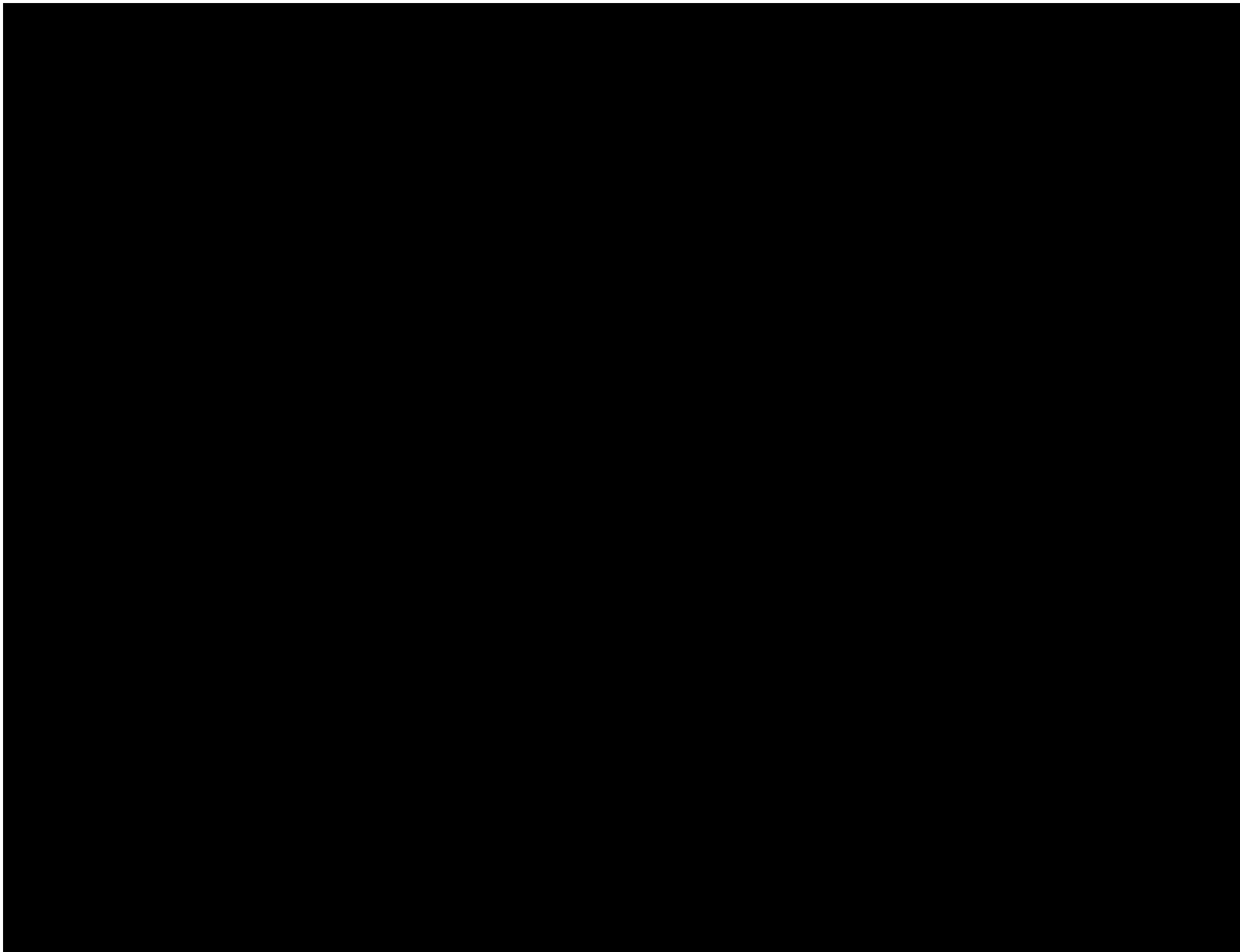


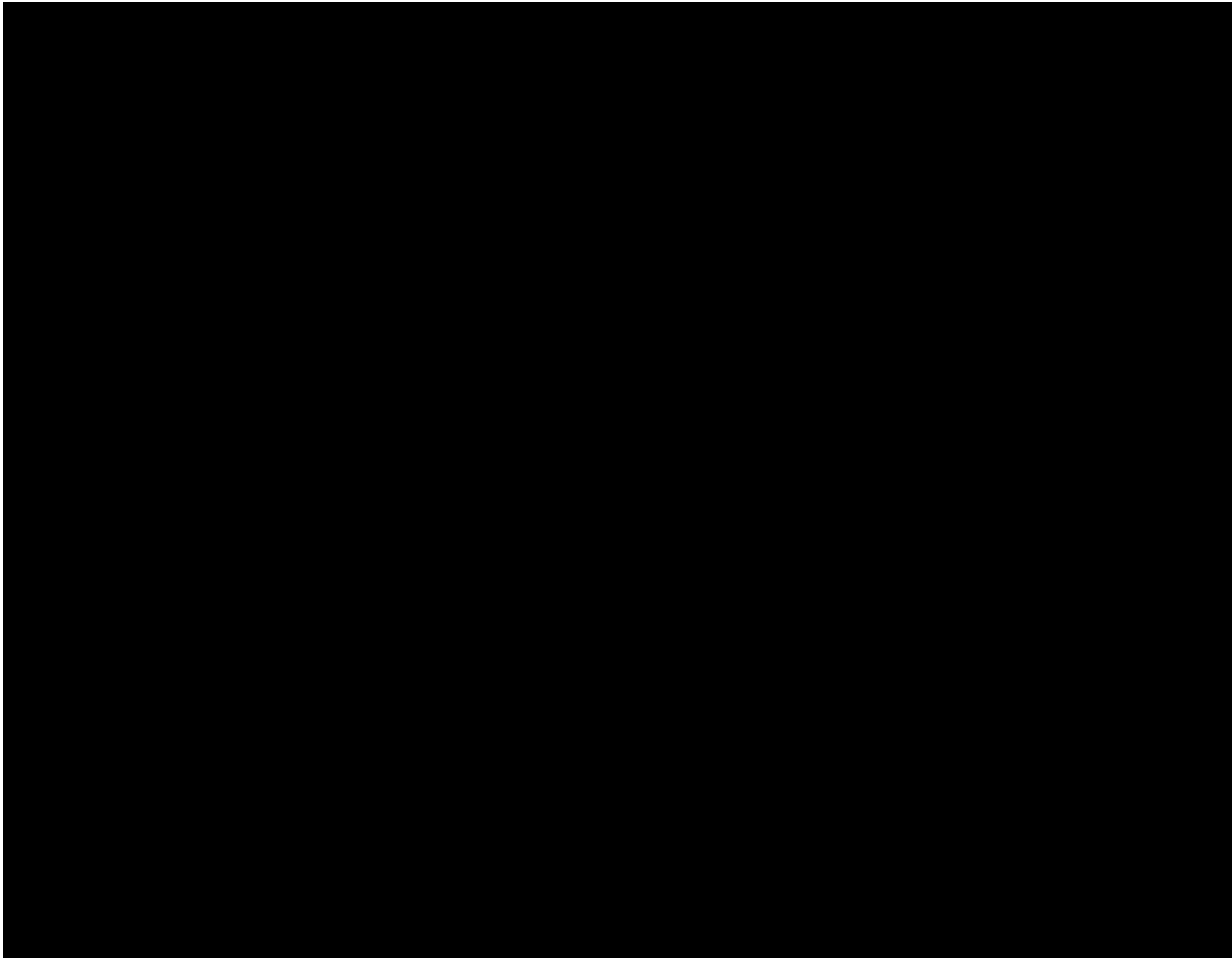


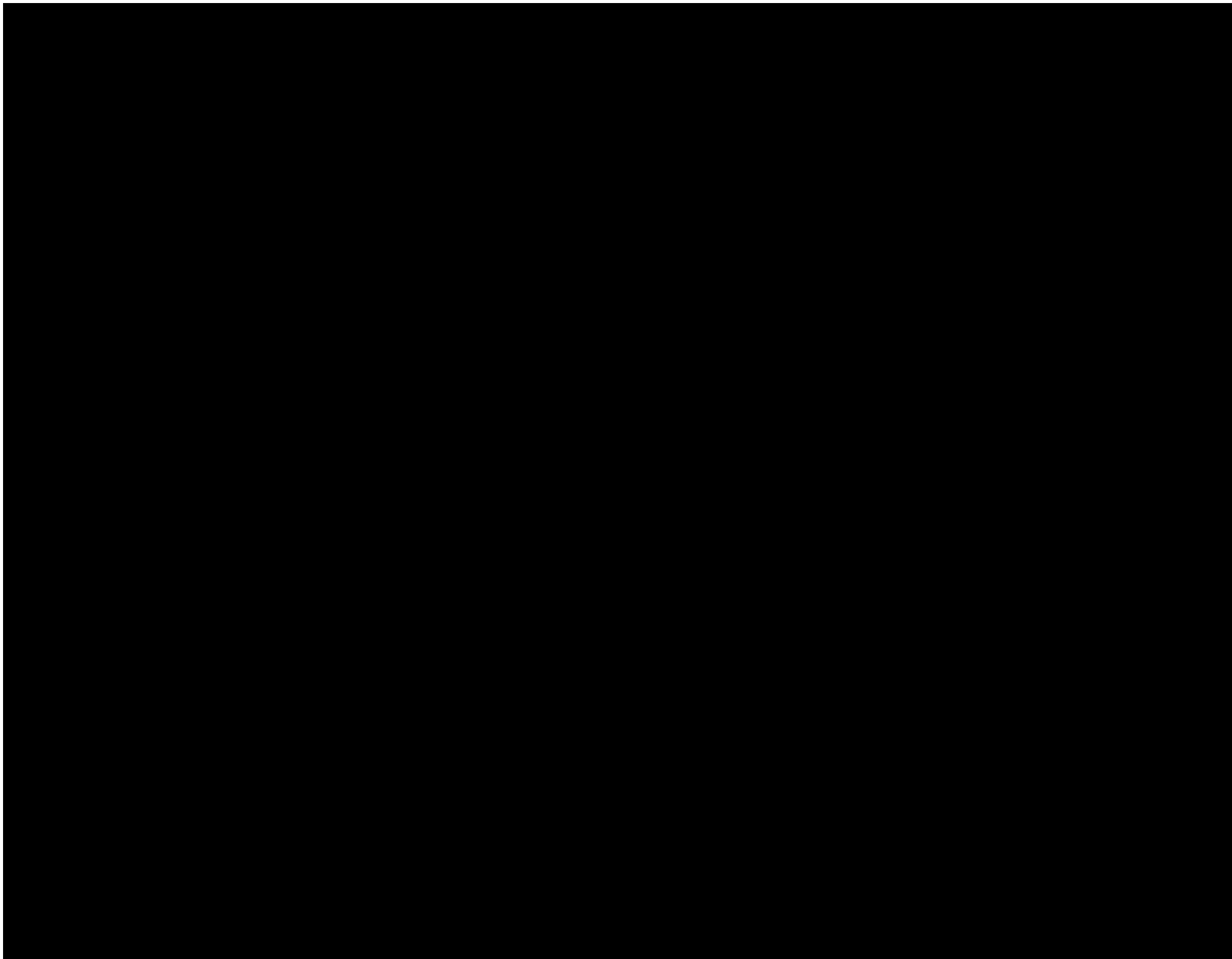


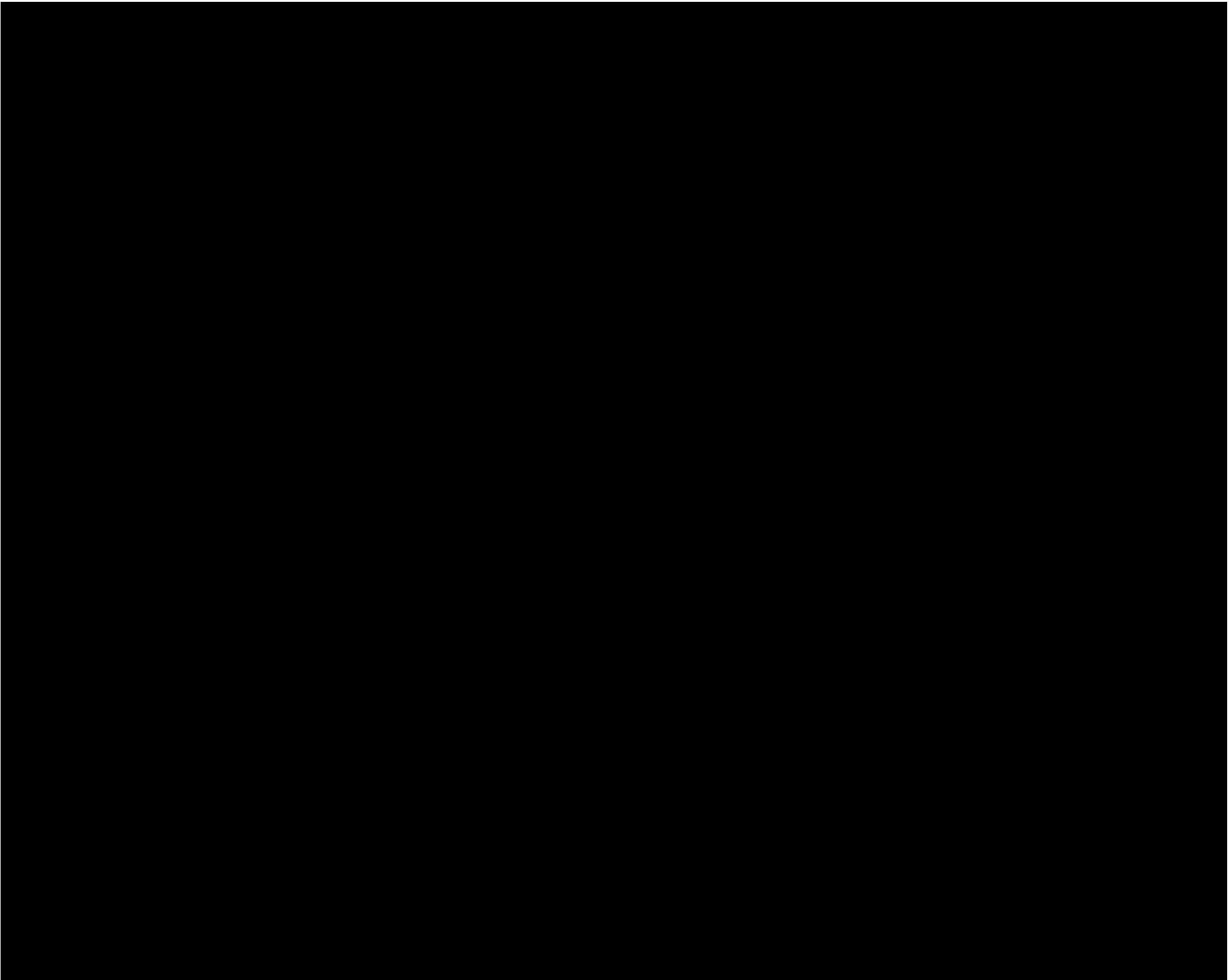


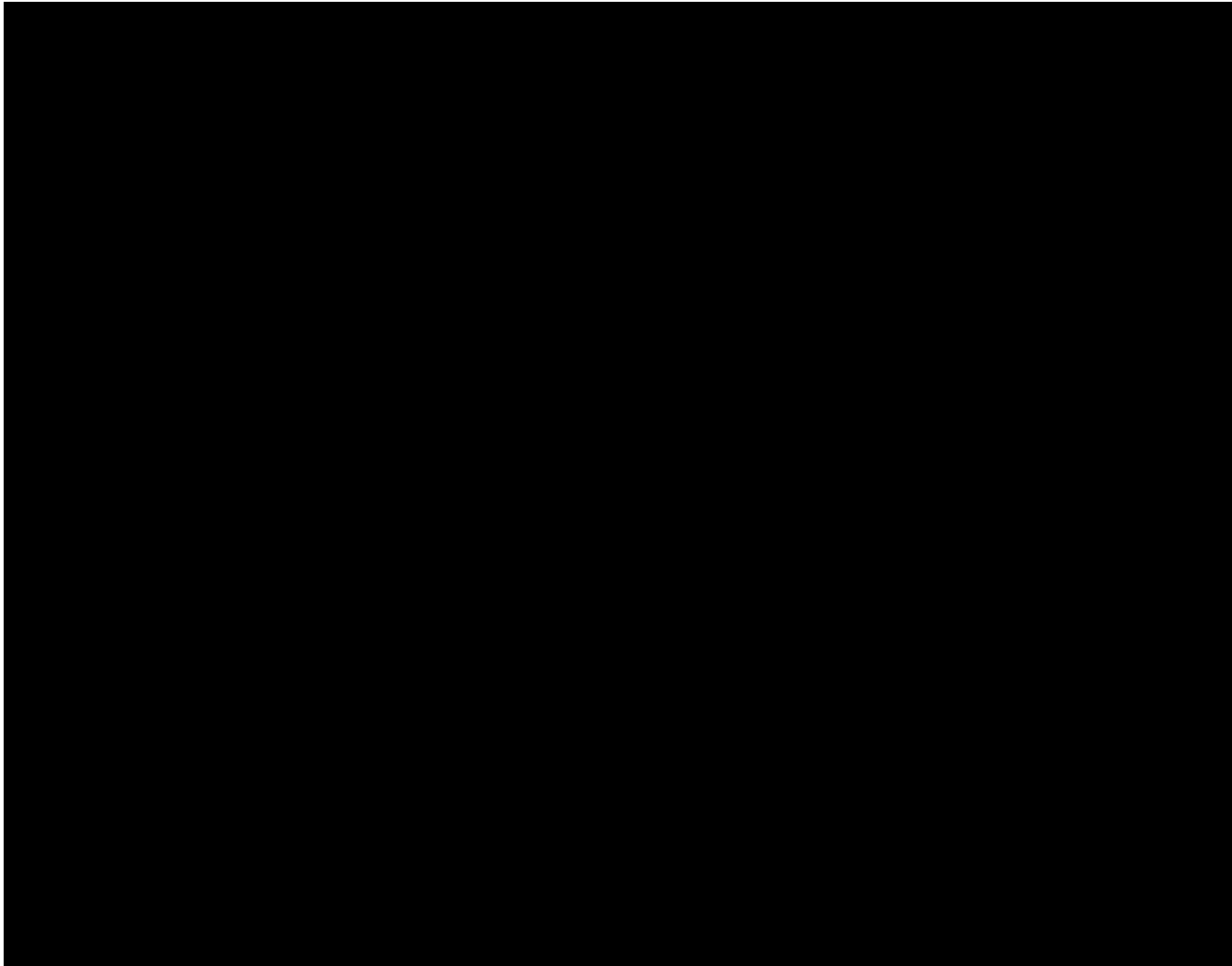


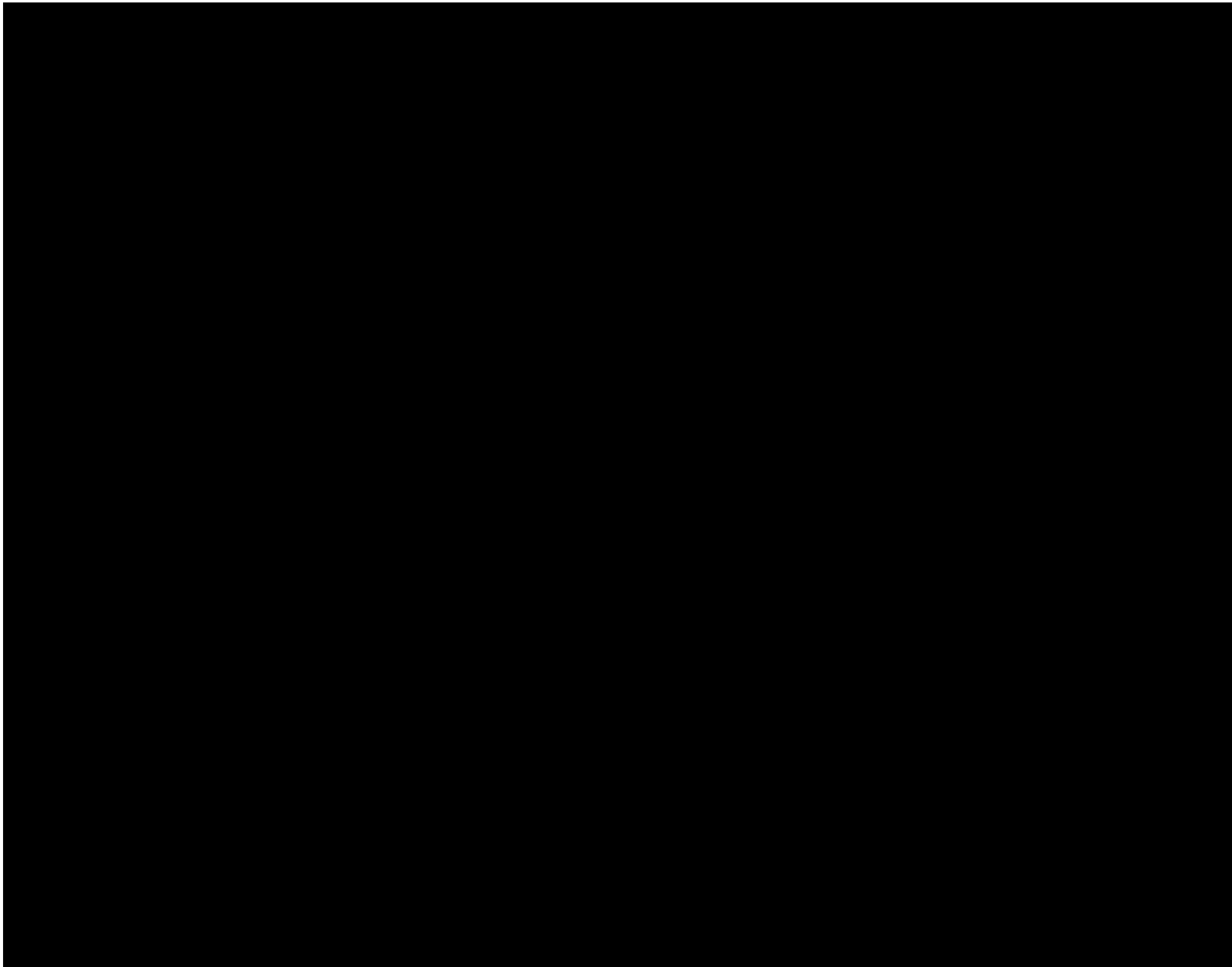


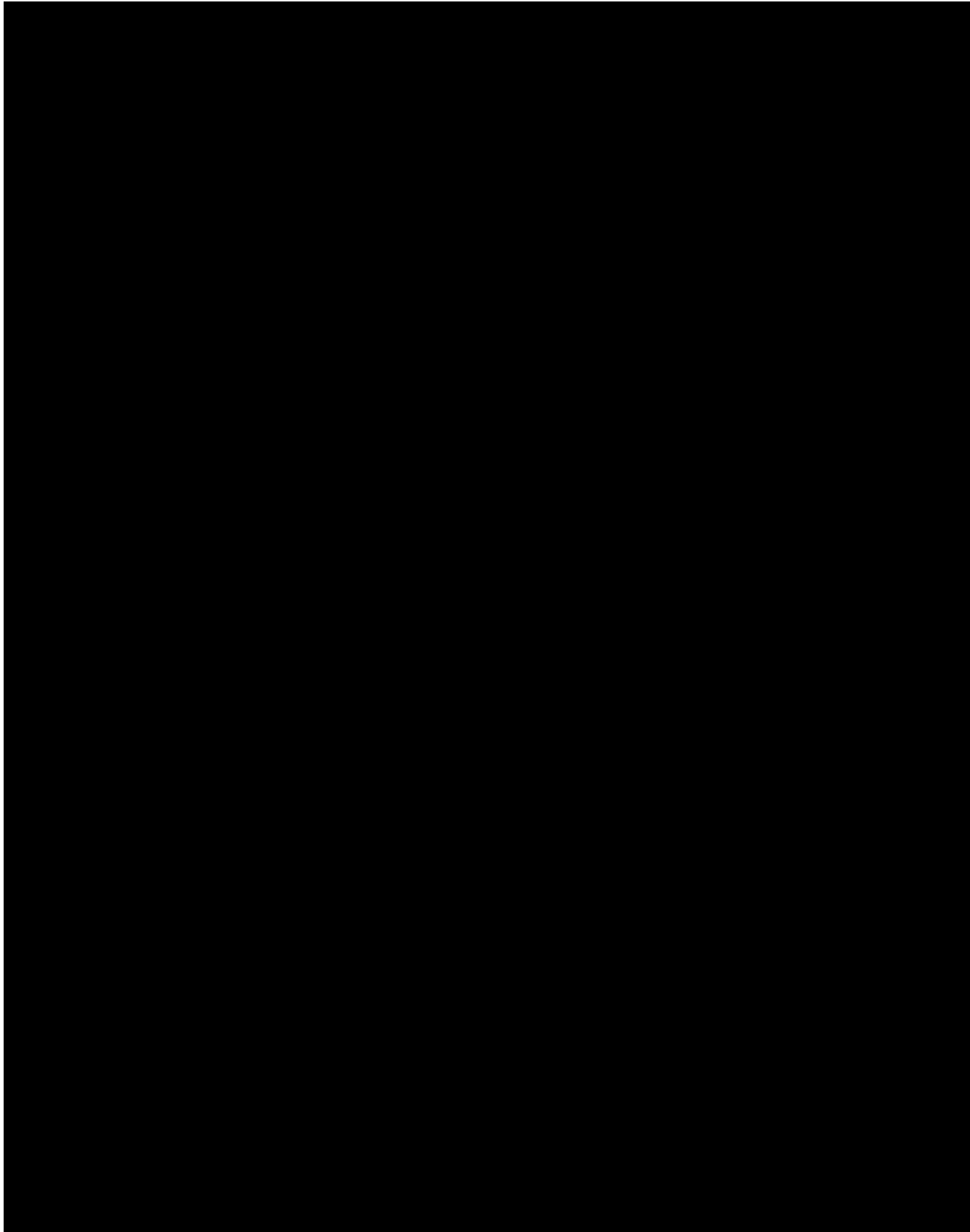


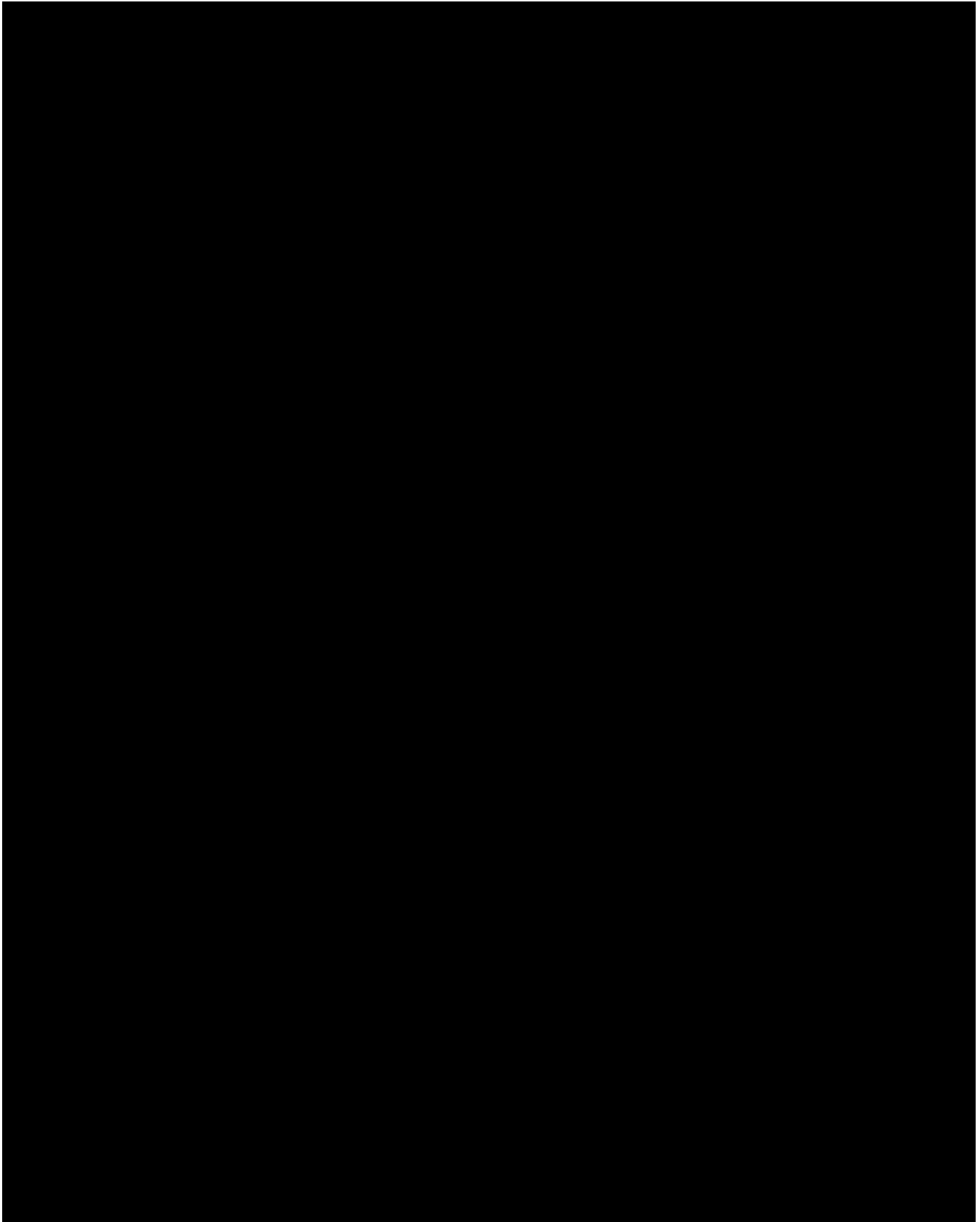












E.5 Enrollment

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




Prospective participants in the IndependentChoices program would undergo a pre-screen prior to commencing enrollment in the self-directed program. Once deemed a candidate for self-direction the enrollment process outlined below will be followed. Those in the AR Choices program will be referred to PPL directly.

Enrolling in self-direction can be an overwhelming and cumbersome process. It is our aim and goal to streamline the entire process. To that end our solution leverages in-state, in-person enrollment and outreach assistance from our subcontractor, Arkansas Foundation for Medical Care (AFMC.)

AFMC's first-hand experience with Arkansas DHS spans 37 years. Program initiatives entrusted to AFMC include Medicaid client (beneficiary) call center, provider education and outreach, hospital quality improvement, CAHPS Surveys, program evaluation, and utilization review (prior authorization and retrospective reviews). Additionally, our Service Center provides high-touch services to Medicaid clients, and in the past 12 months, the call center has handled more than 445,000 inbound calls, achieving 99.2% service level agreement.

The PPL and AFMC partnership enables our team to provide support to Beneficiaries/Employers and employees during this transition. PPL is uniquely positioned to provide Arkansas enrollment services that are both personalized and supported by user friendly technology. AFMC will provide personalized support for hiring and completion of employee applications in communities throughout Arkansas. AFMC staff will utilize PPL tools and technologies, such as MyAccount, to expedite the completion of hiring application materials.

Upon referral the beneficiary will receive a welcome call providing overall information and next steps. During the welcome call, the following will be discussed.

-  Reviews program requirements at a high level
-  Explains enrollment process, via MyAccount web portal or physical paperwork
-  Explains roles of different members within the beneficiary's circle (employee, representative, etc.)

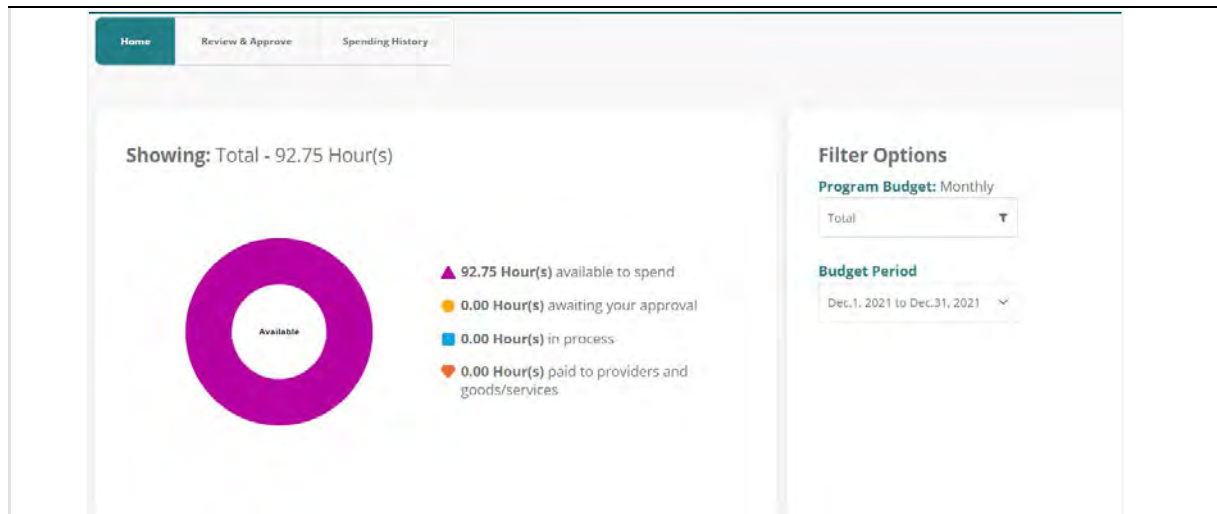
- d. Confirms intent to proceed with enrollment
- e. Schedules enrollment visit

At the enrollment visit, the enrollment process will be facilitated by our enrollment counselors, and we are confident that MyAccount provides the most streamlined approach during and after enrollment. During the enrollment visit enrollment process will be started, and there will be extensive education, all at the speed of the beneficiary. Topics to be discussed at the enrollment visit would include:

Program rules	Roles and Responsibilities
What it means to be an Employer of Record	What is Fraud Waste Abuse/Abuse Neglect Exploitation
Budget and budget utilization	Assists in the creation of back-up plan
Educates/Supports provider enrollment	Introduction to PPL systems – Time4Care and MyAccount.

The enrollment specialist provides ongoing support/training/education both scheduled and ad hoc depending on program contractual requirements. During ongoing support, the enrollment specialist and the beneficiary will work together to identify specific areas of need.




Developing a budget to ensure that it adequately meets the needs of the beneficiary is of critical importance. We will analyze the needs, the funds available and build the appropriate budget including service frequency. The budget will be tracked in MyAccount which safeguards against overuse of funds. See the following example budget tracking in MyAccount. MyAccount displays the budget in a simple graph format with clear explanations of the legend and filter options.



We then assist in completing the required forms, both state and federal. Employers can complete enrollment over the phone, electronically using MyAccount, or via pen and paper with one of our staff. We provide supports however the employer feels most comfortable. ***PPL understands that providing assistance as early as possible provides the prospective employer with a solid foundation to begin their self-directed journey.***

In addition to our enrollment specialists assisting with the completion of applicable forms, we provide an overview of roles and responsibilities, understanding their role as an employer, what role PPL plays in their journey, as well as assistance with hiring employees and how to resolve issues quickly and efficiently. We also coach beneficiaries on when and if the dismissal of an employee becomes necessary.

Employees and their employers will have multiple ways to obtain and complete hiring documentation:

-  Online through MyAccount with e-signature
-  Email with digital paperwork
-  Physical paperwork which can be scanned and emailed or faxed

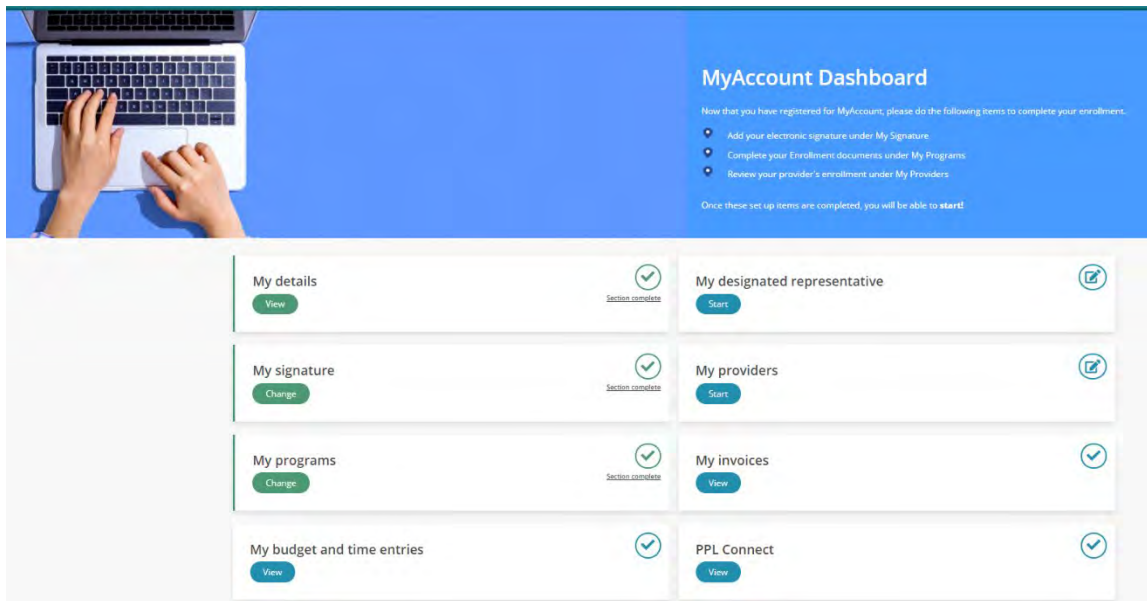
Our enrollment specialists will be able to offer guidance with any of these options. PPL understands that everyone has their comfort level and preference for handling documents, so we offer this flexibility.

Enrolling online with MyAccount is the fastest and easiest option with e-signature. Employers may register for MyAccount and invite/hire a perspective employee to enroll

electronically as well. If the employer enters basic demographic information for the employee, an electronic invitation to enroll will be sent to the prospective employee, inviting them to register for MyAccount and complete their enrollment. The employee can complete all hiring forms including Federal and State forms and USCIS Form I-9 as well as a background check consent. If the employee prefers to receive the documents directly, we can either email or mail for completion.

MyAccount streamlines what can be overwhelming federal and state documentation, with a fast and easy user experience in mind, our system walks the employer and employee through a series of questions and consent for background check. The answers are used to populate the forms which are then just an electronic signature and date. Criminal background check information from date of submission to results status and copies of results are all stored in their MyAccount profile.

We have outlined the steps/tasks that our team performs when enrolling a beneficiary, but we would also like to highlight the ease of enrollment with our MyAccount web portal. In keeping with our mission of **transforming more lives by making self-directed home care easier for all**, MyAccount web portal is just the tool needed. With MyAccount the enrollment process is faster and more transparent.



B.

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

Please find our sample Employer enrollment packet. As this is a sample, please note that the Arkansas program enrollment contents will be defined during implementation.

public partnerships



Your #1 choice for self-directed care™

SAMPLE *EMPLOYER* ENROLLMENT PACKET

EMPLOYER ORIENTATION AND TRAINING

Pre-Communication



WELCOME

Are you considering making a change to the way that you receive care? Have you ever considered being able to hire your own family member, friend, or neighbor to provide services to you instead of a stranger? If so, self-direction might be a great fit for you!

Here are some questions to ask yourself before you determine if self-direction is the right step for you:

1

Am I ready to take control of my own life?

2

Am I ready to help develop and follow a cash management plan?

3

Am I ready to be an employer, hiring and managing the people I choose to give me support?

4

Am I ready to follow and manage my monthly budget?

If the answer to all four questions is “Yes,” then please join us as we guide you through the first steps in your journey towards greater independence through self-directed services on the Personal Preference Program.

Here at Public Partnerships, we would like to welcome you to your self-directed journey and thank you for choosing us to support and guide you through these crucial first steps.

When choosing the Personal Preference Program, you will have more choice and control over how you receive your services and supports. You can decide how best to fit your specific needs.

Enrolling in PPP allows you to hire the people you want to help you, and who you feel are best qualified to provide the services and supports you need exactly when you need them. You will be able to manage your budget to identify when your employees work, what tasks they complete and what assistance they give you, within the needs identified in your MCO assessment. When you qualify, you may also request approval to purchase goods and services designed to increase your independence.

BECOMING AN EMPLOYER

Becoming an Employer can be scary, especially if you’ve never been one before. But it doesn’t have to be! While there is a lot of information to learn and know, Public Partnerships is here to support and guide you every step of the way. Below are some of the important topics that should be considered in making the leap to self-direction.

Employer Authority Includes

The PPP Employer Authority option supports you to hire employee(s) of your choice. First, you will register with the IRS as a household employer. Your Public Partnerships Consultant will provide any assistance you request to complete the following forms:

FORMS

- IRS Form SS-4 Application for Employer Identification Number (EIN)
- IRS Form 2678 – Employer Application of Agent
- M-5008 – State of New Jersey, Division of Taxation Power of Attorney
- Broker of Record Authorization
- Worker’s Compensation Questionnaire
- Personal Preference Program Consent Form
- Participant Statement of Rights and Responsibilities
- Duplication of Service Statement
- Representative Appointment

To hire your employee, your Consultant will also provide any assistance you request to complete the Employee Employment Forms listed below:

- ✓ Employment Information & Attestation, a standard application for employment that provides PPL with the following:
 - *Information and Attestation Form*
 - *Payment information (direct deposit, mailed check, etc.)*
 - *Central Registry Consent Form*
- ✓ Certification of Tax-Exempt Status based on Relationship
- ✓ IRS Form W-4
- ✓ USCIS Form I-9
- ✓ NJ Form W-4

Budget Authority

Budget authority means you have choice and control over any goods or services you'd like to purchase with your spending plan/ budget. These goods and services are meant to promote your independence and reduce reliance on human assistance. It also means that you can schedule your employee(s) at the times that best work for you, within your monthly budget.

Cash Management Plan (CMP) - Your Public Partnerships Consultant will assist in completing the initial CMP. They will help you make revisions as necessary based on need, review budget amount changes, and ensure worker's compensation costs are met. The CMP is used as a budget planning tool and includes all services you plan to utilize with your monthly budget.

Service Type - PCA Individual Hours - In the Personal Preference Program, you must have an employee in order to remain eligible for self-directed services. Your budget will be used to pay the employee's wage and employer related business taxes, based on Participant/Employee relationship status. You will identify an hourly wage for your employee(s) between \$11.00 and \$25.00, based on their skills, training, and your needs. Wage adjustments may be necessary when there are changes to the minimum wage in New Jersey. When you set this wage, you are exercising Budget Authority. Your Consultant has received training to provide you support with this important decision. Feel free to ask them for guidance and to answer any questions you might have.

PPP Support Plan - Person Centered Planning is a process supporting you to maximize choice and exercise independence when creating and maintaining community connections. You are at the center of the process and direct the services and supports you receive. Person Centered Planning in the PPP program is designed to get you closer to your goals, dreams, and aspirations by making sure you have control over what happens in your life.

Risk Assessment Plan (RAP) - As part of your initial visit, your Consultant will assist you to complete the RAP, assessing any level of risk which may be present in your home. This plan is designed to help you identify and reduce risks. As part of this process, you will be also responsible for having an emergency back-up plan in place in case your household employee becomes suddenly unavailable to provide care.

RECRUITING EMPLOYEES

Writing a Job Description

As the household employer, you will have the ability to identify exactly how and where your employee provides support. This might include such things as meal preparation, assistance with household chores or getting around in your home and the community. You can choose the type of person you want to provide your care. The Job Description gives you the chance to identify exactly what you want your employee to do and is an opportunity to outline the expectations that you have for your employee. You may also decide to include information on the type of employee you would like to hire. Examples of this include someone who has specific training, reliable transportation, is patient, reliable or a go-getter.

Your Consultant has received training on writing job descriptions and can provide guidance or direct support creating a job description to meet your needs.

Minimum Requirements for Employees

All employees must be 16 years or older, authorized to work in the US, able to complete new employee paperwork, and capable of performing the tasks you need during times that work for you.

Hiring Friends and Family

If you choose to hire a friend or family member to provide your care, you may experience changes in your relationship when you become their employer. Your Consultant is available to support you and your family member or friend with conversations helping you both feel comfortable with the change in roles.

Finding Employees

You may choose to advertise in your community, including local online message boards and employment offices, or places in your community like a church, post office, grocery store, or laundromat. Your Consultant is prepared to provide assistance and recommendations; like suggesting you call places you want to post job advertisements to first to ask about policies or rules for posting flyers. They may also suggest you submit ads with a brief description of the work, number of hours, range of pay rate, telephone number, and always remind you to exclude your home address.

Screening Potential Employees You May Want to Hire

Screening interested applicants over the phone is an important part of the recruiting process. Your Consultant is available to help you decide how best to communicate with applicants who lack the qualifications or are inappropriate, including the use of a job application to gather important information. You may choose to use a job application including the applicant's work history and their personal and previous employment references.

Interviewing

Interviewing candidates gives you the chance to ask important questions about the employee and supports you would like to receive. State and federal laws don't allow you to ask certain questions, so guidance and assistance from your Consultant putting together interview questions can be very valuable. We recommend you complete employee interviews face-to-face in a public place, whenever possible. Private rooms to interview employees are often available free of charge in community centers and libraries.

Narrowing Down the Applicants

Review the answers your applicants provide during the interview, along with any notes you take. If a friend or family member is present during the interviews, also plan to compare notes with him or her. It may be helpful to ask applicants if they would be willing to work as a back-up Employee, keeping a list of your top choices.

Making an Offer

Once you have decided who you would like to hire, you may decide to extend a job offer. Prior to deciding exactly what pay rate to offer, it's important to know how much has been allocated to your budget. Your Consultant will provide this information during your initial visit. Once your employee accepts the position, they will require your assistance completing all hiring forms. Your Consultant can help with all aspects of this part of the hiring process.

Background and Registry Checks

During the employee's application process, you may decide to complete a background check. If you do decide to complete a background check, the cost will be deducted from your first month's budget. The cost is currently \$30.

If your potential employee does not pass the background check, then they may not be hired to provide your care. All employees must complete a registry check before being considered eligible to be hired. There is no cost to you for the registry check. Background checks may be a good option especially if you do not have a personal relationship with the person you plan to hire.

Expectations

You may choose to discuss the following performance expectations with the applicant:

- **Confidentiality** - What you say and do in your home should remain confidential. The support provided by your employee is not to be discussed with their friends, family members or other individuals they provide care to. You may decide to remind your new employee that sharing your personal information can be grounds for termination.
- **Punctuality** - You may choose to discuss with the applicant the importance of reporting to work on time.
- **Time off** - Discussing your expectations for when your employee takes time off can be an important part of the job interview. It's important to think about who will provide your care if your employee needs to take time off.
- **Training** - You will provide orientation and training for the employee as part of your role. It's important for your employee to know that your training and coaching will be an ongoing part of the employment relationship.

If Things Don't Work Out—Firing an Employee

Sometimes an employee doesn't work out, and you have to end the employment relationship by firing your employee. This can be a hard conversation, but one that must take place when you are the employer. If possible, it's best to have another employee lined up to step in, but that isn't always possible. We recommend you talk with your Consultant immediately after you decide you'd like to fire an employee, and always have another individual present during that difficult conversation. Your Consultant can help guide your approach to the conversation.

Withdrawing from Self-Directed Services in the Personal Preference Program

If self-direction is not the right path for you, you may go back to traditional PCA services at any time. Simply contact your MCO or PPL and share your decision. Once your MCO has been notified, the MCO will change your status within the Personal Preference Program. You will no longer be able to access funds through PPL and your MCO will assist you with accessing agency care.

PROGRAM SAFEGUARDS

Prevention, Identification, and Reporting of Fraud, Abuse, and Neglect

Fraud, Abuse, Neglect, and Exploitation:

- **Fraud** is an act of wrongful deception intended to end in financial or personal gain.
- **Abuse** is an act of aggression by one person intended to inflict harm on another person. Abuse can be when one person tries to or does hurt or harm another person on purpose.
- **Neglect** is an act of omission by one person that results in harm to another person. Neglect can be when one person does not give a person with a disability the kind of support they have promised and the person with a disability is hurt or gets sick because of this.
- **Exploitation** is when one person uses another person for one's own gain. We say that exploitation happens when one person takes advantage of another person.

What Does "Misuse of Program Funds" Mean?

Misuse of funds means spending funds in a way not allowed by program rules. For example, if you sign a timesheet that is incorrect, it's considered a misuse of funds. An incorrect timesheet would include instances where your employee failed to work all the hours for which you signed off on, or for hours worked on a timesheet while you were in the hospital. Program rules require that you never sign a blank timesheet or share your portal passwords, to help prevent the submission of inaccurate or false timesheets.

What Happens If I or My Employee Misuse Program Funds?

If you sign and submit a timesheet you know is not accurate, you may lose the ability to self-direct your services. You may also place your Medicaid funding at risk. Your employee could also be asked to refund the money they have been paid, and become unable to work for you or other program Participants.

How Do I keep Myself Safe?

It is your right to be free from abuse, neglect, and exploitation. There are things you can do to help protect yourself. Protections start during the hiring process:

- Consider checking the person's employment and personal references.
- Consider conducting a criminal background check.
- Let your employees know during the hiring process that you will not allow abuse, neglect, or fraud, and that your Consultant checks regularly to ensure you remain free of harm.
- Share that you plan on being treated with dignity and respect at all times.

If at any point you feel uncomfortable, intimidated, or threatened in any situation, tell your Consultant and any others you choose how you feel. Never hesitate to contact your Consultant at any point to request assistance.

If you feel that you have been abused, neglected, or exploited, contact the abuse and neglect hotline 1-800-832-9173.

Every call is taken seriously. In the event of an emergency, contact local law enforcement or emergency services by dialing 911.

WHO TO CALL

BEFORE STARTING THE PROGRAM

Call a DDD Enrollment Specialist to:

- Provide DDD orientation and training
- Follow-up on a referral that was correctly submitted
- Follow-up on a scheduled enrollment visit or call
- Follow-up on enrollment paperwork for the consumer, Employer of Record, or Self-Directed Employee
- Follow-up on status of enrollment
- Follow-up on status of the billable rate
- Follow-up on status of worker's compensation
- Follow-up on status of background checks, CARI checks, drug tests, fingerprinting for the SDE
- Directly assist Individuals in enrolling in DDD
- Follow-up on vendor association
- Provide instruction on paper or online timesheets or "e-timesheets" for EORs
- Provide training on the Time4Care™ mobile timesheet application
- Provide instruction on preparing and submitting paper and electronic invoices for Participant-Directed Goods & Services
- Report an instance or allegation of abuse, neglect, exploitation or fraud
- Gain guidance, direction, and consultation on the DDD program



You can expect to hear back from a DDD Enrollment Specialist related to the above inquiries within 72 business hours.

AFTER STARTING THE PROGRAM

Call a DDD Specialist to:

- Provide instruction on paper or online timesheets or "e-timesheets" for EORs
- Give guidance on how to use the Time4Care™ mobile timesheet application
- Provide instruction on preparing and submitting paper and electronic invoices for Participant-Directed Goods & Services
- Offer education or guidance on use of the budget and how to navigate portal to monitor your budget
- Check on the status of a new employee's enrollment packet
- Report an instance or allegation of abuse, neglect, exploitation or fraud
- Report an employee termination of employment
- Change Authorized Representatives
- Updating employee pay rates
- Gain guidance, direction, and consultation on the DDD program



You can expect to hear back from a DDD Specialist related to the above inquiries within 72 business hours.

CALL CUSTOMER SERVICE TO:

- Inquire about a payment issue
- Check the status of submitted timesheets
- Update either the Participant or Provider address, phone number or name
- Request check stop payments
- Identify timesheet payment amount(s)
- Ask about employee Direct Deposit enrollment and status
- Change employee payment preferences
- Inquire about an “online error” preventing a timesheet from being submitted
- Reset a Portal username or password for either Participants or Providers
- Report an instance or allegation of abuse, neglect, exploitation or fraud
- Report provider termination of employment
- Request a Difficulty of Care Acknowledgement Letter
- Inquire about employee taxes



You can expect to reach someone on the phone, or request to receive a call back.

CALL YOUR SUPPORT COORDINATOR FOR:

- If Public Partnerships has not received your referral
- If Public Partnerships has not received your wage change form
- To obtain a program start date
- There is an issue with your Service Plan
- To determine your employee’s hourly rate of pay
- To determine what services you are authorized for
- Questions about how to enroll in the program
- Questions about your budget amount
- To add goods or services to your Service Plan
- To report changes in eligibility status
- To report changes in demographic information, such as phone number or address
- Report status changes, including the beginning or end of hospitalizations or vacations that are out of state

IMPORTANT CONTACTS

PUBLIC PARTNERSHIPS (FISCAL INTERMEDIARY SERVICES)

Customer Service

Phone: (844) 842-5891

Spanish: (844) 842-5892

E-mail: njddd-cs@pcgus.com

Chat: publicpartnerships.com/contact-us/

Online Timesheets

Site: www.fms.publicpartnerships.com

Mobile App: Time4Care™

Online Enrollment *(to hire a new employee)*

Site: www.pplenroll.com

Need timesheets or other documents? Download them!

Site: <https://www.publicpartnerships.com/state-programs/new-jersey/nj-division-of-developmental-disabilities-ddd/nj-division-of-developmental-disabilities-documents/#content>

Work Related Injuries

Phone: (800) 804-9382

FREQUENTLY ASKED QUESTIONS

How can I contact Public Partnerships?

You may contact us by telephone at:

English: 1-844-842-5891

Spanish: 1-844-842-5892

You may contact us by email at: Njddd-cs@pcgus.com

You may contact our DDD Specialists via email at:

NJDDD-IASpecialist@pcgus.com

For the quickest response, [CLICK HERE](#) to check out our Who to Call Sheet!

What are your hours of operation?

Our customer service center is open Monday – Friday, from 8:00 AM to 6:00 PM. Our agents are available by both phone and e-mail.

Our DDD Specialists are available Monday through Friday from 9:00 AM to 5:00 PM. Specialists are available via phone and email.

I was referred to Public Partnerships, what happens next?

A DDD Enrollment Specialist will provide a Welcome Call to you within 72 business hours of receiving a completed referral.

[CLICK HERE](#) to review the enrollment process.

What is a completed referral?

A completed referral includes all demographic information, including name, address, phone number, DDD ID, social security number, date of birth and Medicaid ID.

Having a correct phone number is important for us to be able to reach you.

How do I know when I am able/authorized for services through Public Partnerships?

Your DDD Enrollment Specialist will assist you through the enrollment process. Once everything has been completed, **your Support Coordinator will advise you of your program start date.**

Where and how does my employee submit their timesheets?

Beginning on your program start date, your employee (s) may be scheduled to work based on your needs.

Your DDD Specialist will provide you with a payroll schedule that outlines when your employee should submit timesheets for dates worked.

You can also print additional pay schedules from our website, or request a copy be mailed to you via our Customer Service department. You can find many beneficial documents [HERE](#) at the PPL DDD Documents Page.

If you have timesheets and/or payment issues, you can call our dedicated Customer Service team.

What will my employee's rate of pay be?

Public Partnerships does not determine your employee (s) rate of pay. You will determine your employees' rate of pay and DDD service code with your Support Coordinator and that information will be included on the Wage form in the enrollment package.

What is a DDD Specialist?

- A DDD Enrollment Specialist will assist you with your enrollment and enrolling your employee (s).
- A DDD Enrollment Specialist will provide you with training on employer responsibilities and how to be an employer and correctly submit time to Public Partnerships.
- Available to support additional employee enrollments.
- Available to support additional inquiries related to:
 - *Budget management*
 - *Employee oversight*
 - *EOR responsibilities*
 - *Understanding of how to navigate portal*
 - *Understanding of how to submit a timesheet*

ELECTRONIC VISIT VERIFICATION (EVV)

Frequently Asked Questions (FAQ)

What Is Electronic Visit Verification (EVV) and why do we have to use it?

The 21st Century Cures Act federal law requires an Electronic Visit Verification (EVV) system to be used for clocking-in and clocking-out when giving services for Medicaid recipients. This system also records the location of the person clocking-in or -out. It does not record the location during the shift or at any other time.

EVV helps make sure that those people needing services are getting what they need, and that person's Medicaid money is being used appropriately.

What do we use for an EVV system?

Your program is using PPL's Time4Care™ mobile application (app), which can be used on an Android or Apple smart phone or tablet, as long as it has location services for GPS.

What if I don't have a smart phone or tablet?

The participant can use the BetterOnline web portal to approve time instead of a smart phone.

If the participant has a smartphone, the employee can use the app on that phone with the employee's own login to clock-in and clock-out.

If the participant does not have a smart phone, there are free resources for smart phones for Medicaid members through a federal program. The provider may also be eligible for this benefit. Apply directly for this benefit at www.lifelinesupport.org/ls/

You may qualify to use a call-in system that uses your Employer's landline to verify service location. You will be required to confirm having no other access to a mobile device.

If you need further assistance, please contact Customer Service. Or check out our Frequently Asked Questions on our page:

www.publicpartnerships.com/tools/time4care-ewv/

What are the benefits of using Time4Care EVV?



PERSON RECEIVING SERVICES

- 1 EVV provides **peace of mind**. EVV helps ensure that you receive services during the hours that you need care.
- 2 EVV **encourages better accountability** during work hours, which often leads to more consistent care.
- 3 EVV provides **real time alerts**. Receive notifications when you have hours for your review.



PERSON PROVIDING SUPPORT AND SERVICES

- 1 **Easy time entry** – Enter time on the go as the shift is occurring.
- 2 **Saves Time** – Quickly record time and service details directly on a smart phone without the need for a computer or fax machine.
- 3 **Reduces Errors** – Time4Care lets PCAs know in real time if there are problems with their entry.

How does using EVV with PPL work?

Programs with PPL use the Time4Care mobile app for EVV. Time4Care can be used to clock-in and -out, view information or paystubs, and approve time entries. The Time4Care mobile app is available for FREE from the Google Play Store or the Apple App Store. Time4Care can be used with either Wi-Fi connection or cell service with data connection.

Using the Time4Care mobile app for EVV



Person receiving support and services or their representative.

You can either download and use the Time4Care app to approve time entries or you can approve time entries on the BetterOnline web portal. fms.publicpartnerships.com



Person providing support and services

You need to download the FREE Time4Care mobile app to submit your EVV time entries. Android or Apple smart phones or tablets can use the app as long as they can use GPS for your location. If you turn off location services for your phone, you will need to turn them back on to log your time, but you can turn them off again once you're done.

01 Sign into the app with the same login you use for the BetterOnline web portal if you have one. You can also sign up for an account from the app login screen.



02 Using Time4Care, **clock-in when you start working.** Select the service you have discussed providing for this time. It's okay if the time you clock-in is not on the hour, like 4:03pm. Your location will be logged at this time. It's okay if this location is in the community.

Still clock-in and clock-out even if you do not have internet connection at the time! Your entry will be saved and uploaded once you do have internet connection.



03 Provide support and services during your shift as usual.



04 Once your shift is over, **use Time4Care to clock-out.** Your location will be logged at this time. It's okay if this location is different from where you clocked in.



05 Once the shift has been completely logged, **it is submitted to be approved.**

There is no need to worry about submitting a full timesheet at the end of two weeks!



06 **You can reject or approve the shift** from your device or on the BetterOnline web portal at any time.



07 If a correction on the time entry is needed after approval, the person who approves the time entry should call their customer service.



Where to get more information:

www.publicpartnerships.com/programs/new-jersey/

Instructions and Frequently Asked Questions:

www.publicpartnerships.com/tools/time4care-evv/

PARTICIPANT INFORMATION

Name:

Medicaid #:

PPL ID #:

DDD ID #:

Emergency Contact Information

Backup 1:

Phone:

Backup 2:

Phone:

SAMPLE

EMPLOYER AGREEMENT

Participant Name

First: Last: PPL ID:

This agreement covers the responsibilities of the Employer. They are subject to federal and state laws.

Terms and Conditions

PUBLIC PARTNERSHIPS LLC (PPL) DUTIES:

1. Provide enrollment packets.
2. Pay Employees weekly, on behalf of the Employer. For the Employee to be paid, service shifts must be approved by the Employer.
3. Deposit Employer-related taxes using the Participant's tax ID.
4. Follow all IRS and State guidelines.
5. Obtain all proper Federal and State Powers of Attorney.
6. Maintain workers compensation insurance on behalf of the Participant.
7. Process all tax exemptions and withholdings.
8. Maintain records of all:
 - Withholdings
 - Filings
 - Payments
9. Supply the Employee with a paystub for each pay period.
10. Furnish the Employee with W-2s for filing income tax returns.
11. Track all money spent from the Program budget. The Participant must watch spending and not exceed the approved amount.
12. Submit all claims to the Program on behalf of the Participant.
13. Will only pay for tasks approved in the Cash Management Plan (CMP).
14. Upon the end of this Agreement PPL will complete all required federal and state filings.

EMPLOYER:

1. I cannot start the XXXXXX Program until I receive approval from XXXXXX Agency. My Managed Care Organization (MCO) does not give this approval.
2. Medicaid pays for XXXX Program services. If I am no longer eligible for Medicaid:
 - I am no longer eligible for XXXX Program
 - My employees could not continue working for me or be paid. It is my duty to make sure my employees do not continue to work
3. Medicaid does not notify XXXX Program if I am no longer eligible.
4. XXXX Program is a consumer directed program. I must be able to self-direct my supports. If I cannot do so, I must have a Representative act on my behalf. A Representative cannot be a paid employee through the CMP.
5. If my MCO completes a new assessment of my Personal Care Assistant (PCA) hours, I cannot use the new hours until:
 - I have revised my CMP
 - The Consultant reviews my CMP
 - My Consultant tells me that I can begin using my new CMP, which will always begin on the first of the month
 - Cash and other goods and services need approval from my MCO before I can add them to my CMP. My Consultant can assist with this.
6. I choose what services and purchases best meet my needs. My CMP must be approved.

Terms and Conditions

- Only things included in my CMP can be paid. This includes Employee service shifts and/or invoices for goods and services.
- I must not spend more than the amount of my monthly cash grant. If I do so, I am responsible to repay the spent money. This includes me being responsible for the payment of employees and purchases.

My XXXXX Consultant can advise me whether I am using my budget in a correct way. Misuse may lead to being disenrolled from the program.

7. I will create a CMP. My XXXXX Consultant can help guide me as I create the plan. They can also help guide me as I use or change the CMP. I am responsible for:
 - What is in the CMP
 - Managing and making needed changes to my CMP
 - Making sure the services I receive are the ones listed in my CMP
 - Making sure that documented service shifts and any invoices match my CMP
 - Managing my cash grantI can use my monthly cash grant for what is approved in my CMP. If I submit service shifts or invoices for goods and services not in my approved CMP, they will not be paid. If I use my cash grant for non-approved purposes, I may be disenrolled from NJ PPP. I could also be referred to Medicaid Fraud and Abuse.
8. As I and my employees and/or representative enroll in XXXX Program, I will make sure:
 - All the needed details are provided
 - Any needed paperwork is completed and correct
9. I am aware that I am the Employer of the employees I hire to provide my support. This means that I am set up as a business. My employees are not employees of PPL or the State. I am required by law to pay Employer taxes for my employees. My monthly budget will be used to pay my Employer taxes.
10. I will:
 - Set the terms of employment
 - Decide how I will hire Employees.
 - Recruit and interview Employees
 - Check Employee references
 - Decide Employee pay, job duties, and work schedules
 - Provide all training to Employees, as needed
 - Supervise Employees I hire
 - Follow all state fair hiring and firing standards
 - Create and have an emergency back-up plan in place. This is needed in case my regular Employee(s) is unable to provide care.
 - Make sure the details on the USCIS Form I-9 are complete and accurate. I will submit it to PPL
 - Abide by all state and federal laws. This includes tax and labor laws
 - Treat my employees and XXXXX Consultant with dignity and respect
 - Review and submit service shifts that are true and accurate. I will make sure this happens within the proper time frames.
 - Provide feedback to employees on how they are performing their job
 - Notify PPL any time I end a employee's employment
 - Choose who provides my services. I know non-qualified Employees cannot be paid. I will make sure the Employee:
 - Can be lawfully employed
 - Meets program criteria
 - Has completed required training based on program rules
 - Receive a cash grant. I can use this grant to:
 - Hire people
 - Buy services
 - Make other purchases related to my personal care needs
11. If needed, I will also:
 - Discipline the Employee(s)
 - End the employment of Employee(s)









Terms and Conditions

12. Criminal background checks (CBC) are optional. If I want a CBC, I can request one for my Employee(s). I would need to request this from XXXX Program, through PPL. I know that the cost for a CBC must be budgeted in my CMP. The Employee must provide consent for the CBC to be completed. If the Employee fails the CBC, they cannot be hired.
13. The employees I hire will receive taxable and reportable income. I must inform my employees about this. If my Employee lives with me, this may impact overall household benefits.
14. In my role as Employer:
- I know I must have Medicaid in order to be in the program
 - I will notify my XXXX Consultant right away if:
 - My Medicaid benefits end
 - I am admitted to:
 - A hospital
 - Nursing facility
 - Rehabilitation facility
 - Any other institution
- I cannot receive services through the program during a stay at any of these places. I will not allow my employee(s) to submit hours for time worked during my stay at any of these places.
15. I have the duty to:
- Keep scheduled required appointments with my:
 - Consultant
 - Registered Nurse
 - Or MCO
- If I do not keep these appointments, I may be disenrolled from XXXX Program.
- Return Consultant phone calls right away
 - Provide information and reports requested by my Consultant and/or the SPO
16. Inform my XXXX Consultant if I switch MCO providers.
17. If I switch MCO, I will tell the new MCO that I am enrolled in NJ PPP.

If I decide the program is not right for me, I can return to the traditional Medicaid PCA program. If I do, I will be able to receive services without penalty or loss of benefits to which I am entitled. I must notify my Consultant if I disenroll from XXXX Program.

Employees

I confirm and agree that when I hire an Employee:

-  I will:
 - Tell the Employee they are hired and their start date
 - Based on the "Good to Go" notice from PPL
 -  Set the terms of employment for my Employee
 -  Explain what the Employee will be doing on the job
 -  Set an agreed work schedule with my Employee
 -  Approve Employee service shifts
 -  Immediately report, to the Department of XXXXX hotline, any possible:
 - Neglect
 - Abuse
 - Misuse of funds or property
 I can report any of these to:
 - PPL
 - The MCO
 - Department of XXXX hotline
 -  Any Employee I hire is not allowed to start working until:
 - The results of any background check have been received and approved (if applies)
 - I have added them to my CMP
 - I have received the "Good-to-Go" notice from PPL
 -  My Employees can be terminated (not be eligible for rehire) if:

Terms and Conditions

- Their name has been placed on a Disqualification Registry or list maintained by:
 - XXXX Division of Medical Assistance and Health Services (DMAHS)
 - US Office of Inspector General (OIG)
 - They abuse, neglect, or misuse my funds or property
 - They commit fraud
 - They violate the terms of the agreement that they sign upon employment
- 3. I will notify PPL if I decide to end the employment of any Employee.
- 4. I am aware that PPL will pay the Employee on my behalf.
- 5. Criminal Background Checks (CBC) are optional in the Personal Preference Program (PPP). NJ DMAHS PPP allows a CBC to be requested. If I want one, I:
 - Request the CBC through PPL
 - Must have approved and given access for a CBC report fee. This happens through the Participant's Cash Management plan (CMP).
 - Receive consent from the Employee to complete a CBC
- 6. This agreement does not prevent me from hiring more than one Employee
- 7. Employees cannot submit service shifts or be paid through the program if:
 - I no longer have Medicaid
 - Services are not authorized
 - They work before PPL issues a "Good-to-Go" notice
 - They are no longer eligible under program rules to provide services
 - Service shifts are submitted for services not authorized on the Participant's CMP
 - I am:
 - Hospitalized
 - In a nursing home or similar facility
 - At overnight camp where services are provided to me
 - Traveling out of state for more than 30 days

Repeated dismissals by the Employer may make replacing staff harder. This could raise state unemployment tax rates. The Employer must stay within their budget with the higher costs.

If the Employee's employment stops for 6 months or longer, they may have to complete new paperwork.

Duplication of Services

Services through XXXX Program replace the Medicaid PCA Program. I cannot receive services from both programs. Medicaid will pay for only one of these services.

Once XXXX Program begins, agency PCA services must end. If I continue to receive PCA services from an agency, I will pay for the services myself.

If XXXX Program finds I am receiving Medicaid PCA service while receiving the XXXX program monthly grant:

- I may be disenrolled from XXXX Program
- I may lose eligibility for Medicaid
- The matter will be referred to the Medicaid Fraud and Abuse

Overtime

Overtime is not permitted for PCA or PCA-Group services, unless the Employee qualifies for a live-in exemption (LIE).

- I will not schedule the Employee for more than 40 hours per week
- The Employee will not provide more than 40 hours of service per week

If my Employee qualifies for a LIE, they may be scheduled to work more than 40 hours per week. This time will be paid at their regular pay rate.

The XXXX Program work week is Monday through Sunday.

Medicaid Fraud

Medicaid Fraud is a crime. It can lead to penalties and/or jail time. I can report any suspected fraud to PPL, the MCO, and/or the State.

Electronic Signatures

PPL supports electronic signing of forms if it is lawful and applies. I agree to sign all paperwork electronically, as it pertains.

Electronic Visit Verification (EVV)

The Employee must clock in and clock out for their shift using an approved EVV method. Live-in employees may be exempt from this requirement.

Agree and Sign

I confirm:

- I have read all of this form.
- I understand my responsibilities.
- I agree to the terms of this Agreement.
- I agree to abide by XXXX Program guidelines and procedures.
- My records are protected under state and federal laws.
- I understand my records cannot be disclosed without my consent, unless required by law.
- The details provided are accurate and complete.
- It is my responsibility to properly complete and execute the USCIS Form I-9.
- I hold harmless, release, and forever discharge XX DMAHS and PPL from any claims and/or damages that might arise out of any action or omissions by me (Participant) or the Employee.
- Any of the terms, conditions, and responsibilities above may be changed or waived at the discretion of the Program and/or the MCO.

Employer Signature:

Date:

Application for Employer Identification Number
 (For use by employers, corporations, partnerships, trusts, estates, churches,
 government agencies, Indian tribal entities, certain individuals, and others.)
 ▶ Go to www.irs.gov/FormSS4 for instructions and the latest information.
 ▶ See separate instructions for each line. ▶ Keep a copy for your records.

EIN

Type or print clearly.	1 Legal name of entity (or individual) for whom the EIN is being requested	
	2 Trade name of business (if different from name on line 1)	3 Executor, administrator, trustee, "care of" name Public Partnerships LLC
	4a Mailing address (room, apt., suite no. and street, or P.O. box) 1 Cabot Road, Suite 102	5a Street address (if different) (Don't enter a P.O. box.)
	4b City, state, and ZIP code (if foreign, see instructions) Medford, MA 02155	5b City, state, and ZIP code (if foreign, see instructions)
	6 County and state where principal business is located	
	7a Name of responsible party	7b SSN, ITIN, or EIN
8a Is this application for a limited liability company (LLC) (or a foreign equivalent)? <input type="checkbox"/> Yes <input type="checkbox"/> No	8b If 8a is "Yes," enter the number of LLC members ▶	
8c If 8a is "Yes," was the LLC organized in the United States? <input type="checkbox"/> Yes <input type="checkbox"/> No		
9a Type of entity (check only one box). Caution: If 8a is "Yes," see the instructions for the correct box to check.		
<input type="checkbox"/> Sole proprietor (SSN) _____ <input type="checkbox"/> Estate (SSN of decedent) _____ <input type="checkbox"/> Partnership _____ <input type="checkbox"/> Plan administrator (TIN) _____ <input type="checkbox"/> Corporation (enter form number to be filed) ▶ _____ <input type="checkbox"/> Trust (TIN of grantor) _____ <input type="checkbox"/> Personal service corporation _____ <input checked="" type="checkbox"/> Military/National Guard <input type="checkbox"/> State/local government _____ <input type="checkbox"/> Church or church-controlled organization _____ <input type="checkbox"/> Farmers' cooperative <input type="checkbox"/> Federal government _____ <input type="checkbox"/> Other nonprofit organization (specify) ▶ _____ <input type="checkbox"/> REMIC <input type="checkbox"/> Indian tribal governments/enterprises _____ <input type="checkbox"/> Other (specify) ▶ HCSR Using Employer/Fiscal Agent Group Exemption Number (GEN) if any ▶ _____		
9b If a corporation, name the state or foreign country (if applicable) where incorporated	State	Foreign country
10 Reason for applying (check only one box)		
<input type="checkbox"/> Started new business (specify type) ▶ _____ <input type="checkbox"/> Banking purpose (specify purpose) ▶ _____ <input type="checkbox"/> Hired employees (Check the box and see line 13.) <input type="checkbox"/> Changed type of organization (specify new type) ▶ _____ <input type="checkbox"/> Compliance with IRS withholding regulations <input type="checkbox"/> Purchased going business _____ <input type="checkbox"/> Other (specify) ▶ HCSR Using Employer/Fiscal Agent <input type="checkbox"/> Created a trust (specify type) ▶ _____ <input type="checkbox"/> Other (specify) ▶ HCSR Using Employer/Fiscal Agent <input type="checkbox"/> Created a pension plan (specify type) ▶ _____		
11 Date business started or acquired (month, day, year). See instructions.	12 Closing month of accounting year December	14 If you expect your employment tax liability to be \$1,000 or less in a full calendar year and want to file Form 944 annually instead of Forms 941 quarterly, check here. (Your employment tax liability generally will be \$1,000 or less if you expect to pay \$5,000 or less in total wages.) If you don't check this box, you must file Form 941 for every quarter. <input type="checkbox"/>
13 Highest number of employees expected in the next 12 months (enter -0- if none). If no employees expected, skip line 14.		
Agricultural	Household	Other
15 First date wages or annuities were paid (month, day, year). Note: If applicant is a withholding agent, enter date income will first be paid to nonresident alien (month, day, year) ▶		
16 Check one box that best describes the principal activity of your business.		
<input type="checkbox"/> Construction <input type="checkbox"/> Rental & leasing <input type="checkbox"/> Transportation & warehousing <input type="checkbox"/> Health care & social assistance <input type="checkbox"/> Wholesale-agent/broker <input type="checkbox"/> Real estate <input type="checkbox"/> Manufacturing <input type="checkbox"/> Finance & insurance <input type="checkbox"/> Accommodation & food service <input type="checkbox"/> Wholesale-other <input type="checkbox"/> Retail <input type="checkbox"/> Other (specify) ▶ HCSR Using Employer/Fiscal Agent		
17 Indicate principal line of merchandise sold, specific construction work done, products produced, or services provided. HCSR Household Employer Using Employer/Fiscal Agent		
18 Has the applicant entity shown on line 1 ever applied for and received an EIN? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes," write previous EIN here ▶		
Third Party Designee	Complete this section only if you want to authorize the named individual to receive the entity's EIN and answer questions about the completion of this form.	
	Designee's name Mickey Mouse	Designee's telephone number (include area code) 844-225-3659
	Address and ZIP code Disney Lane USA	Designee's fax number (include area code) 866-260-6260
Under penalties of perjury, I declare that I have examined this application, and to the best of my knowledge and belief, it is true, correct, and complete.		Applicant's telephone number (include area code)
Name and title (type or print clearly) ▶ Household Employer		Applicant's fax number (include area code)
Signature ▶		Date ▶

Do I Need an EIN?

File Form SS-4 if the applicant entity doesn't already have an EIN but is required to show an EIN on any return, statement, or other document.¹ See also the separate instructions for each line on Form SS-4.

IF the applicant...	AND...	THEN...
started a new business	doesn't currently have (nor expect to have) employees	complete lines 1, 2, 4a-8a, 8b-c (if applicable), 9a, 9b (if applicable), and 10-14 and 16-18.
hired (or will hire) employees, including household employees	doesn't already have an EIN	complete lines 1, 2, 4a-6, 7a-b, 8a, 8b-c (if applicable), 9a, 9b (if applicable), 10-18.
opened a bank account	needs an EIN for banking purposes only	complete lines 1-5b, 7a-b, 8a, 8b-c (if applicable), 9a, 9b (if applicable), 10, and 18.
changed type of organization	either the legal character of the organization or its ownership changed (for example, you incorporate a sole proprietorship or form a partnership) ²	complete lines 1-18 (as applicable).
purchased a going business ³	doesn't already have an EIN	complete lines 1-18 (as applicable).
created a trust	the trust is other than a grantor trust or an IRA trust ⁴	complete lines 1-18 (as applicable).
created a pension plan as a plan administrator ⁵	needs an EIN for reporting purposes	complete lines 1, 3, 4a-5b, 7a-b, 9a, 10, and 18.
is a foreign person needing an EIN to comply with IRS withholding regulations	needs an EIN to complete a Form W-8 (other than Form W-8ECI), avoid withholding on portfolio assets, or claim tax treaty benefits ⁶	complete lines 1-5b, 7a-b (SSN or ITIN as applicable), 8a, 8b-c (if applicable), 9a, 9b (if applicable), 10, and 18.
is administering an estate	needs an EIN to report estate income on Form 1041	complete lines 1-7b, 9a, 10-12, 13-17 (if applicable), and 18.
is a withholding agent for taxes on nonwage income paid to an alien (that is, individual, corporation, or partnership, etc.)	is an agent, broker, fiduciary, manager, tenant, or spouse who is required to file Form 1042, Annual Withholding Tax Return for U.S. Source Income of Foreign Persons	complete lines 1, 2, 3 (if applicable), 4a-5b, 7a-b, 8a, 8b-c (if applicable), 9a, 9b (if applicable), 10, and 18.
is a state or local agency	serves as a tax reporting agent for public assistance recipients under Rev. Proc. 80-4, 1980-1 C.B. 581 ⁷	complete lines 1, 2, 4a-5b, 7a-b, 9a, 10, and 18.
is a single-member LLC (or similar single-member entity)	needs an EIN to file Form 8832, Entity Classification Election, for filing employment tax returns and excise tax returns, or for state reporting purposes ⁸ , or is a foreign-owned U.S. disregarded entity and needs an EIN to file Form 5472, Information Return of a 25% Foreign-Owned U.S. Corporation or a Foreign Corporation Engaged in a U.S. Trade or Business	complete lines 1-18 (as applicable).
is an S corporation	needs an EIN to file Form 2553, Election by a Small Business Corporation ⁹	complete lines 1-18 (as applicable).

¹ For example, a sole proprietorship or self-employed farmer who establishes a qualified retirement plan, or is required to file excise, employment, alcohol, tobacco, or firearms returns, must have an EIN. A partnership, corporation, REMIC (real estate mortgage investment conduit), nonprofit organization (church, club, etc.), or farmers' cooperative must use an EIN for any tax-related purpose even if the entity doesn't have employees.

² However, don't apply for a new EIN if the existing entity only (a) changed its business name, (b) elected on Form 8832 to change the way it is taxed (or is covered by the default rules), or (c) terminated its partnership status because at least 50% of the total interests in partnership capital and profits were sold or exchanged within a 12-month period. The EIN of the terminated partnership should continue to be used. See Regulations section 301.6109-1(d)(2)(iii).

³ Don't use the EIN of the prior business unless you became the "owner" of a corporation by acquiring its stock.

⁴ However, grantor trusts that don't file using Optional Method 1 and IRA trusts that are required to file Form 990-T, Exempt Organization Business Income Tax Return, must have an EIN. For more information on grantor trusts, see the Instructions for Form 1041.

⁵ A plan administrator is the person or group of persons specified as the administrator by the instrument under which the plan is operated.

⁶ Entities applying to be a Qualified Intermediary (QI) need a QI-EIN even if they already have an EIN. See Rev. Proc. 2000-12.

⁷ See also *Household employer agent* in the instructions. **Note:** State or local agencies may need an EIN for other reasons, for example, hired employees.

⁸ See *Disregarded entities* in the instructions for details on completing Form SS-4 for an LLC.

⁹ An existing corporation that is electing or revoking S corporation status should use its previously-assigned EIN.

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)

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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)*	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Form 941, 941-PR, 941-SS (Employer's QUARTERLY Federal Tax Return)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Form 943, 943-PR (Employer's Annual Federal Tax Return for Agricultural Employees)	<input type="checkbox"/>	<input type="checkbox"/>
Form 944, 944(SP) (Employer's ANNUAL Federal Tax Return)	<input type="checkbox"/>	<input type="checkbox"/>
Form 945 (Annual Return of Withheld Federal Income Tax)	<input type="checkbox"/>	<input type="checkbox"/>
Form CT-1 (Employer's Annual Railroad Retirement Tax Return)	<input type="checkbox"/>	<input type="checkbox"/>
Form CT-2 (Employee Representative's Quarterly Railroad Tax Return)	<input type="checkbox"/>	<input type="checkbox"/>

*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. ➡

AUTHORIZED REPRESENTATIVE AGREEMENT

Participant/Employer Name

First: Last: PPL ID:

A Participant/Employer and/or their Guardian has the right to choose an Authorized Representative (AR). An AR may take some control for the Participant. The AR will involve the Participant as much as possible.

Complete this form to appoint an AR.

AR Name

First: Middle: Last:

Maiden or Previous:

AR Mailing Details

Address: Address 2 (APT., STE., etc.):

City: State: Zip Code:

AR Personal Details

Date of Birth: Social Security Number: Gender: Male Female Prefer not to disclose

Relationship to Participant:

Spouse Parent/Step-parent Child Sibling

Grandparent Grandchild Non-relative Legal Guardian/Power of Attorney

AR Contact Details

We need to have 2 ways of reaching you. Email is preferred.

Email:

Cell Phone: Home or Other Phone:

Terms and Conditions

I must:

- Not be the Participant's Employee.
- Be at least 18 years old.
- Understand the Participant's wishes.
- Follow through on the Participant's care choices.
- Send any requested information to XXXX Program staff.
- Keep Participant's personal details private.
- Work with the Cash and Counseling Consultant.
- Provide details needed when the Cash Management Plan (CMP) is developed.
- Help make sure the cash grant pays for what is outlined in the CMP.
- Maintain records of planned spending.
- Approve and submit non-labor invoices.
- Use XXXX Program funds to purchase the supports listed on the CMP. This occurs as directed by the Participant.
- Make sure that everything arranged with XXXX Program funds get paid. This includes all items and services.
- Complete and sign all forms, as needed.
- Visit the Participant as often as possible, but no less than 1 time per pay period.
- Live within an hour or 30 miles from the Participant.
- Be available to:
 - The Participant
 - Program staff

I may:

- Complete and sign program related:
 - Online data
 - Forms
 - Paperwork
 - Service shifts
- Perform Participant related duties, such as:
 - Review Employee payroll
 - Assist in managing Employee(s)
 - Manage service authorizations

I will receive no pay for representing the Participant./Employer

I agree to serve as the AR of the Participant. I understand my responsibilities and duties under NJ PPP. Either party can end this agreement at any time.

Repeated dismissals by the Participant/Employer may make replacing staff harder. This could raise state unemployment tax rates. The Participant/Employer must stay within their budget with the higher costs. The Participant/Employer must tell PPL when an Employee has been let go. PPL saves this information.

If the Employee's employment stops for 6 months or longer, they may have to complete new paperwork.

Medicaid Fraud

Medicaid Fraud is a crime. It can lead to penalties and/or jail time. I can report any suspected fraud to PPL, the MCO, and/or the State.

Electronic Signatures

PPL supports electronic signing of forms if it is lawful and applies. I agree to sign all paperwork electronically, as it pertains.

Electronic Visit Verification (EVV)

The Employee must clock in and clock out for their shift using an approved EVV method. Live-in employees may be exempt from this requirement.

Agree and Sign

We, the AR and Participant, confirm:

- We have read all of this form.
- The details provided are accurate and complete.
- Any false statement may result in the AR's dismissal.
- This document is not a contract between the signing parties, PPL, or the State.

Authorized Representative Signature:

Date:

Participant/Employer Signature:

Date:

SAMPLE

Public Partnerships LLC
Fiscal/Employer Agent
148 State Street, 6th Floor
Boston, MA 02109



Toll Free Numbers

Phone: 1-888-419-7753
TTY: 1-800-360-5899
Administrative Fax: 1-844-634-7304

PPL Customer Service

PPL has a Customer Service Center. This is for members, employees, and Support Brokers. The Customer Service Center can be reached by calling toll-free at 1-888-419-7753. Dedicated Customer Service Specialists will answer this number. The Customer Service Center is open between 9:00AM and 5:00 PM EST, Monday through Friday.

PPL has a separate phone line (1-800-360-5899) that connects callers to our TTY system. This is for people with hearing and/or speech impairments who use text telephones.

Our Customer Service Center telephone system has voicemail. This is used as a back up during business hours. It is also used on nights, weekends, and holidays. PPL will return any calls left on voicemail during business hours within one business day of the message.

PPL's Customer Service Center has experienced Customer Service Specialists. They are trained to communicate with a diverse group of people. Over half of our Customer Service Specialists speak both Spanish and English. We also have access to translation services through our Language Line. This is used to help people who speak other languages. PPL does not charge callers for translation services.

PPL enters all calls received, including complaints, into our computer system. We identify the member, the complaint, and the date it was made. We also track how we addressed the issue, and date it was resolved.

Please call us at 1-888-419-7753 if you have any questions.

TTY users please dial 1-800-360-5899.

We look forward to serving you.

Cost to Employer Reference Chart (New Employer)

The following chart shows you how much each employee will cost you based on the hourly rate you pay them. The total 'cost to you' is the amount that will come out of your annual budget allocation. This cost to you includes employer taxes that PPL will make on your behalf. The amount of those taxes are broken down below: (All amounts are for illustrative purposes. You may choose to pay your employee any amount you desire within program guidelines for services they provide) . Please note: Rates in the cost break down below are subject to annual change

EMPLOYEE WAGE	COST TO EMPLOYER if PA does not fit into any category.	COST TO EMPLOYER if PA is Foreign Student on VISA in US for Purpose of Providing Domestic Service (FICA & FUTA exempt)	COST TO EMPLOYER if PA is a Child Under 21 Employed by Parent (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Spouse Employed by Spouse (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Parent Employed by Child and Not Also Caring for Grandchild (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Parent Employed by Child and Caring for Grandchild (FUTA & SUI exempt)	COST TO EMPLOYER if PA is Under 18 Who is Also a Student (FICA exempt)
\$7.75	\$8.67	\$8.03	\$7.82	\$7.82	\$7.82	\$8.41	\$8.08
\$8.00	\$8.95	\$8.29	\$8.07	\$8.07	\$8.07	\$8.69	\$8.34
\$8.25	\$9.23	\$8.55	\$8.33	\$8.33	\$8.33	\$8.96	\$8.60
\$8.50	\$9.51	\$8.81	\$8.58	\$8.58	\$8.58	\$9.23	\$8.86
\$8.75	\$9.79	\$9.07	\$8.83	\$8.83	\$8.83	\$9.50	\$9.12
\$9.00	\$10.07	\$9.33	\$9.08	\$9.08	\$9.08	\$9.77	\$9.38
\$9.25	\$10.35	\$9.59	\$9.34	\$9.34	\$9.34	\$10.04	\$9.64
\$9.50	\$10.63	\$9.84	\$9.59	\$9.59	\$9.59	\$10.32	\$9.90
\$9.75	\$10.91	\$10.10	\$9.84	\$9.84	\$9.84	\$10.59	\$10.16
\$10.00	\$11.19	\$10.36	\$10.09	\$10.09	\$10.09	\$10.86	\$10.42
\$10.25	\$11.47	\$10.62	\$10.35	\$10.35	\$10.35	\$11.13	\$10.68
\$10.50	\$11.75	\$10.88	\$10.60	\$10.60	\$10.60	\$11.40	\$10.94
\$10.75	\$12.03	\$11.14	\$10.85	\$10.85	\$10.85	\$11.67	\$11.20
\$11.00	\$12.31	\$11.40	\$11.10	\$11.10	\$11.10	\$11.94	\$11.47
\$11.25	\$12.59	\$11.66	\$11.35	\$11.35	\$11.35	\$12.22	\$11.73
\$11.50	\$12.87	\$11.92	\$11.61	\$11.61	\$11.61	\$12.49	\$11.99
\$11.75	\$13.15	\$12.18	\$11.86	\$11.86	\$11.86	\$12.76	\$12.25
\$12.00	\$13.43	\$12.44	\$12.11	\$12.11	\$12.11	\$13.03	\$12.51
\$12.25	\$13.71	\$12.69	\$12.36	\$12.36	\$12.36	\$13.30	\$12.77
\$12.50	\$13.99	\$12.95	\$12.62	\$12.62	\$12.62	\$13.57	\$13.03
\$12.75	\$14.26	\$13.21	\$12.87	\$12.87	\$12.87	\$13.84	\$13.29
\$13.00	\$14.54	\$13.47	\$13.12	\$13.12	\$13.12	\$14.12	\$13.55
\$13.25	\$14.82	\$13.73	\$13.37	\$13.37	\$13.37	\$14.39	\$13.81
\$13.50	\$15.10	\$13.99	\$13.63	\$13.63	\$13.63	\$14.66	\$14.07
\$13.75	\$15.38	\$14.25	\$13.88	\$13.88	\$13.88	\$14.93	\$14.33
\$14.00	\$15.66	\$14.51	\$14.13	\$14.13	\$14.13	\$15.20	\$14.59

FICA (SS)	0.062
FICA (Medicare)	0.0145
FUTA	0.006
SUI	0.027
WC	0.0093
Total	0.1188

0.036 (SUI + WC)
0.042 (FUTA + SUI + WC)
0.0858 (FICA + WC)

14.25 = 15.94	17.50 = 19.58	23.00 = 25.73
14.50 = 16.22	18.00 = 20.14	24.00 = 26.85
14.75 = 16.50	18.50 = 20.70	25.00 = 27.97
15.00 = 16.78	19.00 = 21.26	
15.50 = 17.34	19.50 = 21.82	
16.00 = 17.90	20.00 = 22.38	
16.50 = 18.46	21.00 = 23.49	
17.00 = 19.02	22.00 = 24.61	

Cost to Employer Reference Chart (Highest SUI Rate)

The following chart shows you how much each employee will cost you based on the hourly rate you pay them. The total 'cost to you' is the amount that will come out of your annual budget allocation. This cost to you includes employer taxes that PPL will make on your behalf. The amount of those taxes are broken down below: *(All amounts are for illustrative purposes. You may choose to pay your employee any amount you desire within program guidelines for services they provide)*. **Please note: Rates in the cost break down below are subject to annual change**

EMPLOYEE WAGE	COST TO EMPLOYER if PA does not fit into any category.	COST TO EMPLOYER if PA is Foreign Student on VISA in US for Purpose of Providing Domestic Service (FICA & FUTA exempt)	COST TO EMPLOYER if PA is a Child Under 21 Employed by Parent (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Spouse Employed by Spouse (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Parent Employed by Child and Not Also Caring for Grandchild (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Parent Employed by Child and Caring for Grandchild (FUTA & SUI exempt)	COST TO EMPLOYER if PA is Under 18 Who is Also a Student (FICA exempt)
\$7.75	\$9.05	\$8.41	\$7.82	\$7.82	\$7.82	\$8.41	\$8.46
\$8.00	\$9.34	\$8.68	\$8.07	\$8.07	\$8.07	\$8.69	\$8.73
\$8.25	\$9.63	\$8.95	\$8.33	\$8.33	\$8.33	\$8.96	\$9.00
\$8.50	\$9.93	\$9.23	\$8.58	\$8.58	\$8.58	\$9.23	\$9.28
\$8.75	\$10.22	\$9.50	\$8.83	\$8.83	\$8.83	\$9.50	\$9.55
\$9.00	\$10.51	\$9.77	\$9.08	\$9.08	\$9.08	\$9.77	\$9.82
\$9.25	\$10.80	\$10.04	\$9.34	\$9.34	\$9.34	\$10.04	\$10.09
\$9.50	\$11.09	\$10.31	\$9.59	\$9.59	\$9.59	\$10.32	\$10.37
\$9.75	\$11.39	\$10.58	\$9.84	\$9.84	\$9.84	\$10.59	\$10.64
\$10.00	\$11.68	\$10.85	\$10.09	\$10.09	\$10.09	\$10.86	\$10.91
\$10.25	\$11.97	\$11.12	\$10.35	\$10.35	\$10.35	\$11.13	\$11.19
\$10.50	\$12.26	\$11.40	\$10.60	\$10.60	\$10.60	\$11.40	\$11.46
\$10.75	\$12.55	\$11.67	\$10.85	\$10.85	\$10.85	\$11.67	\$11.73
\$11.00	\$12.85	\$11.94	\$11.10	\$11.10	\$11.10	\$11.94	\$12.00
\$11.25	\$13.14	\$12.21	\$11.35	\$11.35	\$11.35	\$12.22	\$12.28
\$11.50	\$13.43	\$12.48	\$11.61	\$11.61	\$11.61	\$12.49	\$12.55
\$11.75	\$13.72	\$12.75	\$11.86	\$11.86	\$11.86	\$12.76	\$12.82
\$12.00	\$14.01	\$13.02	\$12.11	\$12.11	\$12.11	\$13.03	\$13.10
\$12.25	\$14.31	\$13.29	\$12.36	\$12.36	\$12.36	\$13.30	\$13.37
\$12.50	\$14.60	\$13.57	\$12.62	\$12.62	\$12.62	\$13.57	\$13.64
\$12.75	\$14.89	\$13.84	\$12.87	\$12.87	\$12.87	\$13.84	\$13.91
\$13.00	\$15.18	\$14.11	\$13.12	\$13.12	\$13.12	\$14.12	\$14.19
\$13.25	\$15.47	\$14.38	\$13.37	\$13.37	\$13.37	\$14.39	\$14.46
\$13.50	\$15.77	\$14.65	\$13.63	\$13.63	\$13.63	\$14.66	\$14.73
\$13.75	\$16.06	\$14.92	\$13.88	\$13.88	\$13.88	\$14.93	\$15.01
\$14.00	\$16.35	\$15.19	\$14.13	\$14.13	\$14.13	\$15.20	\$15.28

FICA (SS)	0.062
FICA (Medicare)	0.0145
FUTA	0.006
SUI	0.076
WC	0.0093
Total	0.1678

0.085

0.091

0.0858

(SUI + WC)

(FUTA + SUI + WC)

(FICA + WC)

14.25 = 16.64	17.50 = 20.44	23.00 = 26.86
14.50 = 16.93	18.00 = 21.02	24.00 = 28.03
14.75 = 17.23	18.50 = 21.60	25.00 = 29.20
15.00 = 17.52	19.00 = 22.19	
15.50 = 18.10	19.50 = 22.77	
16.00 = 18.68	20.00 = 23.36	
16.50 = 19.27	21.00 = 24.52	
17.00 = 19.85	22.00 = 25.69	

Informational Form

Cost to Employer Reference Chart (Lowest SUI Rate)

The following chart shows you how much each employee will cost you based on the hourly rate you pay them. The total 'cost to you' is the amount that will come out of your annual budget allocation. This cost to you includes employer taxes that PPL will make on your behalf. The amount of those taxes are broken down below: *(All amounts are for illustrative purposes. You may choose to pay your employee any amount you desire within program guidelines for services they provide)*. **Please note: Rates in the cost break down below are subject to annual change**

EMPLOYEE WAGE	COST TO EMPLOYER if PA does not fit into any category.	COST TO EMPLOYER if PA is Foreign Student on VISA in US for Purpose of Providing Domestic Service (FICA & FUTA exempt)	COST TO EMPLOYER if PA is a Child Under 21 Employed by Parent (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Spouse Employed by Spouse (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Parent Employed by Child and Not Also Caring for Grandchild (FICA, FUTA & SUI exempt)	COST TO EMPLOYER if PA is a Parent Employed by Child and Caring for Grandchild (FUTA & SUI exempt)	COST TO EMPLOYER if PA is Under 18 Who is Also a Student (FICA exempt)
\$7.75	\$8.48	\$7.84	\$7.82	\$7.82	\$7.82	\$8.41	\$7.88
\$8.00	\$8.75	\$8.09	\$8.07	\$8.07	\$8.07	\$8.69	\$8.14
\$8.25	\$9.02	\$8.34	\$8.33	\$8.33	\$8.33	\$8.96	\$8.39
\$8.50	\$9.30	\$8.60	\$8.58	\$8.58	\$8.58	\$9.23	\$8.65
\$8.75	\$9.57	\$8.85	\$8.83	\$8.83	\$8.83	\$9.50	\$8.90
\$9.00	\$9.84	\$9.10	\$9.08	\$9.08	\$9.08	\$9.77	\$9.16
\$9.25	\$10.12	\$9.35	\$9.34	\$9.34	\$9.34	\$10.04	\$9.41
\$9.50	\$10.39	\$9.61	\$9.59	\$9.59	\$9.59	\$10.32	\$9.66
\$9.75	\$10.66	\$9.86	\$9.84	\$9.84	\$9.84	\$10.59	\$9.92
\$10.00	\$10.94	\$10.11	\$10.09	\$10.09	\$10.09	\$10.86	\$10.17
\$10.25	\$11.21	\$10.37	\$10.35	\$10.35	\$10.35	\$11.13	\$10.43
\$10.50	\$11.48	\$10.62	\$10.60	\$10.60	\$10.60	\$11.40	\$10.68
\$10.75	\$11.76	\$10.87	\$10.85	\$10.85	\$10.85	\$11.67	\$10.94
\$11.00	\$12.03	\$11.12	\$11.10	\$11.10	\$11.10	\$11.94	\$11.19
\$11.25	\$12.31	\$11.38	\$11.35	\$11.35	\$11.35	\$12.22	\$11.44
\$11.50	\$12.58	\$11.63	\$11.61	\$11.61	\$11.61	\$12.49	\$11.70
\$11.75	\$12.85	\$11.88	\$11.86	\$11.86	\$11.86	\$12.76	\$11.95
\$12.00	\$13.13	\$12.14	\$12.11	\$12.11	\$12.11	\$13.03	\$12.21
\$12.25	\$13.40	\$12.39	\$12.36	\$12.36	\$12.36	\$13.30	\$12.46
\$12.50	\$13.67	\$12.64	\$12.62	\$12.62	\$12.62	\$13.57	\$12.72
\$12.75	\$13.95	\$12.89	\$12.87	\$12.87	\$12.87	\$13.84	\$12.97
\$13.00	\$14.22	\$13.15	\$13.12	\$13.12	\$13.12	\$14.12	\$13.22
\$13.25	\$14.49	\$13.40	\$13.37	\$13.37	\$13.37	\$14.39	\$13.48
\$13.50	\$14.77	\$13.65	\$13.63	\$13.63	\$13.63	\$14.66	\$13.73
\$13.75	\$15.04	\$13.91	\$13.88	\$13.88	\$13.88	\$14.93	\$13.99
\$14.00	\$15.31	\$14.16	\$14.13	\$14.13	\$14.13	\$15.20	\$14.24

FICA (SS)	0.062
FICA (Medicare)	0.0145
FUTA	0.006
SUI	0.002
WC	0.0093
Total	0.0938

0.011 (SUI + WC)
0.017 (FUTA + SUI + WC)
0.0858 (FICA + WC)

14.25 = 15.59	17.50 = 19.14	23.00 = 25.16
14.50 = 15.86	18.00 = 19.69	24.00 = 26.25
14.75 = 16.13	18.50 = 20.24	25.00 = 27.35
15.00 = 16.41	19.00 = 20.78	
15.50 = 16.95	19.50 = 21.33	
16.00 = 17.50	20.00 = 21.88	
16.50 = 18.05	21.00 = 22.97	
17.00 = 18.59	22.00 = 24.06	

Informational Form

FORMAL COMPLAINT

Public Partnerships LLC (PPL) strives to provide the highest quality service possible. If you are unhappy with our services, please complete this form. All fields must be filled in. If any fields are left blank, PPL will contact you to request the form be corrected and re-submitted. If more details are needed, staff from PPL will contact you. If no further details are needed, we will respond within 5 business days.

Your Details

First Name:

Last Name:

PPL ID (if applies):

Your role with NJ DDD:

- Individual
 Employer of Record
 Employee
 Representative
 Contractor or Agency
 Other:

Best Method of Contact:

- Email
 Phone

Email Address:

Phone Number:

Complaint Details

Complaint Type:

- Individual Enrollment
 Employee Enrollment
 Payment
 Taxes
 Customer Service
 Other:

Explain the reason for the complaint. Include as much detail as possible. DO NOT include your or anyone else's personal details, such as SSN, EIN, or ITIN on this form.

Desired Outcome

Please tell us how we can better meet your expectations.

Submitter Signature:

Date:

FORMAL COMPLAINT APPEAL

Complete this form if you wish to appeal a complaint response from Public Partnerships LLC (PPL). All fields must be filled in. If any fields are left blank, PPL will contact you to request the form be corrected and re-submitted. If more details are needed, staff from PPL will contact you. If no further details are needed, we will respond within 5 business days.

Your Details

First Name:

Last Name:

PPL ID (if applies):

Your role with NJ DDD:

Individual Employer of Record Employee Representative

Contractor or Agency

Other:

Best Method of Contact:

Email Phone

Email Address:

Phone Number:

Date Submitted:

Complaint Appeal

Please explain the reason for the appeal. Describe why you disagree with the official response from PPL

Desired Outcome

Please tell us how we can better meet your expectations.

Submitter Signature:

Date:

EMPLOYMENT AGREEMENT

Employee Name

First: Last: PPL ID:

Participant Name

First: Last: PPL ID:

This agreement sets forth the responsibilities between the Employer and Employee. Read this form in full so you understand what is required of you and others.

Terms and Conditions

1. I am 16 years of age or older.
2. Legally Responsible persons can only be a paid Employee if someone else is an Authorized Representative. Legally Responsible persons include any:
 - Legal Guardian
 - Power of Attorney
 - Conservator
 - Representative Payee
3. Criminal Background Checks (CBC) are optional in the XXXX Program. XX Division of Medical Assistance and Health Services (DMAHS) allows Employers to request a CBC.
4. If my Employer requests a CBC, I authorize PPL to submit my details for a state-wide check.
5. I am an employee of the Participant/Employer. I am not an employee of:
 - Public Partnerships LLC (PPL)
 - XX DMAHS
6. This agreement does not:
 - Promise a certain number of hours of work
 - Prevent the Participant from hiring other Employees
7. I cannot work and be paid by the program for more hours than my Participant /Employer approves.
8. I must keep personal details shared with me private.
9. I will:
 - Be subject to a record check of the XX Central Registry
 - Carry out duties and jobs explained and assigned to me by my Participant/Employer
 - Let all affiliated agencies know if I cannot contact my Participant/Employer
 - Be dependable. I will report to work on time. If I am ill or unable to report to work on time, I will call the Participant
 - Not provide more than 16 hours of continuous service without at least a four-hour break between shifts
 - Give the Participant two weeks written notice if I decide to end this employment agreement
 - Let PPL know if my personal details change
 - Be covered by:
 - Workers' compensation insurance
 - Unemployment insurance
 - Immediately report, to the XX Department of Human Services (DHS) hotline, any possible:
 - Neglect
 - Abuse
 - Misuse of funds or property
10. Results of the CBC and XX Central Registry record search will, upon request, be given to:
 - The State Program Office (SPO)
 - PPL
 - The Participant
 - The Employee

C.

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

Please find our sample Employee enrollment packet. As this is a sample, please note that the Arkansas program enrollment contents will be defined during implementation.

public partnerships



Your #1 choice for self-directed care™

SAMPLE *EMPLOYEE* ENROLLMENT PACKET

EMPLOYEE ENROLLMENT

This form is the first step in the enrollment and onboarding process with Public Partnerships LLC (PPL). The details you provide on this form will be used for both employment and payment choices. Please complete this form.

Employee Name

First:

Middle:

Last:

Maiden or Previous Last:

Employee Address (where you live)

Street (no PO Box):

Street 2 (APT., STE., etc.):

City:

State:

Zip Code:

County:

Municipality:

Select if address where you live is the same as mailing address

If not, complete the Mailing Address section below.

Address:

Address 2 (APT., STE., etc.):

City:

State:

Zip Code:

Employee Personal Details

Date of Birth:

Social Security Number:

Gender:

Male

Female

Prefer not to disclose

Employee Contact Details

We need to have 2 ways of reaching you. Email is preferred.

Email:

Cell Phone:

Home or Other Phone:

Please select how you want to be paid: Direct Deposit to your Bank Account or by Debit Card. You will be paid by paper check until direct deposit is set up. It takes one to two pay periods for direct deposit to become active. If you need to update your bank account details, you must submit a Direct Deposit Update form.

Select this option if you would like all payments to be deposited in the same account for all Participants you work for.

Payment Information

Direct Deposit to Bank Account

Account Type (select one): Checking Account Savings Account

Banking Institution Name:

Routing Number:

--	--	--	--	--	--	--	--	--	--

Account Number:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Deposit to Debit Card

If you select Debit Card as your payment method, you must provide PPL with an address where you live. If you work for more than one Participant, all payments will be on one pay card.

Pay Stub

Your pay stub is available through the web portal or the mobile app. If you do not have access to the internet, then select the checkbox below.

Please send my pay stub in the mail.

Employee Directory Opt-In

If available, would you like to be added to a directory to help Participants locate Employees in their area?

Yes, please list my name and basic contact details in an Employee directory.

No, I would prefer not to be listed in an Employee directory.

PPL Terms and Conditions

I understand and accept:

1. PPL is not my employer.
2. PPL will help my employer collect my personal details needed to complete the employment forms. PPL, as an FEA (Fiscal Employer Agent), will support my employer in processing their taxes and payroll tasks.
3. Information provided to PPL, on behalf of my employer, can/will be used to fill required forms for employment that are required under Federal/State and Self-Directed Services programs.
4. PPL will collect my account numbers only to process my payment on behalf of my employer.
5. PPL will process my payment only after my employer approves my service shift.
6. Through PPL I can select my preferred method of contact. PPL can contact me through phone calls, email, and regular mail with details provided by me.
7. If I want to find out other ways PPL might use my details, I can find it in PPL's Privacy Policy on their website.

Agree and Sign

The Employee confirms:

- I have read all of this form.
- The details I have provided are accurate and complete.
- Any false statement on this form may result in my dismissal.
- This document is not a contract between the Employee, PPL, or the State.
- Employment depends on verifying my right to work in the US.
- PPL can deposit my payment directly into my bank account based on my choice above.
- If I fail to provide complete and accurate information on this form, processing may be delayed or made impossible, or my electronic payments may be erroneously made.
- PPL can withdraw from the designated account all amounts deposited electronically in error.
- If my account is closed, or does not have enough money to allow withdrawal, PPL can withhold any payment owed to me until the incorrect deposited amounts are repaid.
- If I want to cancel direct deposit, I will contact PPL customer service and provide both the account and routing number.

Employee Signature:

Date:

EMPLOYMENT AGREEMENT

Employee Name

First: Last: PPL ID:

Participant Name

First: Last: PPL ID:

This agreement sets forth the responsibilities between the Employer and Employee. Read this form in full so you understand what is required of you and others.

Terms and Conditions

1. I am 16 years of age or older.
2. Legally Responsible persons can only be a paid Employee if someone else is an Authorized Representative. Legally Responsible persons include any:
 - Legal Guardian
 - Power of Attorney
 - Conservator
 - Representative Payee
3. Criminal Background Checks (CBC) are optional in the XXXX Program. XX Division of Medical Assistance and Health Services (DMAHS) allows Employers to request a CBC.
4. If my Employer requests a CBC, I authorize PPL to submit my details for a state-wide check.
5. I am an employee of the Participant/Employer. I am not an employee of:
 - Public Partnerships LLC (PPL)
 - XX DMAHS
6. This agreement does not:
 - Promise a certain number of hours of work
 - Prevent the Participant from hiring other Employees
7. I cannot work and be paid by the program for more hours than my Participant /Employer approves.
8. I must keep personal details shared with me private.
9. I will:
 - Be subject to a record check of the XX Central Registry
 - Carry out duties and jobs explained and assigned to me by my Participant/Employer
 - Let all affiliated agencies know if I cannot contact my Participant/Employer
 - Be dependable. I will report to work on time. If I am ill or unable to report to work on time, I will call the Participant
 - Not provide more than 16 hours of continuous service without at least a four-hour break between shifts
 - Give the Participant two weeks written notice if I decide to end this employment agreement
 - Let PPL know if my personal details change
 - Be covered by:
 - Workers' compensation insurance
 - Unemployment insurance
 - Immediately report, to the XX Department of Human Services (DHS) hotline, any possible:
 - Neglect
 - Abuse
 - Misuse of funds or property
10. Results of the CBC and XX Central Registry record search will, upon request, be given to:
 - The State Program Office (SPO)
 - PPL
 - The Participant
 - The Employee

Terms and Conditions

11. My Participant /Employer will:
- Tell me if I am hired
 - Tell me my start date, based on the “Good-to-Go” notice from PPL
 - Set the terms of my employment. This includes the option to dismiss me from service
 - Explain what I will be doing on the job
 - Set an agreed work schedule
 - Approve my service shifts
12. I can be terminated (cannot be rehired) if:
- My name has been placed on a Disqualification Registry or list maintained by:
 - XX DMAHS
 - US Office of Inspector General (OIG)
 - I abuse, neglect, or misuse funds or property of the Participant
 - I commit fraud
 - I violate the terms of this Agreement
13. PPL pays me on behalf of my Participant./Employer
14. I cannot submit service shifts or be paid through the program if:
- My Participant/Employer no longer has Medicaid
 - Services are not authorized
 - I work before PPL issues a “Good-to-Go” notice
 - I am no longer eligible under program rules to provide services
 - The Participant /Employer is hospitalized
 - The Participant /Employer is in a nursing home or similar facility
 - Service shifts are submitted for services not authorized on the Participant’/Employer’s CMP
15. I am paid with federal and/or state funds. Submitting accurate information is required by law.
16. If I am paid for work I did not do, I will have to pay it back. XXXX Program, through PPL, will pursue all legal means to recover this amount.
17. To be paid, my service shift time must be correct and approved.
- If my employment stops for 6 months or longer, I may have to complete new paperwork.

Medicaid Fraud

Medicaid Fraud is a crime. It can lead to penalties and/or jail time. I can report any suspected fraud to PPL, the MCO, and/or the State.

Overtime

Overtime is not permitted unless I qualify for a live-in exemption (LIE). I will not provide more than 40 hours of service per week, per employer.

If I qualify for a LIE, I may be scheduled to work more than 40 hours per week. This time will be paid at my regular pay rate.

The XXXX Program work week is Monday through Sunday.

Electronic Signatures

PPL supports electronic signing of forms if it is lawful and applies. I agree to sign all paperwork electronically, as it pertains.

Electronic Visit Verification (EVV)

I must clock in and clock out for service shifts using an approved EVV method. Live-in employees may be exempt from this requirement.

Agree and Sign

I confirm:

- I have read all of this form.
- The details I have provided are accurate and complete.
- I agree to the terms of this Agreement.
- If employed, any false statement on this form may result in dismissal and further actions.
- This form is not meant to be a contract of employment.
- Employment depends upon verifying my right to work in the US.
- I hold harmless, release, and forever discharge NJ DMAHS and PPL from any claims and/or damages that might arise out of any action or omissions by me (Employee) or the Participant.
- I agree to follow the policies and procedures of the NJ PPP.
- Any of the terms, conditions, and responsibilities above may be changed or waived at the discretion of the Program and/or the MCO.

Employee Signature:

Date:

Employee Forms

BACKGROUND CHECK CONSENT

Employee Name

First: Last: PPL ID:

Participant Name

First: Last: PPL ID:

The XXXX Program, through Public Partnerships LLC (PPL), may be asked to conduct or obtain background checks on Employees providing services to XXXX Program Employers. This will happen if a Employer you provide services for requests a background check to be performed on you. These background checks are known as consumer reports.

By signing below, you are giving PPL and/or the consumer reporting agency your consent to conduct, obtain, and share the results of the background check. This will be on an ongoing basis as a condition of:

- Providing services to the program Participant
- Receiving payment with public funds as an employee

Agree and Sign

I agree and confirm:

- I have read all of this form.
- This form is not meant to be a contract of employment.
- I give my consent to have a background check conducted on me.

Employee Signature:

Date:



Employment Eligibility Verification
Department of Homeland Security
 U.S. Citizenship and Immigration Services

USCIS
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 documentation presented has a future expiration date may also constitute illegal discrimination.

Section 1. Employee Information and Attestation *(Employees must complete and sign Section 1 of Form I-9 no later than the first day of employment, but not before accepting a job offer.)*

Last Name <i>(Family Name)</i>		First Name <i>(Given Name)</i>		Middle Initial	Other Last Names Used <i>(if any)</i>	
Address <i>(Street Number and Name)</i>			Apt. Number	City or Town		State ZIP Code
Date of Birth <i>(mm/dd/yyyy)</i>	U.S. Social Security Number □□□□ - □□ - □□□□		Employee's E-mail Address		Employee's Telephone Number	

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 attest, under penalty of perjury, that I am (check one of the following boxes):

<input type="checkbox"/> 1. A citizen of the United States	
<input type="checkbox"/> 2. A noncitizen national of the United States <i>(See instructions)</i>	
<input type="checkbox"/> 3. A lawful permanent resident (Alien Registration Number/USCIS Number): _____	
<input type="checkbox"/> 4. An alien authorized to work until (expiration date, if applicable, mm/dd/yyyy): _____ Some aliens may write "N/A" in the expiration date field. <i>(See instructions)</i>	
<p><i>Aliens authorized to work must provide only one of the following document numbers to complete Form I-9: An Alien Registration Number/USCIS Number OR Form I-94 Admission Number OR Foreign Passport Number.</i></p> <p>1. Alien Registration Number/USCIS Number: _____ OR 2. Form I-94 Admission Number: _____ OR 3. Foreign Passport Number: _____ Country of Issuance: _____</p>	
QR Code - Section 1 Do Not Write In This Space	

Signature of Employee	Today's Date <i>(mm/dd/yyyy)</i>
-----------------------	----------------------------------

Preparer and/or Translator Certification (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 or Translator		Today's Date <i>(mm/dd/yyyy)</i>	
Last Name <i>(Family Name)</i>		First Name <i>(Given Name)</i>	
Address <i>(Street Number and Name)</i>		City or Town	State ZIP Code

STOP *Employer Completes Next Page* STOP



Employment Eligibility Verification
Department of Homeland Security
 U.S. Citizenship and Immigration Services

USCIS
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 Info from Section 1	Last Name (Family Name)	First Name (Given Name)	M.I.	Citizenship/Immigration Status
-------------------------------------	-------------------------	-------------------------	------	--------------------------------

List A Identity and Employment Authorization	OR	List B Identity	AND	List C Employment Authorization
Document Title		Document Title		Document Title
Issuing Authority		Issuing Authority		Issuing Authority
Document Number		Document Number		Document Number
Expiration Date (if any) (mm/dd/yyyy)		Expiration Date (if any) (mm/dd/yyyy)		Expiration Date (if any) (mm/dd/yyyy)
Document Title		Additional Information		QR Code - Sections 2 & 3 Do Not Write In This Space
Issuing Authority				
Document Number				
Expiration Date (if any) (mm/dd/yyyy)				
Document Title				
Issuing Authority				
Document Number				
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.

The employee's first day of employment (mm/dd/yyyy): _____ **(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	ZIP Code

Section 3. Reverification and Rehires *(To be completed and signed by employer or authorized representative.)*

A. New Name (if applicable)			B. Date of Rehire (if applicable)	
Last Name (Family Name)	First Name (Given Name)	Middle Initial	Date (mm/dd/yyyy)	

C. If the employee's previous grant of employment authorization has expired, provide the information for the document or receipt that establishes continuing employment authorization in the space provided below.

Document Title	Document Number	Expiration Date (if any) (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	Today's Date (mm/dd/yyyy)	Name of Employer or Authorized Representative
--	---------------------------	---

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 Authorization
<ol style="list-style-type: none"> 1. U.S. Passport or U.S. Passport Card 2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551) 3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa 4. Employment Authorization Document that contains a photograph (Form I-766) 5. For a nonimmigrant alien authorized to work for a specific employer because of his or her status: <ol style="list-style-type: none"> a. Foreign passport; and b. Form I-94 or Form I-94A that has the following: <ol style="list-style-type: none"> (1) The same name as the passport; and (2) An endorsement of the alien's nonimmigrant status as long as that period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form. 6. Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI 	OR	<ol style="list-style-type: none"> 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 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 3. School ID card with a photograph 4. Voter's registration card 5. U.S. Military card or draft record 6. Military dependent's ID card 7. U.S. Coast Guard Merchant Mariner Card 8. Native American tribal document 9. Driver's license issued by a Canadian government authority <li style="text-align: center;">For persons under age 18 who are unable to present a document listed above: 10. School record or report card 11. Clinic, doctor, or hospital record 12. Day-care or nursery school record 	AND	<ol style="list-style-type: none"> 1. A Social Security Account Number card, unless the card includes one of the following restrictions: <ol style="list-style-type: none"> (1) NOT VALID FOR EMPLOYMENT (2) VALID FOR WORK ONLY WITH INS AUTHORIZATION (3) VALID FOR WORK ONLY WITH DHS AUTHORIZATION 2. Certification of report of birth issued by the Department of State (Forms DS-1350, FS-545, FS-240) 3. Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory of the United States bearing an official seal 4. Native American tribal document 5. U.S. Citizen ID Card (Form I-197) 6. Identification Card for Use of Resident Citizen in the United States (Form I-179) 7. Employment authorization document issued by the Department of Homeland Security

Examples of many of these documents appear in the Handbook for Employers (M-274).

Refer to the instructions for more information about acceptable receipts.

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>	<p>1. CHECK ONE OF THE FOLLOWING FOR EXEMPTIONS CLAIMED</p> <p>a. <input type="checkbox"/> You claim yourself. <i>(Enter one exemption)</i> 1a</p> <p>b. <input type="checkbox"/> You claim yourself and your spouse. <i>(Enter two exemptions)</i> 1b</p> <p>c. <input type="checkbox"/> Head of Household, and you claim yourself. <i>(Enter two exemptions)</i> 1c</p>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<p>2. NUMBER OF CHILDREN or DEPENDENTS. <i>(Enter one exemption per dependent)</i> 2</p>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<p>3. TOTAL EXEMPTIONS. <i>(Add Lines 1a, b, c, and 2)</i> If no exemptions or dependents are claimed, enter zero..... 3</p>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<p>4. Additional amount, if any, you want deducted from each paycheck. <i>(Enter dollar amount)</i> 4</p>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<p>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</p>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="text-align: right; padding-right: 10px;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>

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

Employee's Withholding Certificate

▶ **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.**

2021

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 2021 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)
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General Instructions

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 2021 if you meet both of the following conditions: you had no federal income tax liability in 2020 **and** you expect to have no federal income tax liability in 2021. You had no federal income tax liability in 2020 if (1) your total tax on line 24 on your 2020 Form 1040 or 1040-SR is zero (or less than the sum of lines 27, 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 2021 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, 2022.

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. 972, Child Tax Credit and Credit for Other Dependents. You can also include **other tax credits** in this step, such as education tax credits and the foreign tax credit. 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 2021 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
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
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
c Add the amounts from lines 2a and 2b and enter the result on line 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.
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)

Step 4(b) – Deductions Worksheet (Keep for your records.)



- 1 Enter an estimate of your 2021 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
2 Enter: { \$25,100 if you're married filing jointly or qualifying widow(er); \$18,800 if you're head of household; \$12,550 if you're single or married filing separately }
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-"
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
5 Add lines 3 and 4. Enter the result here and in Step 4(b) of Form W-4

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	\$190	\$850	\$890	\$1,020	\$1,020	\$1,020	\$1,020	\$1,020	\$1,100	\$1,870	\$1,870
\$10,000 - 19,999	190	1,190	1,890	2,090	2,220	2,220	2,220	2,220	2,300	3,300	4,070	4,070
\$20,000 - 29,999	850	1,890	2,750	2,950	3,080	3,080	3,080	3,160	4,160	5,160	5,930	5,930
\$30,000 - 39,999	890	2,090	2,950	3,150	3,280	3,280	3,360	4,360	5,360	6,360	7,130	7,130
\$40,000 - 49,999	1,020	2,220	3,080	3,280	3,410	3,490	4,490	5,490	6,490	7,490	8,260	8,260
\$50,000 - 59,999	1,020	2,220	3,080	3,280	3,490	4,490	5,490	6,490	7,490	8,490	9,260	9,260
\$60,000 - 69,999	1,020	2,220	3,080	3,360	4,490	5,490	6,490	7,490	8,490	9,490	10,260	10,260
\$70,000 - 79,999	1,020	2,220	3,160	4,360	5,490	6,490	7,490	8,490	9,490	10,490	11,260	11,260
\$80,000 - 99,999	1,020	3,150	5,010	6,210	7,340	8,340	9,340	10,340	11,340	12,340	13,260	13,460
\$100,000 - 149,999	1,870	4,070	5,930	7,130	8,260	9,320	10,520	11,720	12,920	14,120	15,090	15,290
\$150,000 - 239,999	2,040	4,440	6,500	7,900	9,230	10,430	11,630	12,830	14,030	15,230	16,190	16,400
\$240,000 - 259,999	2,040	4,440	6,500	7,900	9,230	10,430	11,630	12,830	14,030	15,270	17,040	18,040
\$260,000 - 279,999	2,040	4,440	6,500	7,900	9,230	10,430	11,630	12,870	14,870	16,870	18,640	19,640
\$280,000 - 299,999	2,040	4,440	6,500	7,900	9,230	10,470	12,470	14,470	16,470	18,470	20,240	21,240
\$300,000 - 319,999	2,040	4,440	6,500	7,940	10,070	12,070	14,070	16,070	18,070	20,070	21,840	22,840
\$320,000 - 364,999	2,720	5,920	8,780	10,980	13,110	15,110	17,110	19,110	21,190	23,490	25,560	26,860
\$365,000 - 524,999	2,970	6,470	9,630	12,130	14,560	16,860	19,160	21,460	23,760	26,060	28,130	29,430
\$525,000 and over	3,140	6,840	10,200	12,900	15,530	18,030	20,530	23,030	25,530	28,030	30,300	31,800

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	\$440	\$940	\$1,020	\$1,020	\$1,410	\$1,870	\$1,870	\$1,870	\$1,870	\$2,030	\$2,040	\$2,040
\$10,000 - 19,999	940	1,540	1,620	2,020	3,020	3,470	3,470	3,470	3,640	3,840	3,840	3,840
\$20,000 - 29,999	1,020	1,620	2,100	3,100	4,100	4,550	4,550	4,720	4,920	5,120	5,120	5,120
\$30,000 - 39,999	1,020	2,020	3,100	4,100	5,100	5,550	5,720	5,920	6,120	6,320	6,320	6,320
\$40,000 - 59,999	1,870	3,470	4,550	5,550	6,690	7,340	7,540	7,740	7,940	8,140	8,150	8,150
\$60,000 - 79,999	1,870	3,470	4,690	5,890	7,090	7,740	7,940	8,140	8,340	8,540	9,190	9,990
\$80,000 - 99,999	2,000	3,810	5,090	6,290	7,490	8,140	8,340	8,540	9,390	10,390	11,190	11,990
\$100,000 - 124,999	2,040	3,840	5,120	6,320	7,520	8,360	9,360	10,360	11,360	12,360	13,410	14,510
\$125,000 - 149,999	2,040	3,840	5,120	6,910	8,910	10,360	11,360	12,450	13,750	15,050	16,160	17,260
\$150,000 - 174,999	2,220	4,830	6,910	8,910	10,910	12,600	13,900	15,200	16,500	17,800	18,910	20,010
\$175,000 - 199,999	2,720	5,320	7,490	9,790	12,090	13,850	15,150	16,450	17,750	19,050	20,150	21,250
\$200,000 - 249,999	2,970	5,880	8,260	10,560	12,860	14,620	15,920	17,220	18,520	19,820	20,930	22,030
\$250,000 - 399,999	2,970	5,880	8,260	10,560	12,860	14,620	15,920	17,220	18,520	19,820	20,930	22,030
\$400,000 - 449,999	2,970	5,880	8,260	10,560	12,860	14,620	15,920	17,220	18,520	19,910	21,220	22,520
\$450,000 and over	3,140	6,250	8,830	11,330	13,830	15,790	17,290	18,790	20,290	21,790	23,100	24,400

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	\$820	\$930	\$1,020	\$1,020	\$1,020	\$1,420	\$1,870	\$1,870	\$1,910	\$2,040	\$2,040
\$10,000 - 19,999	820	1,900	2,130	2,220	2,220	2,620	3,620	4,070	4,110	4,310	4,440	4,440
\$20,000 - 29,999	930	2,130	2,360	2,450	2,850	3,850	4,850	5,340	5,540	5,740	5,870	5,870
\$30,000 - 39,999	1,020	2,220	2,450	2,940	3,940	4,940	5,980	6,630	6,830	7,030	7,160	7,160
\$40,000 - 59,999	1,020	2,470	3,700	4,790	5,800	7,000	8,200	8,850	9,050	9,250	9,380	9,380
\$60,000 - 79,999	1,870	4,070	5,310	6,600	7,800	9,000	10,200	10,850	11,050	11,250	11,520	12,320
\$80,000 - 99,999	1,880	4,280	5,710	7,000	8,200	9,400	10,600	11,250	11,590	12,590	13,520	14,320
\$100,000 - 124,999	2,040	4,440	5,870	7,160	8,360	9,560	11,240	12,690	13,690	14,690	15,670	16,770
\$125,000 - 149,999	2,040	4,440	5,870	7,240	9,240	11,240	13,240	14,690	15,890	17,190	18,420	19,520
\$150,000 - 174,999	2,040	4,920	7,150	9,240	11,240	13,290	15,590	17,340	18,640	19,940	21,170	22,270
\$175,000 - 199,999	2,720	5,920	8,150	10,440	12,740	15,040	17,340	19,090	20,390	21,690	22,920	24,020
\$200,000 - 249,999	2,970	6,470	9,000	11,390	13,690	15,990	18,290	20,040	21,340	22,640	23,880	24,980
\$250,000 - 349,999	2,970	6,470	9,000	11,390	13,690	15,990	18,290	20,040	21,340	22,640	23,880	24,980
\$350,000 - 449,999	2,970	6,470	9,000	11,390	13,690	15,990	18,290	20,040	21,340	22,640	23,900	25,200
\$450,000 and over	3,140	6,840	9,570	12,160	14,660	17,160	19,660	21,610	23,110	24,610	26,050	27,350

EMPLOYEE SERVICES AND RATES

Employee Name

First: Last: PPL ID:

Participant Name

First: Last: PPL ID:

This form can be used to enter new Employee service and hourly rate details or to make a change to an existing Employee's details.

- Services require prior authorization by the XXXX Program, through an approved Cash Management Plan (CMP).
- The Employee's pay rate is agreed to by the Employer and the Employee.
- Pay rate must be State required Minimum Wage up to a maximum of \$25.00 per hour.
- Enter the pay rate per hour for each service this Employee will provide.
- The Employee will complete and sign this form with the Participant.

"Change Hourly Rate" should be marked ONLY if the Employee is already working and you want to change their hourly rate of pay. Once PPL receives a complete form, we will change the hourly rate of pay at the beginning of the next available pay period. Please include Service Name and Service code for the hourly rate being changed.

Request Type: New Service Change Hourly Rate

Employee Pay Rate

Service Name and Service Code	Hourly Rate
Personal Care Assistance T2025 SE 52	
Personal Care Assistance – Group S9122 SE 52	

Agree and Sign

The Employee and Participant confirm:

- We read all of this form.
- The details provided are accurate and complete.
- This document is not a contract between the signing Parties, PPL, or the State.

Employee Signature:

Date:

Employer Signature:

Date:

DIFFICULTY OF CARE FEDERAL INCOME EXCLUSION

Employee Name

First: Last: PPL ID:

Participant Name

First: Last: PPL ID:

Some Employees may not owe taxes on their Self-Directed Services earnings. This is because they qualify for the Difficulty of Care Federal Income Exclusion (DOC). In that case, Public Partnerships LLC (PPL) will not report the payments as income and will not withhold applicable taxes. As a reminder, PPL is not your Employer.

To determine if you qualify, read the items below.

Part 1: Apply for DOC

Select all that apply:

- I provide services to the Participant in my home.
- I do not have a separate home where I live.
- This is the home where I live and perform the routines of private life, including shared meals and holidays.

! IMPORTANT:

- If all the above apply, you qualify for the DOC.
- If both the state taxing authority and program rules follow federal guidelines for DOC, the exclusion would also apply at the state level.
- You understand that if you no longer live with the Participant, you will no longer qualify. You must cancel the DOC by completing Part 2 below.

If none of the above apply, select the option below.

- None of the above.

Part 2: Cancel DOC

Select if applies:

- I no longer live with the Participant that I provide services to.

Agree and Sign

I confirm:

- I have read all of this form.
- I am providing services to the Participant receiving payments under a state Medicaid, Home and Community-Based Services program.
- The details provided are accurate and complete.

Employee Signature:

Date:

FAIR LABOR STANDARDS ACT LIVE-IN EXEMPTION

Employee Name

First: Last: PPL ID:

Participant Name

First: Last: PPL ID:

The United States Department of Labor (US DOL) and Fair Labor Standards Act (FLSA) requires that Employees are paid overtime for hours worked unless the Employee is eligible for a “live-in exemption”. Participants use this form to determine if their Employee is eligible.

This form needs to be filled out for every Employee you have in Self-Directed Services.

Part 1: Apply for Live-In Exemption

Select which Residency Test option applies:

- Employee lives with the Participant seven days a week. This means they do not have another home.
- Employee lives with the Participant for an extended period of time. This means they work and sleep five days a week.
- Any five days in a week (120 hours or more)
 - Five days in a row

! IMPORTANT: Employee is eligible if either of the above choices are selected.

- Employee does not live with the Participant.

Part 2: Cancel Live-In Exemption

Select if applies:

- Employee no longer lives with the Participant they provide services to.

Agree and Sign

The Employee and Participant confirm:

- We have read all of this form.
- The details provided are accurate and complete.
- We must inform Public Partnerships when the Employee no longer lives with the Participant.
- We agree to accept the risks if we fail to inform Public Partnerships.
- We know that all hours including overtime (over 40 hours per workweek) will be paid at regular hourly rates.

Employee Signature:

Date:

Participant or Representative Signature:

Date:

TAX EXEMPTIONS

Employee Name

First: Last: PPL ID:

Participant Name

First: Last: PPL ID:

The statements below are used to determine the tax exemptions that may apply to you and the Participant, based on IRS regulations and applicable Federal/State tax laws. As a reminder, Public Partnerships LLC (PPL) is not your Employer.

Please complete Part 1 and Part 2.

Part 1 (you must select one of the following statements)

- I am the spouse of the participant.
- I am the parent of the participant (including legally adopted children).
- Select all that apply:**
- I also provide care for my grandchild or step-grandchild in my child's home.
- My grandchild or step-grandchild is under 18 or has a physical or mental condition that requires personal care of an adult for at least four weeks in a row during the calendar quarter in which services are performed.
- My child (son or daughter) is widowed, divorced, not remarried or living with a spouse who has a mental or physical condition so the spouse cannot care for my grandchild for at least four weeks in a row during the calendar quarter in which services are performed.
- I am the child of the participant (including legally adopted children).
- I am not the spouse, parent, or child of the participant.

Part 2 (select all that apply)

- I am a full-time student.
- This job of performing household services (respite) is my primary job.
- I am a non-resident alien temporarily in the United States on an F-1, J-1, M-1 or Q-1 visa admitted to the US for providing domestic services.

! IMPORTANT: If your information changes you must report it.

Agree and Sign

The Employee confirms:

- I read all of this form.
- The details provided are accurate and complete.
- Any false statement on this form may result in the Employee's dismissal.
- This document is not a contract between the signing Parties, PPL or the State.
- Employment depends verifying my right to work in the US.

Employee Signature:

Date:

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.

[Redacted content]













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.

Participants self-directing their services have more choice and control but certainly have more responsibility. A key responsibility for the participants is effectively managing their budget and service dollars through their Cash Expenditure Plan (CEP). PPL has a unique level of experience assisting participants with the development and management of a Cash Expenditure Plan that will not be found with other respondents. Our service offerings in New Jersey, Tennessee, and West Virginia include counseling roles emphasizing budget development and management. The New Jersey Personal Preference Program (PPP), also a Cash and Counseling Demonstration and Evaluation state, originated the same year as the Arkansas IndependenceChoices program. In 2017, we transitioned the PPP program to our financial management and cash and counseling services from the incumbent vendor, supporting over 9,500 beneficiaries and their workers with the onboarding process, including developing a newly revised cash management plan similar to the Arkansas CEP. Since the transition, this cash and counseling program has seen tremendous growth, more than doubling in size, with almost 25,000 active beneficiaries requiring initial and ongoing support for their spending plans.

PPL, as a function of the counseling component, will assist the Beneficiary/Employer in developing and managing the CEP by:

-  Providing instructions and training to identify services;
-  Arranging for services and the payment of approved services;
-  Documenting training support;
-  Assisting in using the budget to meet the assessed needs;
-  Managing over- and under-utilization by tracking balances and approved hours;
-  Identifying savings opportunities;



Using the timesheet system; and



Assisting with changes if or when changes occur.

PPL will apprise DHS of changes and will contact the Beneficiary/Employer at least once per year to discuss the budget.

Not only do we have direct experience with developing and managing CEPs, MyAccount provides a streamlined business process flow, including enrollment, budget management, EVV, payroll, claims, and reporting. All features are fully integrated, eliminating data imports and exports that can cause mismatches and errors. Additional features of MyAccount include an automated methodology for managing CEPs that will significantly modernize and enhance Arkansas's current processes. MyAccount links claiming and authorizations to assure accurate management of individual budgets. (see screen shot in E6)

The MyAccount platform provides a dashboard for each participant. Here, they will see their authorized services and utilization progress. The user interface is colorful and friendly so that the participant is encouraged to access their budget utilization in real-time rather than waiting for a monthly report.

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- Arranging for services and the payment of approved services;
- Documenting training support;
- Assisting in using the budget to meet the assessed needs;
- Managing over- and under-utilization by tracking balances and approved hours;

- Identifying savings opportunities;
- Using the timesheet system; and
- Assisting with changes if or when changes occur.

PPL will apprise DHS of changes and will contact the Beneficiary/Employer at least once per year to discuss the budget.

Not only do we have direct experience with developing and managing CEPs, PPL offers the most advanced self-direction enterprise system in the nation, MyAccount. MyAccount provides a streamlined business process flow, including enrollment, budget management, EVV, payroll, claims, and reporting. All features are fully integrated, eliminating data imports and exports that can cause mismatches and errors. MyAccount provides a modern user interface, self-service features, improved enrollment processes, and electronic conveniences for employers and employees. Additional features of MyAccount include an automated methodology for managing CEPs that will significantly modernize and enhance Arkansas's current processes. MyAccount links claiming and authorizations to assure accurate management of individual budgets.

The MyAccount platform provides a dashboard for each participant. Here, they will see their authorized services and utilization progress. The user interface is colorful and friendly so that the participant is encouraged to access their budget utilization in real-time rather than waiting for a monthly report.

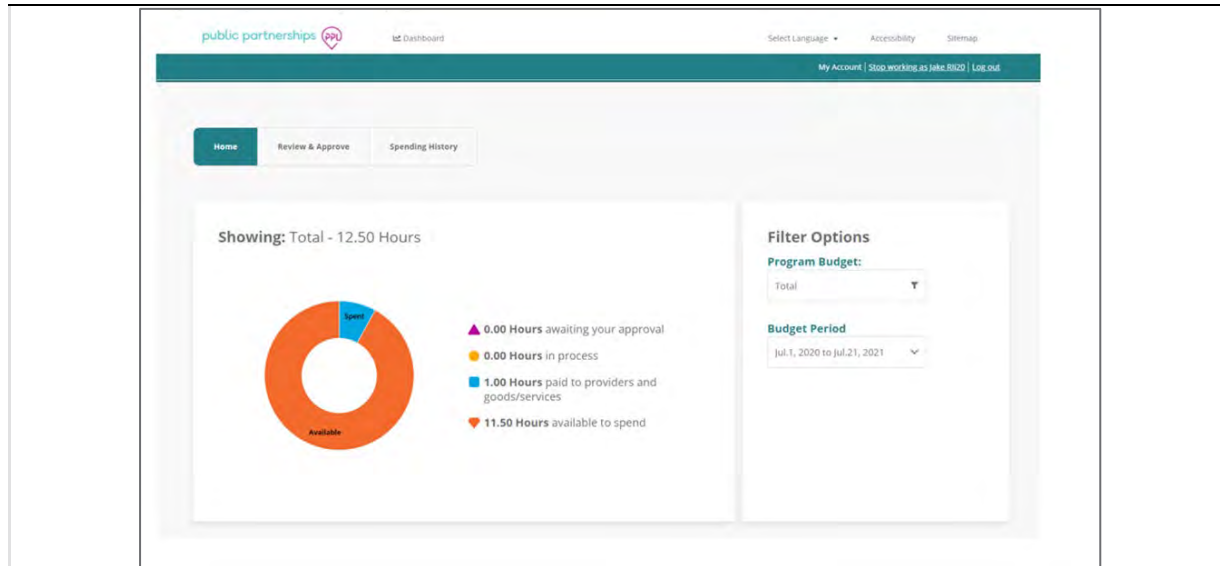
Leveraging MyAccount, PPL can:

1. Receive and disperse Beneficiaries' dollar authorizations monthly.

All payments are tested against valid service authorizations for dates of service based on the CEP, the amount spent to date, available balance, and applicable rules. In this manner, PPL pre-adjudicates all claims prior to payment. Requests for payments are either paid, pending for further review, or denied based on the program rules and pay controls.

2. Track Beneficiaries' dollar authorizations received and dispersed as indicated on the Cash Expenditure Plan (CEP) budget worksheet template.

Each Employer will have access to real-time budget expenditure data that is as current as the most recent posted payment. MyAccount also displays timesheets payments that are in process to ensure every Beneficiary/Employer knows exactly how much of their budget remains. CEPs and service authorizations will be tracked through our MyAccount system. Our information technology system can import budget/service authorizations in Electronic Data Interface (EDI) formats or electronically archive PDFs. MyAccount is integrated with our payroll systems, so payments directly reduce the remaining budget balance. Budget balances are reflective of the last payments made and can be reported at the participant and procedure code level.



3. Provide a copy of the finalized CEP, in the format preferred by the Employer, in a plain language understood by the Beneficiary/Employer.

Alternative formats will be available depending on the preference, disability, or proficiency of the Beneficiary/Employer. 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 services, and shall be based on the needs of the individual.

The CEP will be provided in plain language not to exceed the level of reading of fifth (5th) grade or lower and will be available in paper form.

Electronic information will include prompts for interactive communication, and formats intended for non-visual use in accordance with the Americans with Disabilities Act. PPL had developed our planning tools to assist beneficiaries/employers in finalizing their CEPs amounts.

4. Ensure that:

- a. Total time of service billed shall not exceed the maximum authorized by the state agency.** PPL will not pay for service hours that exceed the maximum authorized by the state agency. The weekly time submitted for payment is pre-adjudicated within our enterprise technology system, with validations against enrollment/hiring documentation on file, a registered FEIN, payments in process, and service authorization for the date of service. Amounts are obtained through EDI file transfers where possible. Payroll is deducted directly from the participant’s budget balance (i.e., authorized hours) all within our accounting application MS Business Central.

b. Daily rates are applied when a Beneficiary's initiation and/or disenrollment date does not align with the start of a pay cycle. PPL uses budget tools to pro-rate CEPs when a beneficiary's start and/or disenrollment date does not align with the start of a month or pay cycle.

c. There are no duplicate billings for the same service. PPL will not duplicate billing for the same service. Each Individual's CEP amount by service will be stored in our payroll platform, MS Business Central, and displayed through the MyAccount portal in real-time and pre-adjudicated within our enterprise technology system. If duplicate claims are submitted, the system will immediately reject these as having been paid previously or note that the claim is in process. The Beneficiary/Employer and staff will be notified that payment for the duplicative submission will not be paid.

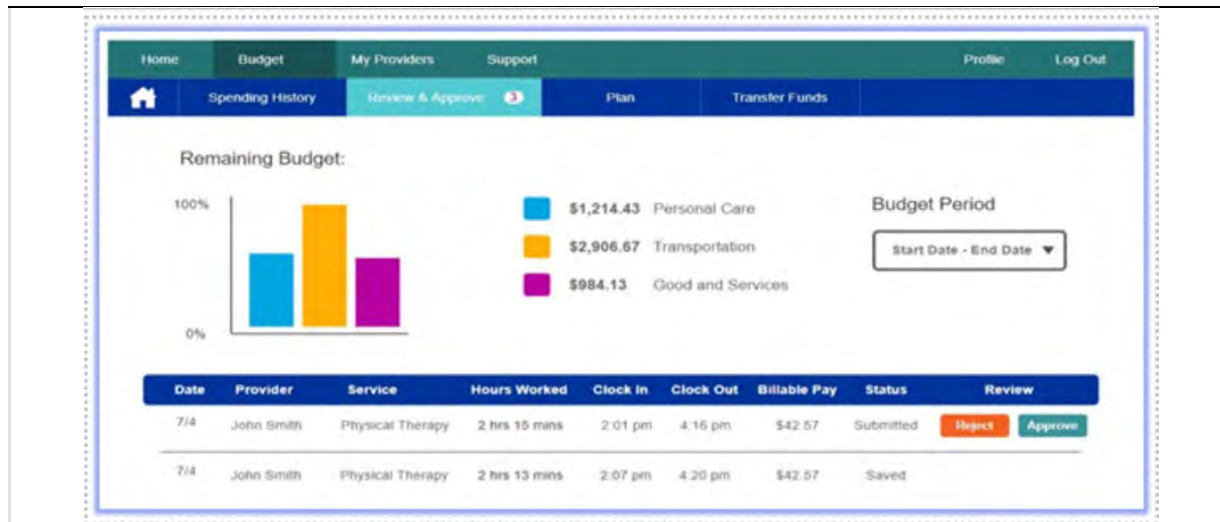
d. Billing for non-overtime-exempt Employees does not exceed forty (40) hours per week. PPL will not pay for non-overtime-exempt Employees over forty (40) hours per week. As previously mentioned in item (a) above, weekly time submitted for payment is pre-adjudicated within our enterprise technology system, with validations against weekly limits, payments in process, and service authorization for the date of service. We understand that any overtime accrued by a non-overtime exempt Employee will not be paid by the state agency.

5. Track the number of hours each Employee works for the Beneficiary/Employer in the Self-Directed Program.

PPL's EVV-compliant time entry system is seamlessly integrated with our authorizations, payroll and claims modules. This integration allows us to monitor and report hours worked at the employer-employee relationship level and enforce overtime controls for exempt and non-exempt employees. PPL can also pay overtime hours at time and a half with the limits of individual budgets (revised as needed), and applicable program rules and state/federal labor laws.

6. 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.

Bar graphs of the percent elapsed and percent remaining for each service will be included. Spending summary reports and the spending detail reports will be available for review and printing by the Beneficiary/Employer, the State, DHS, and designees.



The screen shot above illustrates how quickly and easily beneficiaries/employers can review relevant service documentation when they are approving employee timesheets, consistent with the requirements of Section 2.5.11.

PPL offers **goods and services** in West Virginia, New Jersey, and Massachusetts, and PPL manages goods and services purchasing for multiple programs and managed care organizations in these states. Our tools offer efficiency and financial accountability to this function. PPL understands the important role of goods and services, which CMS has cited as a solution for promoting social determinants of health within self-direction.

For Arkansas, monthly reports detailing the individual's purchase, the amount expended, and the categories defined by the state agency will be produced. PPL will maintain sufficient supporting documentation to fulfill the requirement by the state agency and will issue monthly reports on goods and services activity including the number of beneficiaries using goods and services, the amount of the expenditure, and the category of expenditure

We have experience in New Jersey supporting Beneficiaries to take a portion of their individual budget in the form of cash to make discretionary purchases. Supporting documentation relative to discretionary expenditure payment will include a minimum:

- the name and address of the Beneficiary;

- a description of the purchase;

- total payment amount;

- 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

- 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).

There are times when the state agency will institute amendments or updates based on federal and state laws and regulations including temporarily implementing modifications. We experienced this recently during the Covid-19 Public Health Emergency Declarations. PPL successfully responded to state-approved modifications to reduce the negative impact of the pandemic. This included increasing wages and paying benefits either temporarily or permanently, relaxing staff qualifications, and introducing new services into the system. PPL will continue to be flexible and responsive to implement such amendments and updates for Arkansas.

E.8 Payroll Processing

A.

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

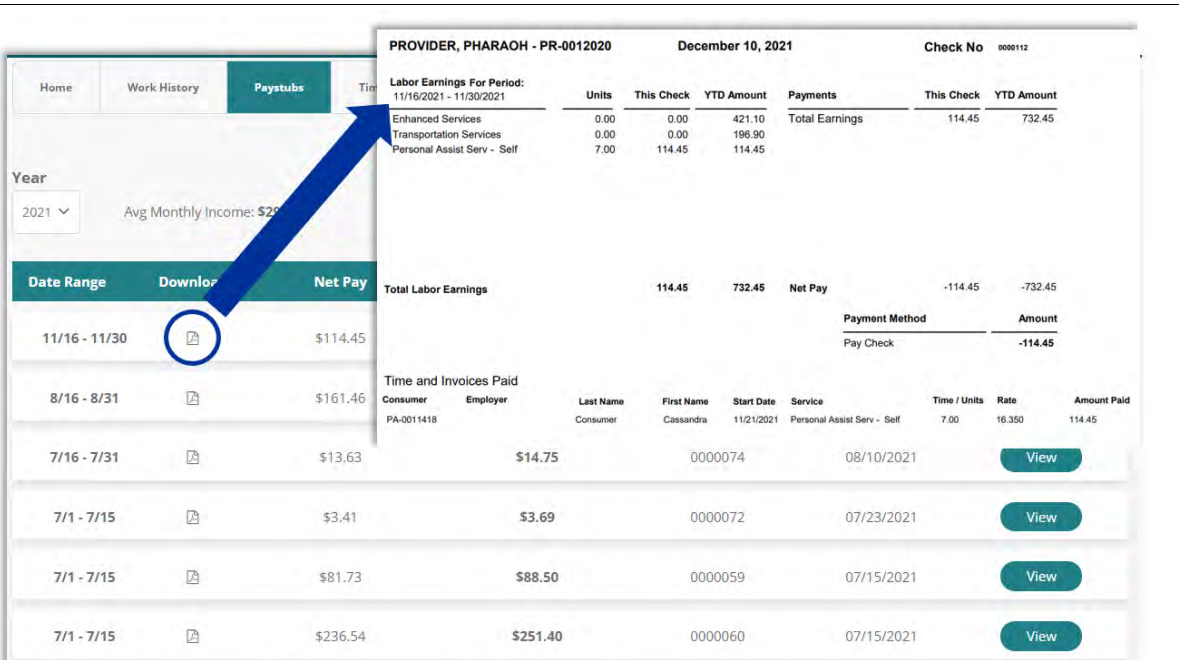
PPL processes payroll entirely in-house leveraging our own proprietary payroll software. We are registered as a payment agent under Federal Employer Identification Number 04-3468852 to perform withholding, filing and depositing employer-related taxes under Section 3504, Rev. Proc. 70-6, Proposed Notice 2003-70 of the Internal Revenue Code. **We process payroll on behalf of over 125,000 beneficiaries in 21 states.** Our experience and range of financial management to those self-directing their services ensures we remain current on all payroll and tax compliance matters like the Live-In Exemption and Difficulty of Care payments.

PPL completes an annual attestation defined by Statement on Standards of Attestation Engagements (SSAE) No. 16. The SOC 1, Type 2 report is issued by the American Institute of Certified Public Accountants (AICPA). An independent accounting firm assesses the internal controls of our financial management systems and processes. They then issue both a service auditor’s report and an opinion based on the assessment.

Ensuring Employment Documentation Compliance through MyAccount

MyAccount is PPL’s user portal tailored for participant-directed programs. The standard MyAccount profiles for beneficiaries and employees include all demographic information, including employee social security number, city and state of residence and all supporting IRS and state level household employer and employee documentation. Profiles also incorporate a shared criterion for information that is specific to the employer/employee relationship (e.g., FICA exemptions). MyAccount is configured to meet each payment processing requirement and to support payment reporting.

The employee’s portal account includes hiring checklists that record and archive forms like the IRS W-4, USCIS I-9 and direct deposit form. PPL can directly deposit to the employee’s bank in compliance with Arkansas timely payment laws. Full remittance advice is available online through the MyAccount portal as well, see the following screenshot for an example.









PROVIDER, PHARAOH - PR-0012020 December 10, 2021 Check No 0000112

Home Work History **Paystubs** Time

Labor Earnings For Period: 11/16/2021 - 11/30/2021

	Units	This Check	YTD Amount	Payments	This Check	YTD Amount
Enhanced Services	0.00	0.00	421.10			
Transportation Services	0.00	0.00	196.90			
Personal Assist Serv - Self	7.00	114.45	114.45			
Total Earnings					114.45	732.45

Year: 2021 Avg Monthly Income: \$200

Date Range	Download	Net Pay
11/16 - 11/30		\$114.45
8/16 - 8/31		\$161.46
7/16 - 7/31		\$13.63
7/1 - 7/15		\$3.41
7/1 - 7/15		\$81.73
7/1 - 7/15		\$236.54

Total Labor Earnings: 114.45 732.45 Net Pay: -114.45 -732.45

Payment Method: Pay Check Amount: -114.45

Time and Invoices Paid

Consumer	Employer	Last Name	First Name	Start Date	Service	Time / Units	Rate	Amount Paid
PA-0011418		Consumer	Cassandra	11/21/2021	Personal Assist Serv - Self	7.00	16.350	114.45

Each Beneficiary/Employer – employee combination will have a unique relationship linkage on our MyAccount application. Given the impacts of the employer-employee relationship status on FICA, FUTA and SUTA taxes and exemptions, we developed an extensive module to record employment status. The benefit of our end-to-end system is the employment status information shares the same database as our tax compliance tables.

- ✓ Payment Information
- ✓ Employment Eligibility
- ✚ Tax Information
- ✚ Abuse and Neglect Central Registry
- ✚ Authorization and Signature

Tax Exemptions

Part 1 (you must select one of the following statements based on your relationship to the Employer)*

- I am the spouse of the employer.
- I am the parent of the employer (including legally adopted children).
- I am the child of the employer (including legally adopted children).
- I am not the spouse, parent, or child of the employer.

Part 2 (select up to 1 option if either applies)

- I am a full-time student.
- This job of performing household services (respite) is my primary occupation.

Select the option below if it applies to you

- I am a non-resident alien temporarily in the United States on an F-1, J-1, M-1 or Q-1 visa admitted to the US for providing domestic services.

! IMPORTANT: If your information changes you must report it.

Integrated Electronic Visit Verification Designed for Participant Direction

PPL has prioritized service integrity in the design of our time capture methods and options for employees. Our system supports beneficiary and employee time collection, pre-

adjudication of service payments and payment calculation. All PPL time capture formats are fully integrated with our payroll software. Our system of internal controls is maintained through a combination of well-trained staff, clear procedures, and metrics-based performance assessment. For more information on our EVV capabilities, please see Section E.13 Electronic Visit Verification.

Payroll Calculation Accuracy and Compliance

Our financial management system will be configured, and compliance tested for all Arkansas tax and withholding amounts. All employee calculated amounts are adjusted for employer taxes prior to being deducted from the participant's budget authorization. Each claim is fully reconciled against the Beneficiary/Employer approved (and date stamped) EVV-compliant time entry.

Beneficiary/Employer and Worker Tax Compliance

The PPL Tax Compliance team includes Certified Public Accountants (CPAs) and members of the American Payroll Association. The tax compliance team completes a comprehensive tax approach summary for each state and program under our FEA financial management services. Their focus is on ensuring the proper configuration of employer tax withholding percentages like Arkansas state unemployment tax and employee FICA withholdings based on relationship to the Beneficiary/Employer. The Tax Compliance team maintains policies and procedures for the annual assessment of federal and state employer and employee tax withholding thresholds and coordinates with our technical product team on applicable configuration changes and calculation testing.

Our proposed enrollment and employment packets will include all necessary IRS and Arkansas tax forms and FICA exemption information. PPL establishes a segregated FEIN for each new program under our financial management services for aggregated employer tax filings. During the transition, we expect the current vendor will provide all FEINs for current Beneficiaries/Employers and we will collect a new IRS form 2678 establishing PPL as the appointed payroll agent. For new referrals, we will obtain a FEIN using an executed SS-4 and register individuals with the State of Arkansas Secretary of State as employers and use each Beneficiary/Employer's state income tax registration number for income tax filing and payment purposes.

For employees, we will collect a new IRS Form W-4 during the transition to ensure a clean record for tax withholding status and allowances and request copies of applicable garnishments, levies, and liens to ensure withholding accuracy. For employees who reside outside of Arkansas, the PPL tax team will file and deposit out-of-state income tax withholdings. All Beneficiary/Employer and employee documentation originals are digitally archived in their respective MyAccount profiles.

Timely Payment & Financial Stewardship

During the implementation, we will review the current vendor payment schedule and assume the same payment cycles for continuity. Employees will see real time validation of payment status in our portal and EVV app. They will receive alerts if there is any administrative issue preventing a clean shift submission and payment.

Our payroll and tax compliance teams are supported by our data analytics staff to provide comprehensive payment reporting after each cycle. We can run full payment detail reporting at the Beneficiary/Employer – employee level to identify:

- Total payment amounts and hours submitted per employer-employee combination.
- Consecutive pay period submissions for 2 and 4-week intervals
- Fully EVV compliance shifts
- Status of employee as the primary or backup worker

Our detailed reporting and oversight are further reinforced by timely account reconciliations. In instances where our state client funds a segregated bank account as the Division is proposing, we will identify dis-enrolled beneficiaries and return any unused funds within 30 calendar days via electronic means specified by the Division.

Payment Resolution

PPL understands that timely submission and payment of employee shifts worked can be an indicator and proxy for continuity of beneficiary care. Our capabilities to develop and execute processes that ensure timely resolution of payment discrepancies are supported by information technology systems and data analytics. EVV has further added to our ability to track and monitor time reporting at various levels and subsequently intervene timely to resolve issues prior to actual payment. PPL is currently delivering a suite of payment reporting to our current clients and looks forward to reviewing our standard reporting and assessing other needs the Division may have to ensure service level compliance on Beneficiary/Employer and employee outreach.

Our Data Analytics team has developed numerous reports that breakdown shift submissions in aggregate and at the employer-employee level. These reports allow us to quickly identify employers and employees having EVV submission issues, gaps in service submission and trends that can be addressed through outreach and education. We use the term “pend” to identify time submission that failed one of our system’s pre-adjudication checks (e.g., complete enrollment and employment paperwork, active budget authorization, or other check) and track at the employer-employee and program level. These aggregated reports

provide our clients with insight into trends and opportunities to improve orientation and ongoing training initiatives. Several examples are included on the following pages.

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 system.

First and foremost, PPL has never experienced a system outage during our 23 years in business that prevented a payroll cycle from being run. Our IT system is highly resilient and, as our Continuity of Operations and Disaster Recovery responses in this proposal demonstrate, they are backed up in the event of an adverse event. Please see Section E.15 Security for our full plan.

However, PPL is also prepared in the event of system outages to fully support payroll processing for our participants and workers. PPL has payroll processing capabilities ranging from paper based through offline EVV mobile application time capture. PPL's information technology system consists of software applications that are integrated through our Enterprise Resource Planning (ERP) software hosted by servers in our secure data centers. Our systems have an annual SOC1 Type 2 attestation provided by a third-party auditing firm for *four trust principles* including *availability*. PPL processes all payroll using our payroll and tax compliance teams with nationally based staff capable of administering payroll from multiple locations. If a system outage were impacting our primary northeast processing center, we shift to our staff based in the southwest.

PPL's EVV mobile application, Time4Care, will continue to function in the event of a system outage. Time4Care will continue to capture all information required for EVV compliance, including location at clock-in and clock-out. The app operates independently and stores all data locally on the user device until upload to our systems. The upload and refresh of all EVV data recorded through Time4Care occurs automatically when systems and connectivity are restored.







Additionally, if a user has limited or no connectivity, Time4Care will continue to log information locally on the device via offline mode. Time entries that are recorded while offline are automatically submitted and synced with the server when connectivity is restored. PPL's application will automatically switch to offline mode if poor or no connectivity is detected. The application also offers the ability for users to manually enable offline mode when they are in an area with poor connectivity.

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.

PPL has policies and procedures for ensuring accurate and timely payment to the employee in the unfortunate event the individual passes away before they have approved a timesheet for a completed shift. During the implementation we will vet our standard procedure that ensures our contract manager and DPSQA have agreed upon communication channels, timelines for reporting and an administrative approval process for payment. PPL’s EVV time capture options track and verify service visits occurring and document the time and location the provision of service was recorded.

The following information is captured in compliance with the 21st Century Cures Act, Section 12006 via clock in/clock out real-time capture for each visit as it occurs.

-  The identity of the individual providing the service
-  The identity of the individual receiving the services
-  The date and time of the start of the service
-  The date and time of the end of the service
-  The service delivery location at clock in and clock out; and
-  The type of service being delivered.

Given our EVV solution is fully integrated with our overall financial management solution we have source data stored for all shifts delivered. Therefore, our payroll team can pull the EVV information from the last shift worked to validate service delivery location at clock out.

Upon notification of the death, our payroll operations staff will verify the EVV information submitted for the last date of service. The payroll team will independently verify the information for payment approval through the last date of service. All communications and transaction details are archived in the employer’s portal account and segregated payroll ledgers for auditing support.

D.

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

PPL performs end-to-end payment processing in-house and therefore has the capability to issue off cycle payments daily if needed. We can support all payment schedules (e.g., bi-weekly, semi-monthly) and when transitioning from an incumbent FMS can maintain the current schedule and processing timelines. Our payroll system is fully integrated with and shares a database with EVV solution. This integration means daily time entries can be validated and calculated for payment against budget service authorizations balances upon submission. ***Processing our own payroll using all in-house information technology ultimately means we can facilitate “off-cycle” payments daily.***

Our Operations team including the assigned payroll specialist work from a standard policy and procedure for off-cycle payment processing. Upon learning of the need for an off cycle pay run, information is gathered on the context of the request and documented in an ***escalated payment form***. The form is submitted to the designated internal in-box for off-cycle payment requests and assigned to the payroll specialist. The specialist is responsible for ensuring the payment is processed and posted by the banking cut off time for electronic file transmission. The employer and/or employee is notified when the payment is posted and gross and net amount.

PPL systems pre-adjudicate payments against budget service authorization details and enrollment and hiring compliance to ensure high percentages of on-cycle payments. Payments are batched by payroll pay date (per the program schedule), with all service details stored in payroll ledgers. All data is housed on a central database that PPL pulls directly from for reporting. The additional integration with MyAccount that stores Beneficiary/Employer account notes (i.e., calls to customer service, reason for off-cycle request) means PPL can report off-cycle details including:

- Reason for the off-cycle request
- Day and time of request
- Payment Transaction details (e.g., gross and net amounts, EFT transaction number)
- Number of off-cycles in a month, quarter, annually
- Total amounts processed in off-cycle payments

E.9 Customer Service

A.

Describe the Prospective 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.

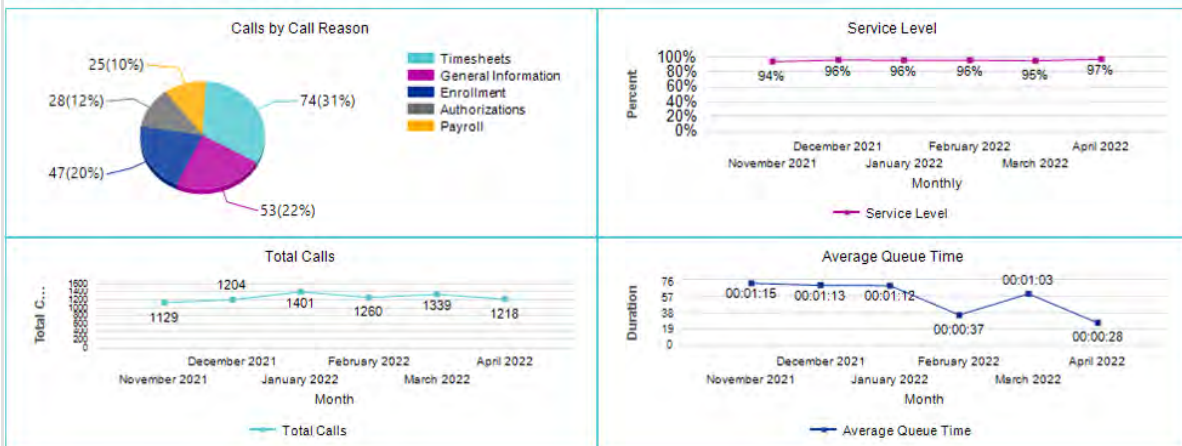
PPL’s Quality Assurance Methods for Customer Service Representative Performance

The PPL Team’s CS representative’s performance is measured through a Quality Performance Index. The Performance Index measures the agent’s performance based on their call quality, post call survey scores that measure professionalism and engagement, and first call resolution. Our CS Team constantly tracks metrics related to the calls we receive by program. This helps us to ensure our high-performance standards for the CS call center are consistently met. Our monthly call statistics include total calls, average queue time, average call back time, average talk time and calls by reason. These reports are reviewed by our CS and Contract Management teams to identify trends and understand call center demands for each program. These statistics allow PPL to react to new CS demands in an instant. In addition to tracking call metrics, phone calls are recorded, and CS Representatives are evaluated by call center auditors. We have a dedicated Quality Improvement (QI) Team that audits a statistically valid sample of each Representatives calls. Our QI Specialists score each call based on specific criteria and aggregate the data to leadership.

Customer Service Dashboard | Program Name



Monthly Dashboard: April, 2022



While the obvious goal is to never have an escalated issue and that every CS Representative always delivers first call resolution, some issues are complicated. Payment issues related to service authorizations can sometime require detailed analysis and while complex, the objective is always the timeliest resolution possible. To this end, PPL established an Escalations Team that is provided extensive training in data and process analysis.

PPL understands that our customer service representative's efficiency is maximized when supported by technology. Our call center technology resides on Five9 Cloud solutions and is integrated with our web portal and our Customer Relationship Management (CRM) applications. Five9 combined with our single data warehouse allows our data analytics team to compile call tracking and reporting at the level detailed in the RFP. Five9 time stamps every customer service interaction, archives with unique identifiers, digitally archives all call details allowing us to measure and report. PPL has established the following quality assurance capacity in our call center:

1. ***Anticipate Call Reasons:*** Agents are able to view all historical information pertaining to the participant and recognize the reason for the call prior to picking up the phone.
2. ***Actionable Analytics & Reporting:*** Robust reporting mechanisms provided by a dedicated Data Analytics team allows the customer experience team to deliver actionable decision-making immediately.
3. ***We Hear Before You Do:*** Leveraging our self-directed-service-centric call center technology allows us to ensure we hear about issues and remedy them before the State receives any inquiries.
4. ***Knowledge Management:*** An extensive knowledge store supports our customer experience agents so that they have access to programmatic-specific information in real-time.
5. ***Identify Struggling Individuals and Re-Educate:*** We understand that some people do better with self-direction while others have difficulties. Our technical solutions allow us to identify struggling individuals and provide focused education and training to ensure their success in the program.

Our Escalations Team utilizes the CRM to triage escalations. Our internal escalations process begins with the submission of an issue that meets the criteria of an escalation via the CRM. The escalation is then assigned to an Escalations Specialist who then work diligently to research and rectify the escalated issue.

PPL's Quality Assurance Methods for Enrollment Team Member Performance

Quality assurance of enrollment team members is provided by enrollment team supervisors leveraging data provided by our Data & Reporting team. Supervisors review average length of time taken to complete an enrollment as well as communications from participants that

indicate enrollment challenges. Our MyAccount portal provides automated tracking of enrollment progress and provides supervisors with tools to monitor enrollment staff performance.

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.

PPL’s Approach to Customer Service Training for PPL Staff Dedicated to this Contract.

Effective training is key to high-quality customer service. PPL’s training for customer service staff is functional but also provides broader context for understanding overall program goals. Training on the self-direction model is foundational and the starting point of our curriculum.

Self-direction Fundamentals:

- ✔ Self-direction history and principles
- ✔ Medicaid Fraud, Waste, & Abuse
- ✔ Abuse, Neglect, and Exploitation

PPL has invested in significant learning resources for our staff, including a Learning Management System (LMS) to encourage our employees to expand their current customer service skill sets with a wide range of technical, soft skills, and leadership courses. Through our LMS, Brainier, we provide a more advanced in depth and self-guided training on Person-Centered Thinking:

- ✔ HCBS and Person-Centered Thinking
- ✔ Advanced HCBS and Person-Centered Thinking

PPL Customer Service Staff



Our customer service staff have a weeklong functional training followed by a two-week period of job shadowing. The functional training includes the following:

Monday	Training Team & New Hire Introductions, Equipment Check, Customer Service Orientation, Customer Service Supervisor Meet & Greet, Productivity & Support Tools, New Hire Support Tools, Compliance Training
Tuesday	AR Program Specific Training, AR Program Employer and Employee Enrollment Forms, MyAccount (PPL Technology) Compliance Training (continued)
Wednesday	Tax 101, Time4Care EVV (PPL Technology) Verification of Employment Process, De-Escalation, MyAccount (practice)

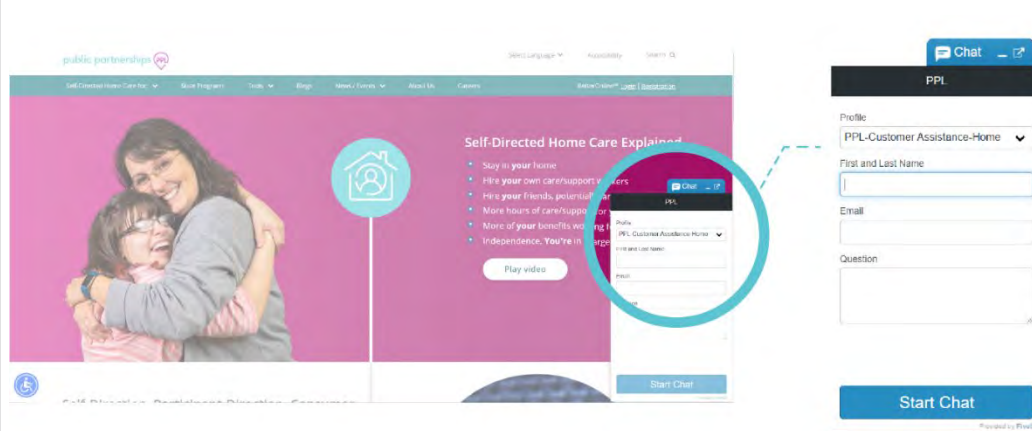
Thursday	Customer Relations Module, Telephony, Customer Relations Module Case Studies, Customer Relations Module Quiz
Friday	Customer Service Quality, Time Reporting, Call Scripts, Good Calls/Bad Calls Listening Session, Role Play
<p>Further we ensure a companywide foundation of training on the following topics:</p> <ul style="list-style-type: none"> ✔ Diversity and Inclusion: Valuing Differences for Mutual Success ✔ Ethics and Code of Conduct ✔ Cybersecurity Awareness ✔ Cybersecurity Phishing Attacks ✔ Health and Safety: Illness and Infection Prevention ✔ Health and Safety: Natural Disasters ✔ Health and Safety: Workplace Incident Reporting ✔ Health and Safety: Workplace Safety ✔ HIPAA: Privacy & Security <p>In addition to our focus on all things self-direction our training curriculum includes training on financial management services, state specific requirements, and all PPL systems including our Time4Care EVV platform. Our call center scripts include scripts for opening an inbound call as well as an outbound call and conducting appropriate caller verification at the point of contact. Further, our scripts include ways in which to diagnose, research and resolve issues, and the appropriate ways to close and document each call.</p>	
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.
<p>PPL's Method for Receiving, Returning, Tracking, Listening to and Auditing Calls and Emails.</p>	

PPL will have a dedicated toll-free number for Arkansas. During business hours PPL offers a *hold my place* option should there be a wait time, all return call requests will be added to the live queue for call back. We will have a dedicated toll-free number; PPL will also establish a program specific email address with end-to-end encryption to ensure HIPAA compliance. PPL will also provide support through multiple additional methods of communication, including through our MyAccount portal, fax, by mail, and our online chat feature.

After established business hours, PPL utilizes an Interactive Voice Response (IVR) system. Our IVR technology provides access to timesheet status and payment history, outbound calling capability to alert and reinforce with Beneficiaries/Employers if program changes emerge. We also provide a voicemail system for anyone to leave an after-hours message.

All incoming calls, outbound return calls, and all email communications are captured in our CRM for tracking and disposition purposes. Supervisory staff use CRM to audit calls for compliance with quality standards.

We are committed to mailing any forms, instructions, agreements, employment package, and other required information to Beneficiaries, employees within one (1) business day of receipt of the request. Further, we have a chat feature on our website which can be utilized as another channel for quick and efficient communication.



Our chat feature is monitored during business hours Monday - Saturday by Customer Service Team. Our email inbox is monitored daily, and any inquiries will be responded to either immediately or by the next business day from the day the message was received.

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.

PPL's method for receiving, responding to, and tracking complaints and/or grievances.

PPL has detailed procedures for receiving, tracking, and responding to complaints. When a complaint is received, we create a case in our Customer Relationship Management (CRM) system that identifies the individual who made the complaint and the reason for the complaint. All cases automatically include a date and time stamp, which will enable us to time our response and assure resolution by the end of the next business day.

We enhance our response time to complaints and grievances by triaging each reported item. In our experience, most complaints can be easily and quickly resolved to the complainant's satisfaction by PPL trained customer services support staff. Complaints that are uncommon, significant in their impact, and related to any special incident are typically elevated beyond the customer service center to the escalation team. The escalation team works to resolve these with whichever stakeholder is involved. PPL digitally archives all customer service interactions as well as complaints and grievances in our CRM and can provide DPSQA with reporting in an agreed upon format.

Our CRM maintains all documentation of complaints including the date the complaint was received, any corrective action, the status of the complaint and the date it was resolved. The CRM has a robust analytics and reporting module that allows us to track and trend complaint data. This module provides us with actionable insight to remediate any identified trends immediately and appropriately report them to DPSQA with organized data.

This process will facilitate our compliance with all provisions of 2.5.14.A.11.

Complaints can be made in the following ways:

- 1 Directly with Account Management Staff
- 2 Call with Customer Service
- 3 Via our Chat feature
- 4 Via an email
- 5 Via our social media
- 6 Via Better Business Bureau
- 7 Via the complaint form included in the enrollment packet

These complaints/grievances are tracked in the exact manner as described above and the CRM system is a hosted Azure Solution, data in transit is protected by TLS 1.2 (128 & 256) for Dynamics 365.

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.

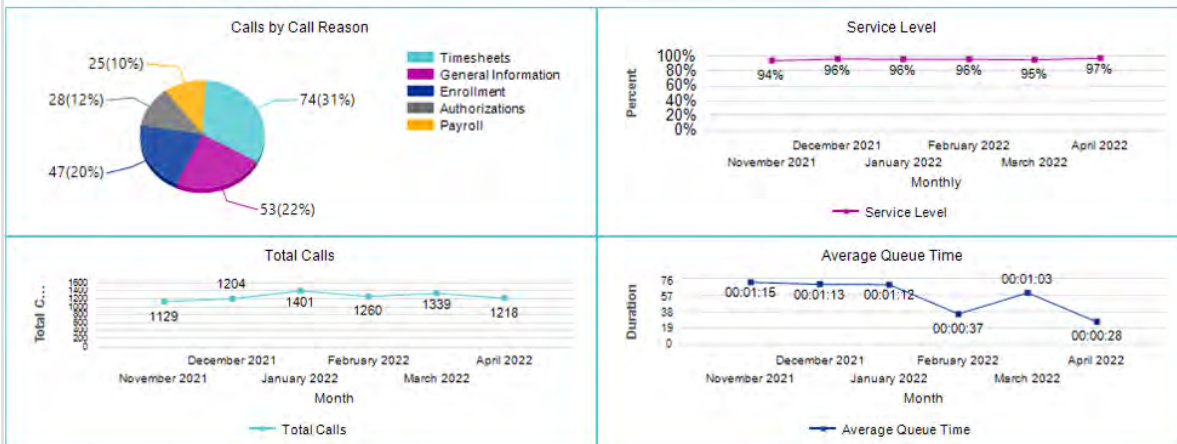
PPL’s Method for Receiving, Responding to, and Tracking Call Statistics

All of our calls are received through our Five9 call system, which is integrated with our CRM and our FMS systems. Due to this integration all of our call statistics are readily available through our reporting processes. Each program has a dedicated Customer Service Manager to monitor call statistics, troubleshoot any issues, and take action if any metrics are outside acceptable parameters. We can provide call counts, hold times, call types, and current provide a range of call center reports pertaining to Customer Service performance on a monthly basis. We have developed a bi-weekly and monthly customer service dashboard that illustrates our performance in relation to the identified and agreed upon key metrics as well as any additional metrics such as total calls and calls by call reason. The bi-weekly and monthly dashboard we currently provide to meet this requirement can be found below:

Customer Service Dashboard | Program Name



Monthly Dashboard: April, 2022



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.

PPL's Approach to Providing Outreach to Potential Employers/Beneficiaries

PPL is subcontracting with the Arkansas Foundation for Medical Care (AFMC) to immediately establish a state-based presence and a partner with an organization that truly understands the long-term care needs of Arkansans.



Headquartered in downtown Little Rock, AFMC brings first-hand experience with the Arkansas Department of Human Services. Their program initiatives have included Medicaid beneficiary call center services, provider education and outreach, hospital quality improvement, CAHPS surveys, program evaluation, and utilization reviews. President Ray Hanley has been a leader in delivering high quality supports and services for health care and innovative solutions in delivering them. Ray and AFMC bring an understanding of the health care challenges facing Arkansians and how self-direction is an innovative solution particularly for rural areas where all health care service providers are sparse.

AFMC and their statewide and local staff will inherently improve the level of enrollment and counseling support PPL can offer while also supporting education and awareness of IndependentChoices. AFMC staff work with Arkansas Medicaid health care practitioners statewide and have built strong relationships in the provider community. AFMC is regarded as a trusted resource for information on long term care services and supports. They can leverage that network to support education and outreach activities, particularly in urban and underserved areas of the state, to support reversing the declining IndependentChoices enrollment trend.

PPL will orient and train AFMC staff on the core enrollment functions for IndependentChoices and roles and responsibilities in a self-directed option. AFMC staff will provide support for face-to-face enrollment meetings, supplement enrollment support (including virtual), and play an integral role in our outreach and education program to raise awareness about Self-Direction with potential Beneficiaries/Employers with the goal of increasing program participation.

PPL's enrollment, education and outreach services in support of IndependentChoices are directly strengthened by AFMC through:

1. 330 full time employees and 205 temporaries with staff residing and working in 55 of Arkansas' 75 counties.
2. 37 years of experience working with DHS and within the Arkansas health care industry.
3. Partnerships across Arkansas ranging from the Center for Healthcare Improvement to Arkansas' Minority Health Commission.
4. An Arkansas based call center with staff handling approximately 450,000 calls each year from Arkansians in need of supports and services.
5. An established and known web presence dedicated to Medicaid beneficiaries to provide program information.

PPL's Approach to Providing Education to Potential Employers/Beneficiaries

PPL maintains a designated communications department that oversees the development of materials provided both to those who are considering self-directing their own care and those who have already enrolled. These staff manage content development, design, and production of materials in collaboration with members of the PPL leadership, operations, and enrollment teams for state customers. Their work also involves engagement with state agency staff that approves publication of the materials.

Given our commitment to meeting the needs of a wide variety of potential employers who come to the program with many different abilities and ability levels, PPL assures that communications are appropriate for and accessible to the reader. In compliance with the RFP requirements found in Section 2.5.15, PPL outreach and education materials are compliant with the Americans with Disabilities Act, including Section 508. We aim for use of simple language that communicates information in a straightforward manner.

PPL also maintains program materials that can be referenced on demand at our website. These materials are organized by state, by program and by user within each program.

PPL understands that potential employers may be more familiar with homecare agency delivery models and will have many questions about their role and responsibilities in self-directing their own care.

Our materials are informed by our mission to **transform more lives by making self-directed home care easier for all**. We believe every individual can set and achieve attainable goals using the individualized supports and services tailored to meet their needs. Our approaches include:

- Advocating and assisting individuals to meet their personal goals and actualize their dreams.
- Supporting informed choice.
- Building on the individual's strengths, gifts, and talents.
- Seeking to understand in the context of a person's preferences, culture, age, and ethnicity.
- Developing policy and procedures that promote organizational-wide person-centered principles.
- Adopting performance indicators to measure how well staff are operating in a person-centered system.
- Ensuring public resources are expended as intended.

PPL understands the importance of person-centered thinking and planning as part of all outreach and education to individuals. We also believe person-centered planning means empowering individuals to make the best choice for them; also, an easy choice. This will be a core tenet of our education and outreach. We will strive to demonstrate to potential employers that choosing self-direction does not have to be more complicated than choosing agency services.

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.

One of the most critical success factors in growing to be the most widely used financial management service vendor in self-direction has been our commitment to program integrity. In 2018, when the Centers for Medicare and Medicaid Services (CMS) announced renewed attention to greater transparency, accountability and strengthened data analytics in the detection and prevention of fraud, waste and abuse, PPL was ahead of the curve. **Based on**

Public Partnerships presented FWA based ***“Building Program Integrity in a Self-Directed Environment”*** at the 2018 National Home and Community Based Conference.

our self-directed fraud and abuse detection reporting, PPL was selected to present a session on Building Program Integrity in a Self-Directed Environment at the 2018 National Home and Community Based Conference. The presentation highlighted unique aspects of a possible national model for program integrity, transparency, and data analytics that PPL co-designed with one of our state clients. We look

forward to working with the Division on replicating some of our national best practice approaches to fraud, waste, and abuse (FWA) prevention in self-directed models.

As longstanding vendors to state Medicaid programs, PPL recognizes that there are significant differences between acts of provider fraud and wasteful use of program resources that occur within the bounds of program rules. Abuse of program rules – to deliberately exploit a gap for personal gain – is somewhere in between. The CMS mandate of Electronic Visit Verification was a major step forward and therefore, we invested in building our own EVV solution, Time4Care, tailored to the self-directed service delivery model. We are also aware that EVV technology can provide greater insights into program waste by creating better analytics focused on shifts worked. To that end, our EVV solution comes with a full suite of administrative reporting capabilities.

As with any suspected program fraud, our role is to report to the appropriate state authorities and our client immediately. PPL understands that as a vendor to the Division, we will be charged with assuring your own timely identification and reporting of fraud, waste, or abuse to the State, and we will work closely with your program management to incorporate your own fraud reporting practices into our operations.

Fraud, Waste and Abuse Compliance Training

All Public Partnerships employees are required to complete mandatory annual training on Medicaid FWA. The training module is competency-based with a required minimum score to achieve for completion. Training topics begin with the Medicaid definitions of FWA, and learners must identify examples of each from case scenarios. They are required to demonstrate that learning objectives are met before continuing into other training topics; they are expected to achieve an understanding of how to recognize FWA, the major laws and regulations pertaining to it and become familiar with the internal and external consequences of not reporting it.

Staff are then trained in their role within PPL and as a Medicaid provider in detecting and reporting FWA. Our FWA plan on the following pages is reviewed with employees to ensure they understand their responsibilities within our functional matrix structure. The points of emphasis are strict and timely reporting of any suspected FWA, how and who to report to internally and adhering to our code of conduct in ethics in all instances.

Fraud, Waste and Abuse Expertise in Self-Direction

In 2018, the Centers for Medicare and Medicaid Services (CMS) Medicaid Integrity Institute, Center for Program Integrity publication, *Vulnerabilities and Mitigation Strategies in Medicaid Personal Care Services*, recommended actions to minimize risk to beneficiaries and reduce improper payments. One CMS recommendation is to *“Improve data analytics to reveal billing anomalies”*.

CMS defines improper payments as payments for *“...treatments or services that were not covered by program rules, that were not medically necessary, or that were billed for but never provided.”* Examples of improper payments that should be prevented and/or recouped from providers include:

- ✔ Claims without supporting documentation
- ✔ Services not eligible under State Medicaid policy
- ✔ Services provided without required supervision
- ✔ Services provided without State verification of worker qualifications
- ✔ Care provided while a beneficiary was in an institution (excluding retainer payments and respite)

States can realize significant cost savings by preventing improper payments such as excessive billing and exploitation of permissible overtime. PPL proposed specific strategies for our state client’s consideration, including imposing limits on hours worked by a single employee. *PPL projected that by imposing reasonable limits on excessive billing by these 1,085 employees alone, the state could save approximately \$3.5M depending on the hourly thresholds adopted.* Cost savings from preventing improper payments and

excessive billing can be reinvested in programs, reduce waiting lists, and allow states to serve more people with limited public funds.

Fraud, Waste and Abuse Compliance Plan

The following content summarizes our standard FWA Compliance Plan

Purpose and Scope

This suspected FWA Management Plan identifies the suspected fraud reporting objectives set forth in the client contract and amendments with Public Partnerships | PPL and the specific suspected fraud, waste and/or abuse activities in relation to the requirements defined and mutually agreed upon therein. This plan outlines the processes used and defines the roles and responsibilities for suspected fraud, waste and/or abuse management by PPL.

Definitions

Fraud: Knowingly and willfully executing, or attempting to execute, a scheme or artifice to defraud any health care benefit program; or to obtain by fraudulent pretenses, representation, or promises of any of the money or property owned by, or under the custody of control of, any health care benefit program.

Waste: The over-utilization of services, or other practices that, directly or indirectly, result in unnecessary use in the managed care program. It is generally not caused by criminally negligent actions but misuse of resources.

Abuse: Actions that may, directly or indirectly, result in unnecessary cost to the Medicaid program. It involves payment for items or services and is not legal entitlement to that payment and the provider has not knowingly and/or intentionally misrepresented facts to obtain payment.

Physical Abuse/Neglect: The physical abuse and/or neglect of persons involved in the program.

Roles and Responsibilities Matrix

This matrix lists the suspected FWA management-related responsibilities, and the table below identifies the roles of each party, corresponding to Action to be taken.

Action to be Taken	Frequency
1 Report suspected FWA to PPL.	Ad-Hoc
2 Report suspected FWA to Client.	As necessary

	Review of suspected FWA metrics on the PPL report card at Quality Assurance meetings with Client.	
3	Schedule meeting with Client to review suspected FWA component of the PPL report card.	Monthly
4	Provide Client's suspected fraud management personnel relevant access to the MyAccount web portal.	Ad-Hoc
5	Update PPL's Suspected Fraud Management Plan based on contract amendments between Client and PPL.	When there is a relevant contract amendment

RACI Chart for Fraud, Waste, and Abuse

R = Responsible (directly responsible for execution), A = Accountable (ultimately accountable), C = Consulted, I = Informed

	Client	Public Partnerships LLC		
	Client Suspected Fraud Management Team	PPL Compliance	PPL Account Management	Non-PPL Personnel and PPL Personnel in other functional areas
1		Responsible/ Consulted/ Informed	Responsible	Responsible
2	Informed	Accountable/ Responsible	No Role	No Role
3	Consulted/Informed	Consulted/ Informed	Accountable/ Responsible*	No Role
4	Informed	No Role	Accountable/ Responsible	No Role

5	Informed	Accountable/ Responsible	Informed	No Role
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Number corresponds to Action to be Taken in the Roles & Responsibilities matrix above

Reporting

PPL personnel are required to complete an annual training course for awareness of the definitions of fraud, waste and abuse and awareness of the state and federal fraud guidelines. PPL personnel are subject to a company-wide policy that requires reporting of suspicions of FWA using the available means (call and email). Personnel can also make an anonymous call to the corporate compliance hotline to report suspected FWA.

Suspicions of FWA are also reported by non-PPL personnel including but not limited to program Beneficiaries/Employers, employees, and authorized representatives. Suspected FWA claims are received from different sources (customer service calls, faxes, mails, and/or emails) and are ultimately documented using a support ticket functionality.

Suspected FWA Claim to Client

Suspected FWA claims are documented within our MyAccount enrollment and case management application using the precise language of the original reporter. At the agreed upon frequency, PPL gathers such support tickets and submits them to the designated suspected fraud management client contacts. As a mandated reporter, PPL reports suspected fraud claims and does not investigate such claims. Decisions to prosecute and/or refer examination results to the appropriate law enforcement and/or regulatory agencies for independent investigation rest with the client or the applicable authority, e.g., Medicaid Fraud Control Unit (MFCU) or the Office of Attorney General (OAG). As a mandated reporter, PPL contacts the State Abuse Hotline number within 24 hours of receiving a suspected physical abuse and/or physical neglect claim and does not follow-up on such claims as the investigations are conducted by the respective authorities.

Requests by Investigators

PPL grants the designated client personnel access to MyAccount to view documentation for beneficiaries in the client program(s). Such access allows the client to obtain enrollment documents directly from MyAccount to assist in their investigation of suspected FWA claims.

PPL responds to requests for documentation from investigators using a triaging process. Investigators submit a completed request form detailing the documents needed. Only documents required to be maintained by PPL (per PPL's contract with the client) can be submitted by PPL to the FWA investigators.

PPL works in coordination with its legal department to respond to requests for appearance in court in relation to a suspected fraud investigation. PPL will provide statements that speak only to PPL's contracted financial management services processes with the client.

Investigation Support

PPL personnel are subject to a company-wide policy that requires cooperation with appropriate authorities on investigations of suspected FWA. PPL personnel are expected to speak only to PPL’s contracted financial management services processes with the client.

Actions based on Investigations

Rulings on suspected fraud investigations are communicated by the relevant authorities (e.g., Adult Protective Service and Child Protective Services) to the client. PPL will take actions on the authorization and/or eligibility status of a beneficiary in a client program based on documented information provided by the client. As such, PPL will only take actions on an individual’s status based on notification from the client in the agreed-on format (e.g., updates through the budget authorization and 271 eligibility file).

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.

PPL's Continuity of Operations Plan (COOP)

PPL maintains a robust Continuity of Operations Plan (COOP) for recovering and restoring systems and operations in the event of a disaster or other emergency, as described below:

PPL's COOP uses a Critical Service Recovery Strategy (CSRS), a collection of artifacts that establishes formal procedures and supporting technical solutions for mitigating and reacting to an emergency event and resuming normal operations. Our CSRS complies with Continuity of Operations (COOP) guidelines as set forth in National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20), the National Continuity Policy Continuity Guidance Circular 1 (CGC 1).

Our CSRS mission is to:

- 1 First, prevent the opportunity for a service failure;
- 2 Second, in the event of a system failure, minimize any impact to operational services; and
- 3 Third, in the event of a service failure, return to full systems integrity and operation as soon as practical.

PPL expects to withstand minor events such as short duration power outages, single system failures, and other issues without bringing critical systems and applications offline. Specific goals of the CSRS are;

- 1 to detail emergency response options to ensure continuity of business operations, and
- 2 to describe changes in communication and command during an emergency.

Information Backup

PPL hosts all business-critical systems in its Primary Data Center, a Tier 4 data center, the most stringent level in the ANSI/TIA-942 standard. Its fault-tolerant site infrastructure guarantees 99.995% availability with uninterruptable power supply (UPS), redundant power

and network paths for IT and environmental systems. More specifically, the redundant power system incorporates:

- Separate parallel transformers with separate parallel underground utility feeds to ensure seamless core power availability
- Dual power feeds from multiple power distribution units (PDUs) within each enclosure to support optimal distribution of electric power, with no downtime
- Multiple generators, fuel tanks, and batteries to ensure seamless power continuity and 100% uptime for all components within the facility
- PPL also maintain an offsite data center that can mirror the system should there be any disruption to the primary data center in any one of several alternative Secondary Data Center sites in the U.S.

PPL regularly and securely backs up all business systems and data, including payroll and claims files. PPL uses a commercial backup application with the following rotation schedule:

Daily	Full back up of all operational data during the third shift (Eastern Time); hourly database logs are also taken for more timely data restoration throughout first and second shifts and backed up during the third shift.
Sunday through Thursday	Differential backup of all systems, including non-business critical systems, taken during third shift, and overwrite-protected for 4 weeks.
Friday	Full back up of all systems, including non-data software installations and server configuration, taken during third shift.
Saturday	Full copy of all backup media sent to a secure off-site location each week; tapes are stored off-site for 12 weeks then rotated back.
Quarterly	Off-site copy for first Saturday of every quarter; tapes are stored off site indefinitely.
Annually	Tape location moves occur the last day of each year; tapes are stored offsite indefinitely.

PPL makes complete backups of all software installations and remove tapes to a storage facility off site. The tapes are retained in the grandfather, father, and son backup rotation scheme. The “son” daily image is promoted to “father” on Saturdays and “grandfathered” on a quarterly basis. Autoloader systems (robots) help automate our backup procedures. All locations use either DLT format or replicate their data to our corporate data center.

Storage Type	Primary Copy <i>Tier1 storage</i>	Selective Copy (T3) <i>SuperMicro</i>	Selective Copy (T4) <i>Tape or HCP</i>
Schedule and Backup Type	0-30 days Weekly Full Daily Incremental	365 Days Weekly Full	Archive – anything over 365 days <u>3 years</u> Monthly, Full <u>10 years</u> Annual, Full

Virtualization and Storage Technology

RAID (Redundant Array of Independent/Inexpensive Disks) in our SAN (Storage Area Network) protects from data loss caused by physical damage or errors on a single drive. For some types of drive failures, entire subsystems on these storage servers can fail without stopping ongoing operations. PPL uses a commercial off-the-shelf product, VMware, to abstract the hardware layer from the software OS. In the event of a disaster, this allows PPL to quickly restore servers in a new data center, usually within 24 to 48 hours.

In the event of the failure of a physical server running virtual servers, VMware automatically moves the virtual servers to an alternative physical server in the same data center, preserving ongoing operations and preventing downtime.

Redundant Architecture Design

High Availability: Our physical architecture uses SQL Server Failover Clustering to ensure that our databases remain available even if one database node fails. We load balance other services across multiple redundant servers. For example, if one of the ERP systems fails, the others can perform its workload without an interruption in business operations.

Multiple Tiers: Our solution architecture separates critical functions logically and/or physically. For example, database services are on a separate server from application services.

Workstation Interchangeability: All staff workstations are created from an approved machine list that is compatible with a single machine software image. All staff’s authentication credentials are managed on our secure network. If a user’s workstation fails, the individual can securely log in to another corporate workstation and seamlessly regain access to applications.

Safety/Power devices: PPL deploys safety devices throughout our facilities that are designed to protect personnel and operators of the equipment and to protect equipment from

power outages. Examples include: HVAC, UPS, backup power generators, fire alarms, and physical intrusion detection.

Anti-virus: Every computer and server at PPL is protected from computer viruses using a uniform, multi-level anti-virus platform that is centrally managed on a corporate-wide level. This allows us the ability to react extremely quickly to virus outbreaks should they occur.

Maintenance: For software, PPL performs regular maintenance on systems to ensure patches are up to date. For hardware, PPL has desktop, laptop, and server and network device hardware standards supported by well-established and reliable vendors. Hardware is regularly replaced before it becomes obsolete or is refreshed when the business requires changes. PPL has on-hand or on-contract backup hardware to replace devices that might fail, such as laptops or network routers.

Assessment & Testing

Assessment

All strategies are based on an analysis of our business and operational needs, potential risk exposures and business impact should PPL experience a loss of service. PPL reviewed the following information when formulating our CSRS strategy:

- **Threats:** Identifying situations or conditions that have the potential to cause injury to people, damage to property or disruption to operations; risk assessments are conducted periodically
- **Business/Operational Impacts:** Determining the business impact resulting from the loss of a critical resource that may affect several business processes

Testing

PPL periodically tests elements of our CSRS to ensure that any supporting preventative measure or plan will work as expected during an unplanned event. Tests are realistic and economically practical, and we have performed them at remote locations with a team comprised of PPL IT Services, PPL IT staff, and SunGard data center personnel. PPL's CSRS test scope and schedule varies yearly.

Vulnerability Assessments

PPL contracts an external vendor who conducts vulnerability tests on a periodic basis. PPL also conducts vulnerability scans during our quarterly maintenance windows. Our Information Security Organization (ISO) group conducts scans against all new production deployments.

Plan Administration & Training

The CSRS encompasses a set of living documents that remain current and relevant. The PPL ITS Department and Information Security Officer coordinate CSRS updates when warranted by changes in systems, vendors, or staff.

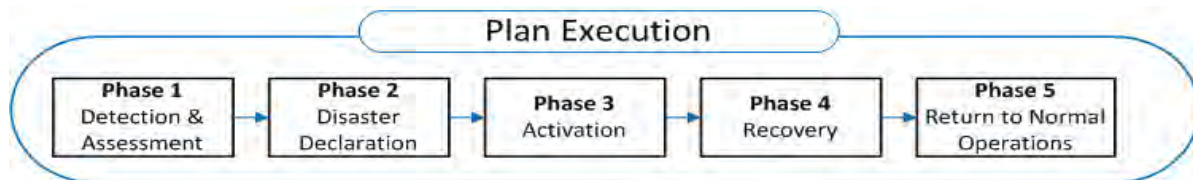
We train specially identified technical staff members in disaster recovery duties to help ensure we are prepared for an unexpected event. PPL’s Emergency Response Training Program consists of the following components:

On-the-Job Training: Experienced technical staff train new technical staff members with disaster recovery duties upon hire. We train all staff members upon hire for their personal roles in Continuity of Operations during Disaster Recovery, through new hire training, preparation from the supervisor, and periodic memoranda from the PPL Management Team.

Execution: We provide further training developed because of periodic CSRS testing activities.

The Disaster Recovery Plan

PPL’s five-phase Disaster Recovery Plan provides clear guidelines for detecting emergency events, assessing a situation and the appropriate response, formally activating the CSRS, and shepherding operations back to a normal state.



Detection and Assessment

The intent of detection and assessment is to quickly assess and determine whether the event requires invoking all or part of the Disaster Recovery (DR) plan elements. The person who first discovers that an emergency is or may be developing is responsible for assessing the emergency and engaging the DR team members to assist with this initial assessment. These assessments are conducted in either a proactive or reactive mode, as described below:

- **Proactive:** When a team may have advance knowledge, such as a severe weather alert, the DR team will send an early warning to staff to prepare for the event to mitigate the risks.
- **Reactive:** When the team becomes aware of the event after its occurrence, it will complete a damage assessment as quickly as the given conditions permit, with personnel safety remaining the highest priority. The DR team initial response group also may perform emergency remediation activities in this phase if the Emergency Situation requires it.

Disaster Declaration

When the PPL president and executive management team officially declare a disaster is occurring at a facility, we will activate our CSRS plans. The DR team will brief the executive management team of the emergency, the degree of impact on PPL operations at a remote

site and on the company as a whole; the number of users affected by the disaster; impact on client activity and processing; and the estimated time to full recovery.

Activation

The mobilization of remaining DR Team personnel is described in PPL's DR plan. PPL maintains an Emergency Contact/Capabilities List containing staff home and cell phones, personal email, remote internet access, and capabilities for critical tasks for timesheet and invoice processing and payroll. Our mobilization/notification process allows us to notify and apprise personnel of the situation quickly, so they may execute their job responsibilities.

Recovery

Recovery procedures focus on measures for staff to operate in a contingency mode. Our objective during this phase is to recover operations in contingency mode within 48 hours or less. The recovery process begins immediately after disaster declaration and may take place in parallel with activities focusing on returning to a normal operational state. Engineers who normally work on new product development will dedicate part of their time to supporting customers.

Return to Normal Operations

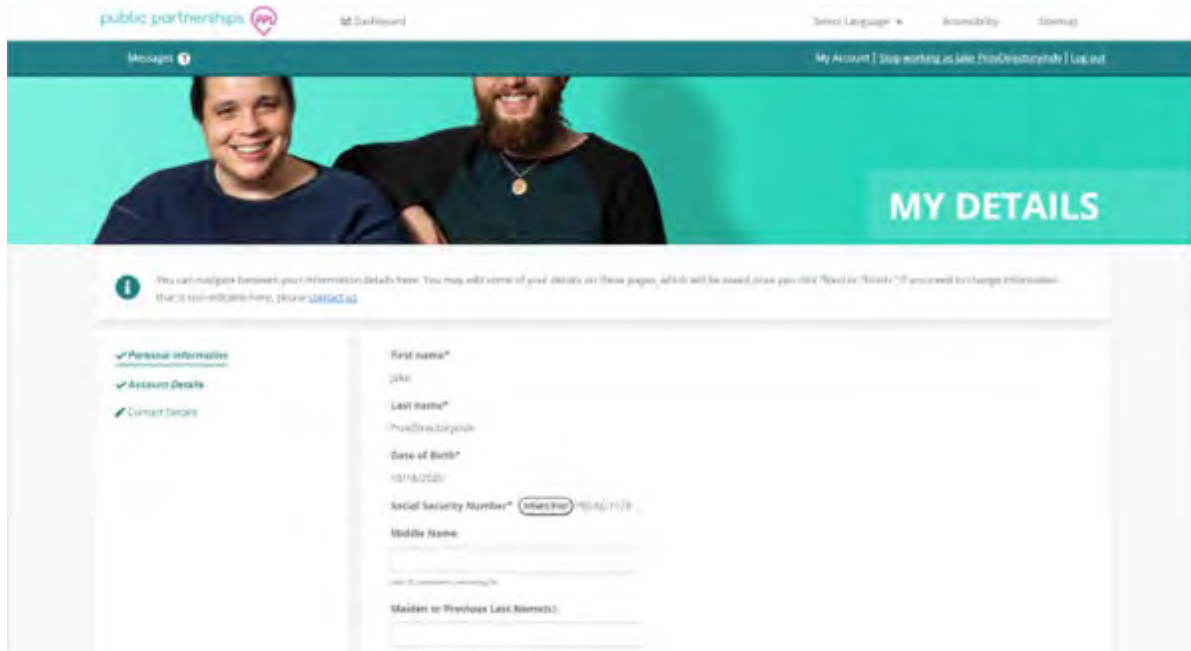
The primary goal of this phase is to restore normal operations as soon as possible. Salvage efforts such as repairing the damage to original systems, equipment replacement, and restoration occur in this phase. Eventual restoration of normal processing depends on the damage caused by the Emergency Event. The period for returning to normal operations can vary from several days to several months. At the completion of the Return to Normal Operations phase, all critical services must be restored to normal in the original facility unless the original facility is unrecoverable. If the original facility is unrecoverable, normal operations will be restored in a new facility as soon as possible.

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.

Unique Identifiers

PPL’s MyAccount web portal assigns every participant a unique system ID at the time they complete their portal registration. Participant MyAccount registration occurs once a referral has been approved. The portal also stores imported Medicaid ID or any state assigned program ID, all which assures that no participant is assigned a duplicate identifier.



PPL takes all measures to protect beneficiary’s PHI.

MyAccount for IndependentChoices will be set up on a segregated cloud-housed HIPAA compliance database in MS Business Central. PPL’s information security program addresses specific aspects of information access, use and disclosure. The company-wide information security policies and standards were developed from careful examination and inclusion of National Institute of Standards and Technology 800-53 (rev. 4), Health Insurance Portability and Accountability Act, Family Educational Rights and Privacy Act of 1974, and AICPA Attestation Standards, Section 101 SOC 2 controls. The policies and standards also reflect international and federal laws, executive orders, directives, regulations, standards, and guidance.

PPL performs a risk analysis to determine risks to the confidentiality, integrity and availability of data entrusted to it by its business partners/clients and others and establishes internal controls aimed at reducing risks and vulnerabilities to a reasonable and appropriate level. Security measures include, but are not limited to:

- Locating servers within Tier III or higher data centers,
- Implementing logical and physical access controls,
- Encryption of data in transit,
- Deploying firewall and network intrusion detection,
- Training workforce on security and privacy awareness,
- Establishing back-up and recovery procedures, and
- Establishing an incident management program.

Please see ANSI/TIA-942 for a full listing of security controls required for Tier III certification. The data center that hosts the MyAccount production environment has obtained an American Institute of Certified Public Accountants (AIPCA) SOC 1 Type 2 report on its information technology general controls as well as an AIPCA SOC 2 Type 2 report over its controls relevant to security and availability. The data center that hosts the MyAccount backup environment has obtained an AIPCA Service Organization Controls (SOC) 2 Type 2 report over the information technology general controls over the Enterprise Hosting Service as well as an AIPCA SOC 3 report.

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.

PPL's Approach for Staying Compliant with Federal and State Rules and Regulations

First and foremost, PPL employs self-direction policy experts who have been working in the field for decades and have deep knowledge of current federal rules that govern the self-direction model in Medicaid home and community-based services (HCBS).

Suzanne Crisp and David Horvath lead our policy unit. Prior to joining PPL, Suzanne headed the National Resource Center for Participant Directed Services technical assistance efforts. David has been a presenter at HCBS conferences, advisor to states on overall Medicaid service delivery and develops and delivers our presentations on major topics like the Live-In Exemption, Difficulty of care payment and most recently the American Recovery Act. Both Suzanne and David were supporting authors of the FEA Core Standards - a set of standards the leading fiscal intermediaries agree are industry best practice.

Organizationally, PPL is structured as a functional matrix to ensure we have focused expertise in each operational area. Each of those functional areas has designated subject matter experts that define our operational procedures in support of the policy. For example, our payroll and tax unit employs several CPAs and tax professionals with extensive knowledge of IRS and state specific laws and rules.

Policy and Technical Assistance

Research & Analysis

- Any new state, federal or CMS regulation impacting our fiscal intermediary management services are researched through documentation analysis and outreach across the CMS and HCBS community.

Functional Operations

Operational Assessment & Policy Implementation

- Depending on the policy and subsequent operational area impacted, the Policy and Technical Assistance team briefs the Operations subject matter experts who then draft the step by step procedures and quality assurance measures to ensure ongoing compliance.

Technical Product Office

Policy Enforcement through Technology

- Based on the operational impact, the designated functional area subject matter expert engages our Technical Product Office to communicate system configuration changes required to support the policy and ensure efficient administration.

Our functional area experts closely monitor industry changes and adapt as we learn to best meet the needs of beneficiaries/employer and employees. Therefore, every program policy and procedure manual is considered a work in progress given our commitment to ongoing

assessment and refinement. The IndependentChoices policies and procedures manual we will fully develop, vet with the Division, and maintain will account for all functions pertaining to Beneficiary/Employer and employee enrollment, employer registration, payments and tax filings, service claiming and customer service.

PPL also contracts with Applied Self Direction to provide us with federal and state policy and regulatory updates related to this home and community-based services model. We subscribe to CMS policy emails to receive policy update alerts. We actively review the CMS state waiver page to identify HCBS waiver amendments that have been submitted by a state and/or approved by CMS.

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

Our technology applications that facilitate interactions between PPL staff contacts with Beneficiary/Employer and employees includes the ability to capture and store those interactions. All incoming calls, outbound return calls, chats, and email communications are documented in our Customer Relations Management (CRM) software for tracking, statistics, and disposition.

PPL has detailed procedures for receiving, tracking, and responding to all interactions between program participants and employees. Once an interaction occurs, PPL creates a case in the CRM that identifies the individual who initiated outreach and the reason. All cases automatically include a date and time stamp. Our CRM maintains all documentation for any interactions including the date it was received, the status of the call or email, and the date it was resolved. The CRM can store this data for consistency with records retention and records management requirements.

E.13 Electronic Visit Verification

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

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B.

Describe the proposed hosting environment.

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C.

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

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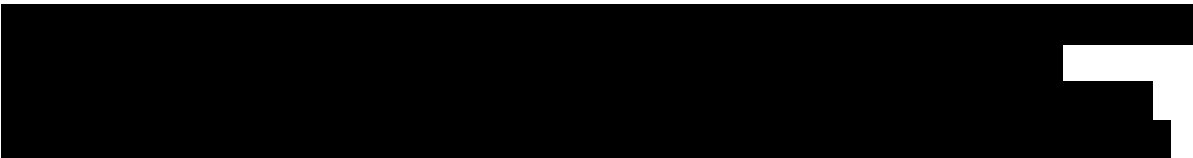
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D.

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



[Redacted content]



E.

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

Because PPL’s EVV compliant time capture methods are all integrated with employer and employee MyAccount portal profiles, account management is foundational to our solution. As part of enrollment, IndependentChoices participants and their caregivers will all establish MyAccount profiles. The credentials for logging into MyAccount are the same as the login credentials for the Time4Care app. EVV compliant time reporting can also be entered directly through the web portal in addition to the app. For this reason, all time capture activity is taking place within the user’s account. Once again, our “enterprise wide” IT system assures that EVV compliant time capture is directly embedded in all other elements of our business process.

F.

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

PPL has successfully integrated our EVV solution with EVV aggregators including AMFe. PPL has a long-standing working relationship with Fiserv and AuthentiCare beginning in South Carolina in 2007. PPL and FiServ partnered to deliver financial management services for South Carolina’s self-directed program. PPL provided all participant and employee enrollment support, customer service, web-based account management system and integrated our payroll processing systems with AuthentiCare. In Oklahoma in 2009, PPL again integrated our payroll processing and service billing systems to retrieve AuthentiCare files, upload to our systems and validate the time entry data against participant budget authorizations prior to PPL issuing payments. On both engagements, PPL and the FiServ team collaborated, communicated, and committed to parallel system adjustment to ensure a seamless time capture solution.

PPL currently integrates with various data aggregators, such as SanData, HHAeXchange, Netsmart, and CareBridge in a number of states, including PA, CO, ME, RI, AZ, WV, FL, and NJ. In each state and program, we have successfully engaged the aggregator in confirming processes, timelines and data specifications.

E.14 Quality Control

A.

Describe how satisfaction of caregivers is monitored (such as satisfaction survey).

PPL maintains a strategic partnership with T-Care, an application designed to screen caregivers for burnout and provide targeted support to help resolve sources of caregiver stress. PPL believes that augmenting our financial management services with support from T-Care is an effective way to monitor caregiver satisfaction with their work

Regarding caregiver satisfaction with services provided by PPL, we monitor both participant and caregiver satisfaction through post-call surveys and periodic satisfaction surveys.



A recent example resulted in 225 survey results from our work with the New Jersey Personal Preferences Program. Based on the survey results, PPL was able to take action in response to the survey to improve and change our business practices. Leveraging stakeholder feedback and new insight we gain from satisfaction surveys remains core to our approach and helps us to put the voice of the customer first.

PPL will conduct and analyze a similar participant satisfaction survey for Arkansas, using a sample size and instrument that is approved by DHS. Additionally, PPL will complete the survey and provide analysis within the time frame negotiated with the State. To conduct the survey, PPL will utilize a market-leading digital customer survey tool and various communication tactics, including our MyAccount web portal, to conduct participant satisfaction surveys and garner feedback on programs. PPL assists in the preparation of questions, the distribution of materials – both digitally and in hard-format if necessary – as well as sending reminders that the survey is active. PPL compiles, analyzes, and presents the results back to the State and distributes those results to other parties, as necessary.

In addition, PPL has a full suite of reports driven by our Five9 call systems. Not only can PPL deliver all the metrics required in the RFP for monitoring caregiver satisfaction, but we also have additional satisfaction tracking recorded through standard post call surveys and Net Promoter Scoring (NPS). Reports such as our Total Call Counts and Averages on Abandonment and Queue Time highlight our reporting capabilities and ability to segment

and report out on a full range of quality metrics including calls by type, average hold times and total calls handled week over week for trend analysis.

B.

Describe the process for reviewing services prior to payment and what actions are taken when an issue is found.

In our experience the majority of pay issues result from gaps between information submitted and applicable program rules. Our staff are trained to identify these gaps and help Employers and Employees understand what is required, supply missing information, or correct errors. We constantly analyze pended and denied timesheets and invoices to identify root causes and offer retraining on timesheet submission. Some of the mechanisms that we have in place to review services prior to payment include:

Service Validation – With the submission of each timesheet, the dates and service delivery details (e.g., In/Out time) are verified against the Beneficiary/Employer budget (services and remaining dollars/units). Our EVV compliant time capture methods permit employees to do this in real time and correct their entry prior to submitting it to avoid an error. Our capacity to validate time entries against budget is uniquely supported by our enterprise-wide IT system.

Budgets and Expenditures – Each employer will have access to real time budget expenditure data in their MyAccount profile. This data will be displayed in easy-to-read formats that make budget management easier. MyAccount also displays timesheets payments that are in process to ensure every Beneficiary/Employer knows exactly how much of their budget remains.

Financial Integrity – PPL configures for all applicable tax rules. Proper tax withholding and compliance has been an area that sets PPL apart from our competitors. Our payroll system is highly configurable to include the service limits, wage rates, and other critical pay controls that help prevent improper payments. We combine industry-leading pay controls with mandatory staff training and reporting systems.

Should an issue be found, our team will respond immediately to resolve the issue. Examples of adjustments we can make quickly include:

- ✓ Modifying budget or service authorization
- ✓ Issuing an off-cycle payment
- ✓ Recoupment of funds

We recognize that errors can happen, whether a timesheet was submitted or approved by mistake, or a budget or service authorized incorrectly. PPL has safeguards to monitor these situations, but also the tools to resolve any issues that could emerge.

C.

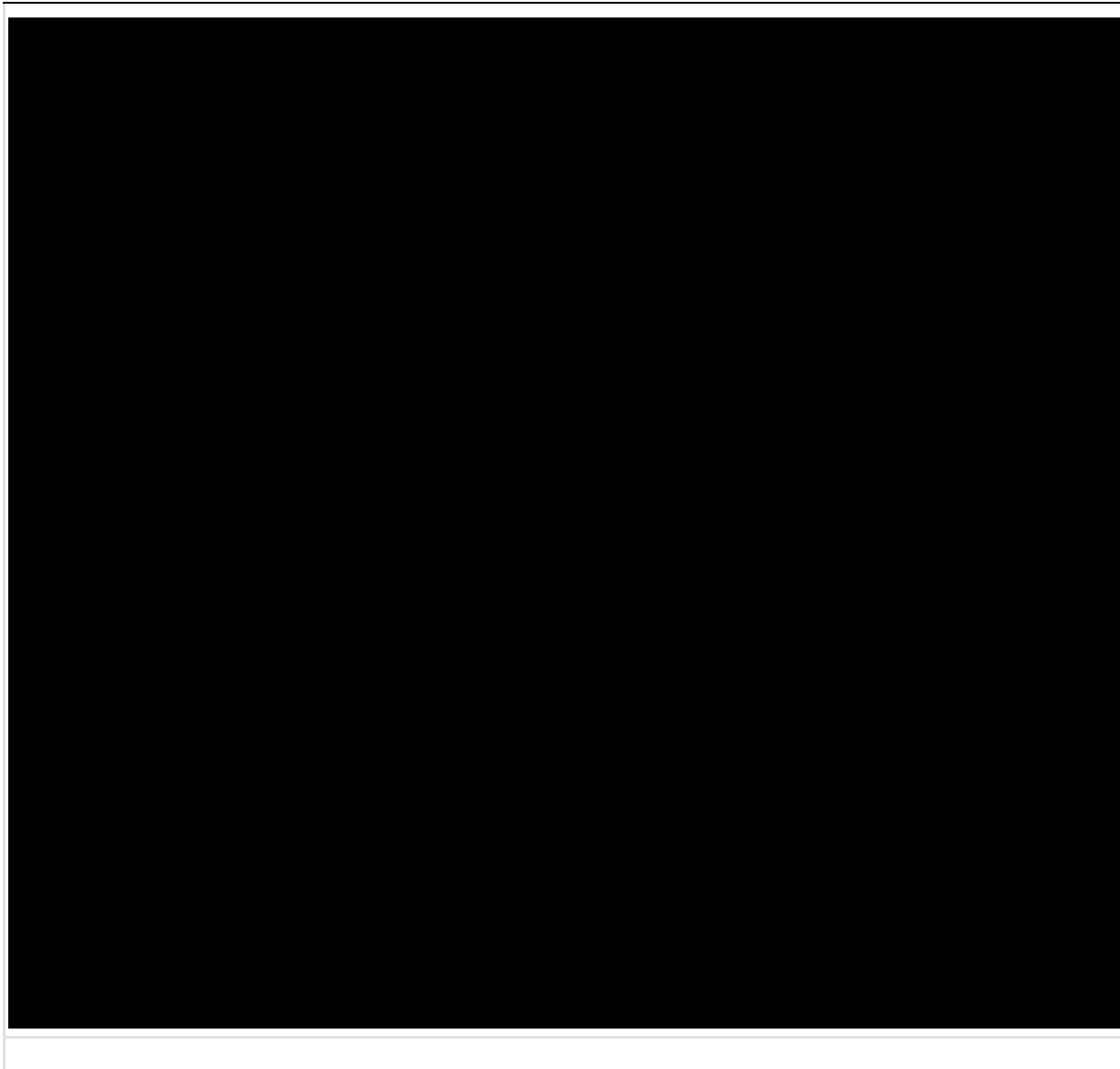
Outline the pro-active strategies used to identify and flag unusual activity for review.

The PPL payroll systems are configured to enforce program rules through automation. The payroll system can be configured to flag instances like simultaneous time submissions for multiple participants, submission of time exceeding an authorized amount or inconsistent with an authorized date. We use these automation features for quality assurance. In addition, our staff is trained to detect and escalate potentially fraudulent activity with employee/employer account changes and with payment anomalies. Our staff receive mandatory fraud, waste, and abuse training annually, detailed in Section E.11 of our Fraud and Abuse Compliance Plan, and are trained to identify and flag unusual activity for review.

Our Data Analytics team has developed numerous reports that breakdown shift submissions in aggregate and at the employer-employee level. These reports allow us to quickly identify employers and employee having EVV submission issues, gaps in service submission and trends that can be address through outreach and education. We use the term “pend” to identify time submission that failed one of our system’s pre-adjudication checks.

These aggregated reports provide our clients insight into trends and opportunities to improve orientation and ongoing training initiatives.

PPL maintains standard reports for over and underutilization, see next page for example. Our contract manager will be responsible for assessing these reports and communicating variances and follow up with DHS.



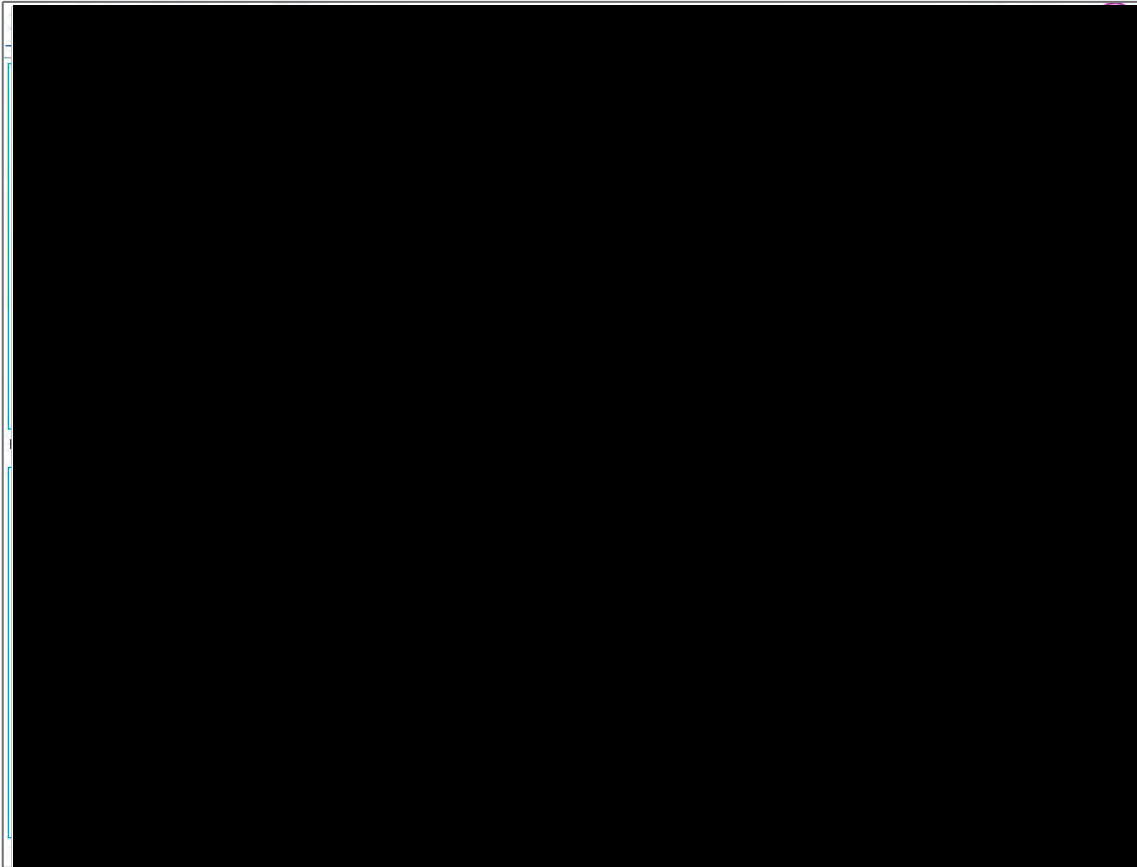
D.

Describe the Prospective Contractor's approach to ensure timely and accurate payroll processing.

We understand the balance between timely payments to participants and workers and ensuring the payments are fully compliant with Medicaid waiver requirements and programs' rules. To ensure every service payment is not only authorized, and paid within rate limits, we designed our MyAccount portal with profiles and checklists for the Beneficiary/Employer, employee, and waiver vendors. The checklists record enrollment forms for the Beneficiary/Employer like IRS Forms SS-4 and 2678 and worker hiring documentation like USCIS Form I-9 and criminal background status. Each timesheet or invoice that is submitted for payment is initially validated against all pertinent checklist items. Any missing information required for payment processing is returned in real time so both our staff and the participant are immediately made aware of why the payment has pended and what is required to resolve the issue.

The PPL EVV compliant Time4Care mobile application, as well as our MyAccount online portal, is integrated with our payroll system allowing us to process shifts daily against individual budgets. Payable shifts are batched for payroll and those that *pend* are pulled for additional follow up. Processing batches daily allows us the maximum amount of time to rectify time errors in advance of payroll.

PPL routinely reviews EVV exemption options and criteria by program, service, and compliance standard. Using customized payroll ledger entry tables, we can capture and report on EVV submission type, including full exemption. Those entries enable our staff to manage exemptions to ensure timely payroll.



E.

Describe the Prospective Contractor's methodology for analyzing data to detect quality concerns.

PPL maintains rigorous quality standards for all components of our service delivery system, as we plan to do throughout our Arkansas engagement. Our overall approach to assuring quality includes:

- ✔ Clearly establishing program requirements and policies & procedures
- ✔ Effectively training staff
- ✔ Establish quality assurance standards and program review metrics
- ✔ Maintain a process for continuous quality improvement

Our Advanced Data Analytics team has a rigorous data assessment and analyzation protocol. The lead for this team analyzes all programmatic data for each program on a regularly scheduled basis. There are pre-established algorithms designed to detect inconsistencies in our data that may yield to identification of quality issues. Our Data

Analytics lead then partners with our Quality Assurance Director to review the findings and create a mitigation plan from this point forward.

Establishing Business Requirements, Policies and Procedures

We will ensure all staff understand program requirements and that we have established policies and procedures to comply. Policies and procedures describe, in detail, the purpose, procedure, and internal control for each task. They are leveraged to develop a training curriculum and to ensure each task is being administered effectively.

PPL’s standard process for developing and maintaining policies and procedures includes:

- A** Meeting with key client staff to ensure all requirements are fully understood.

- B** Establishing operational protocols for each area of service delivery. Each policy and procedure manual is drafted in accordance with the requirements and expectations of the program and identifies internal controls for each task required to be performed under the contract.

- C** Review and confirmation of draft policies and procedures by state program staff.

- D** Drafting a policy and procedure manual and distributing to staff and stakeholders.

PPL’s standard contents for policies and procedures includes:

- A** **Self-Direction** – Instruction on what participant direction is, key terms and definitions, and the benefits of Self-Direction for participants

- B** **HIPAA** – Instruction on HIPAA privacy and security policies, including appropriate transmittal and use of protected health information and data.

- C** **Security Training/SOC 2** – Instruction and guidance on how to prevent network security breaches, including how to recognize, avoid and combat viruses and other threats to firm information security.

- D** **Fraud, Waste, and Abuse (FWA)** – Instruction on definitions and laws related to fraud, waste, and abuse and the False Claims Act.
- E** **Job Specific Tasks** – Instruction on how to perform job specific tasks required under the contract.

Training

PPL understands that effective training drives high-quality service delivery. Our training program is administered by our internal Learning and Development Team, leveraging internal software, Brainier and live training class sessions. Training topics include:

For our Arkansas contract, we will also train staff on the specifics of the waivers that govern program services. We will review state statutes and administrative rules that codify the federal waivers. We will provide information to staff to help them understand current DHS initiatives to simplify and improve waiver services. We strive for our staff to understand the other key stakeholders and partners we will be working with to achieve the broader aims of the waivers.

Establishing Quality Assurance Standards

PPL uses a standard process to establish quality assurance standards. The steps involved are as follows:

- A** Review policies and procedures for each task and identify quality metrics.
- B** Design data collection and review procedures for each metric.
- C** Determine the frequency and method of review.
- D** Determine acceptable performance scoring and plans for correcting deficiencies
- E** Finalize the quality workplan with functional areas.

Continuous Quality Improvement

Beyond assuring that specific program metrics are being met, PPL strives to continuously improve our service delivery. We focus these improvement processes on areas where the problem and associated solutions have not yet been identified. The employed methodology is known by the acronym DMAIC, used to manage continuous improvement initiatives:

Define the Problem – During this phase, the team seeks to gain a detailed understanding of the problem during the Define phase and employs a set of tools, stakeholder interviews, and process observation to clearly define the issue.

Measure Performance – The team collects data from throughout the process to determine possible root causes driving non-conformance. The QI team reviews the data to determine specific process steps that may be non-value added or which may be causing process variation.

Analyze Potential Root Causes – The team focuses in on narrowing down potential root causes of the issue to a critical few. The team employs tools and techniques such as Fishbone diagrams, Five Why Analysis, and Pareto charts to help focus in on root causes driving non-conformance. Finally, if required, basic statistical methods such as Correlation Analysis and Hypothesis Testing are employed to confirm the root causes identified through the methods listed above are indeed materially driving process non-conformance.

Implement Improvement Solution – The team works with the responsible functional unit(s) to implement the To-Be process designed in Analyze phase. The team trains responsible functional teams on the redesigned process and ensures it is implemented according to the updated policies and procedures. Finally, the team will oversee, at a minimum, two cycles of each procedure to ensure the updated process conforms with the defined specification limits. In cases where the updated process does not conform with the specification limits, the team will pause implementation activities and reanalyze the process to identify and correct other root causes.

Control and Monitor New Process - The final phase of the continuous improvement process is to Control and Monitor the updated process. In this phase, the team works with functional teams to ensure redesigned processes continue to perform according to defined specification limits. Again, depending on the type of improvement being managed, a range of tools can be employed to monitor and control a process, including basic statistical reports and graphs to

statistical process control methods such as control charts. These reports alert functional teams to out of control (i.e. not meeting specification limits) process which are then sent to the team for evaluation.

F. Describe the Prospective Contractor’s tracking mechanism used to track and monitor customer support.

PPL’s customer care embraces our mission: ***Transform more lives by making self-directed home care easier for all.*** Over two decades, PPL has continuously improved our customer service as our experience serving employers and employees has grown. PPL customer care staff are trained on the foundations of self-determination and the importance of decision making and control over services to ensure sustained independent living.

We believe compliance is driven by our customer care agents, and we invest heavily in their quality.

PPL uses **Microsoft Dynamics CRM** application to track communication with Beneficiaries/Employers and employees. This CRM operates on a Five9 cloud-based platform. Five9 ensures we have the most modern telephonic capabilities including interactive voice recognition that allows Consumers and Employees to get immediate responses to routine calls. Five9 also provides access to call recordings for up to one year.

PPL tracks the following metrics: Total Calls/Contacts, Talk Time, Average Queue Wait Times, Abandon Rates and Service Levels using our Five9 phone system software. These metrics are tracked in real time using a dashboard enabling the Customer Service Supervisor to analyze and when necessary, adjust and ensure all service levels are met. Careful planning goes into forecasting increased call volume. For example, at transition, it is expected that call volume will be at the highest, as such PPL will staff to meet our customers' needs. If there is a requirement change, an upgrade to any of our proprietary tools or a regulatory change that has the potential to impact employers or employees, we would ensure all PPL customer care staff is aware of the change, update scripts, place pop ups on program pages, add a ‘Message of the Day’ on the IVR system, which plays an automatic message when the caller connects, and as necessary add more staff to the call center. Based on our scale and serving 50 programs we understand the trends that cause increased call volumes. For example, when W-2s are expected, calls increase, we plan accordingly.

Metrics provide the data by which we analyze and make course corrections. PPL is constantly reviewing and making improvements. We ask ourselves “Do we get the same question repeatedly?” “What areas do we need to change to empower the population?” Call data is one piece of information used to continuously improve. Below is an example of a Customer Service report which is pullable in real-time data:











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.

[Redacted content]

[Redacted content]

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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

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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)

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D. Provide specifications and security standards for storage and transmission of electronic documentation.

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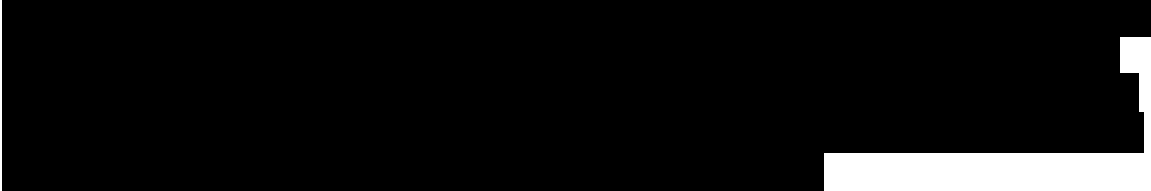



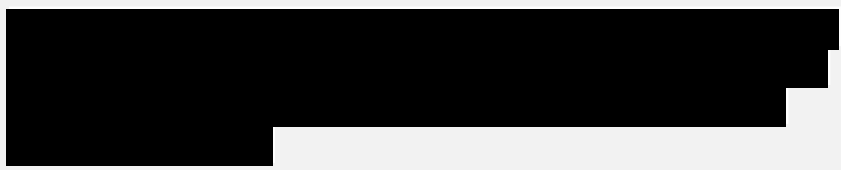






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E.

Provide a copy of your disaster recovery plan, which 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.



	
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