



Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia Master Agreement

Order Date: 08-07-2025

CORRECT ORDER NUMBER MUST
APPEAR ON ALL PACKAGES, INVOICES,
AND SHIPPING PAPERS. QUESTIONS
CONCERNING THIS ORDER SHOULD BE
DIRECTED TO THE DEPARTMENT
CONTACT.

Order Number:	CMA 0506 2994 MCH2600000001 1	Procurement Folder:	1586225
Document Name:	WV BIRTH TO 3 EARLY INTERVENTION SYSTEM	Reason for Modification:	
Document Description:	WV BIRTH TO 3 EARLY INTERVENTION SYSTEM		
Procurement Type:	Central Master Agreement		
Buyer Name:			
Telephone:			
Email:			
Shipping Method:	Best Way	Effective Start Date:	2025-10-01
Free on Board:		Effective End Date:	2026-09-30

VENDOR	DEPARTMENT CONTACT																				
Vendor Customer Code: 000000166458 GAINWELL TECHNOLOGIES LLC 225 EAST JOHN CARPENTER FREEWAY STE 500 IRVING TX 75062 US Vendor Contact Phone: 5718955066 Extension: Discount Details: <table><thead><tr><th></th><th>Discount Allowed</th><th>Discount Percentage</th><th>Discount Days</th></tr></thead><tbody><tr><td>#1</td><td>No</td><td>0.0000</td><td>0</td></tr><tr><td>#2</td><td>No</td><td></td><td></td></tr><tr><td>#3</td><td>No</td><td></td><td></td></tr><tr><td>#4</td><td>No</td><td></td><td></td></tr></tbody></table>		Discount Allowed	Discount Percentage	Discount Days	#1	No	0.0000	0	#2	No			#3	No			#4	No			Requestor Name: Christine L Basham Requestor Phone: (304) 356-4930 Requestor Email: christine.l.basham@wv.gov 2026 FILE LOCATION _____
	Discount Allowed	Discount Percentage	Discount Days																		
#1	No	0.0000	0																		
#2	No																				
#3	No																				
#4	No																				

INVOICE TO	SHIP TO
PURCHASING DIRECTOR 304-356-4116 HEALTH AND HUMAN RESOURCES BPH - MATERNAL & CHILD HEALTH 350 CAPITOL ST, RM 427 CHARLESTON WV 25301-3714 US	PURCHASING DIRECTOR 304-356-4116 HEALTH AND HUMAN RESOURCES BPH/MCH - BIRTH TO THREE 350 CAPITOL ST, RM 427 CHARLESTON WV 25301-3714 US

CR 8-25-25
Purchasing Division's File Copy

Total Order Amount: Open End

CH 8/17/25
PURCHASING DIVISION AUTHORIZATION
DATE: 8/27/25
ELECTRONIC SIGNATURE ON FILE

ATTORNEY GENERAL APPROVAL AS TO FORM
DATE: 8/27/25
ELECTRONIC SIGNATURE ON FILE

ENCUMBRANCE CERTIFICATION
DATE: 8-27-25
ELECTRONIC SIGNATURE ON FILE

Extended Description:

THE VENDOR, GAINWELL TECHNOLOGIES LLC, AGREES TO ENTER WITH THE AGENCY, WEST VIRGINIA DEPARTMENT OF HEALTH, BUREAU FOR PUBLIC HEALTH, OFFICE OF MATERNAL, CHILD AND FAMILY HEALTH, BIRTH TO THREE, INTO AN OPEN-END CONTRACT TO PROVIDE THE OPERATION OF THE WEST VIRGINIA BIRTH TO THREE EARLY INTERVENTION SYSTEM PER THE TERMS AND CONDITIONS, SPECIFICATIONS, BID REQUIREMENTS, ADDENDUM 1 ISSUED 04/10/2025, ADDENDUM 2 ISSUED 04/10/2025, AND THE VENDOR'S PROPOSAL DATED 04/29/2025, INCORPORATED HEREIN BY REFERENCE, AND MADE A PART OF HEREOF.

Line	Commodity Code	Manufacturer	Model No	Unit	Unit Price
1	93150000			EA	4.770000
	Service From	Service To		Service Contract Amount	
				0.00	

Commodity Line Description: Paid Claim Line

Extended Description:

Annual Claim Lines
Paid Claim Line: \$4.77

Line	Commodity Code	Manufacturer	Model No	Unit	Unit Price
2	93150000			HOUR	87.000000
	Service From	Service To		Service Contract Amount	
				0.00	

Commodity Line Description: Additional Services

Extended Description:

Additional Services
All-Inclusive Hourly Rate: \$87.00/hr

Line	Commodity Code	Manufacturer	Model No	Unit	Unit Price
3	93150000			HOUR	87.000000
	Service From	Service To		Service Contract Amount	
				0.00	

Commodity Line Description: Training

Extended Description:

All-Inclusive Hourly Rate for Training: \$87.00/hr

Line	Commodity Code	Manufacturer	Model No	Unit	Unit Price
4	93150000				0.000000
	Service From	Service To		Service Contract Amount	
	2025-10-01	2026-09-30		0.00	

Commodity Line Description: Pass-through Cost

Extended Description:

4.2.2.10.2 Postage pass-through Cost-Postage may be invoiced as pass-through cost with supporting documentation

MODIFIED GENERAL TERMS AND CONDITIONS:

- 1. CONTRACTUAL AGREEMENT:** Issuance of an Award Document signed by the Purchasing Division Director, or his designee, and approved as to form by the Attorney General's office constitutes acceptance by the State of this Contract made by and between the State of West Virginia and the Vendor. Vendor's signature on its bid, or on the Contract if the Contract is not the result of a bid solicitation, signifies Vendor's agreement to be bound by and accept the terms and conditions contained in this Contract.
- 2. DEFINITIONS:** As used in this Solicitation/Contract, the following terms shall have the meanings attributed to them below. Additional definitions may be found in the specifications included with this Solicitation/Contract.
 - 2.1. "Agency" or "Agencies"** means the agency, board, commission, or other entity of the State of West Virginia that is identified on the first page of the Solicitation or any other public entity seeking to procure goods or services under this Contract.
 - 2.2. "Bid" or "Proposal"** means the vendors submitted response to this solicitation.
 - 2.3. "Contract"** means the binding agreement that is entered into between the State and the Vendor to provide the goods or services requested in the Solicitation.
 - 2.4. "Director"** means the Director of the West Virginia Department of Administration, Purchasing Division.
 - 2.5. "Purchasing Division"** means the West Virginia Department of Administration, Purchasing Division.
 - 2.6. "Award Document"** means the document signed by the Agency and the Purchasing Division, and approved as to form by the Attorney General, that identifies the Vendor as the contract holder.
 - 2.7. "Solicitation"** means the official notice of an opportunity to supply the State with goods or services that is published by the Purchasing Division.
 - 2.8. "State"** means the State of West Virginia and/or any of its agencies, commissions, boards, etc. as context requires.
 - 2.9. "Vendor" or "Vendors"** means any entity submitting a bid in response to the Solicitation, the entity that has been selected as the lowest responsible bidder, or the entity that has been awarded the Contract as context requires.

3. CONTRACT TERM; RENEWAL; EXTENSION: The term of this Contract shall be determined in accordance with the category that has been identified as applicable to this Contract below:

☒ **Term Contract**

Initial Contract Term: The Initial Contract Term will be for a period of one (1) year. The Initial Contract Term becomes effective on the effective start date listed on the first page of this Contract, identified as the State of West Virginia contract cover page containing the signatures of the Purchasing Division, Attorney General, and Encumbrance clerk (or another page identified as _____), and the Initial Contract Term ends on the effective end date also shown on the first page of this Contract.

Renewal Term: This Contract may be renewed upon the mutual written consent of the Agency, and the Vendor, with approval of the Purchasing Division and the Attorney General's office (Attorney General approval is as to form only). Any request for renewal should be delivered to the Agency and then submitted to the Purchasing Division thirty (30) days prior to the expiration date of the initial contract term or appropriate renewal term. A Contract renewal shall be in accordance with the terms and conditions of the original contract. Unless otherwise specified below, renewal of this Contract is limited to four (4) successive one (1) year periods or multiple renewal periods of less than one year, provided that the multiple renewal periods do not exceed the total number of months available in all renewal years combined. Automatic renewal of this Contract is prohibited. Renewals must be approved by the Vendor, Agency, Purchasing Division and Attorney General's office (Attorney General approval is as to form only)

☐ **Alternate Renewal Term** – This contract may be renewed for _____ successive _____ year periods or shorter periods provided that they do not exceed the total number of months contained in all available renewals. Automatic renewal of this Contract is prohibited. Renewals must be approved by the Vendor, Agency, Purchasing Division and Attorney General's office (Attorney General approval is as to form only)

Delivery Order Limitations: In the event that this contract permits delivery orders, a delivery order may only be issued during the time this Contract is in effect. Any delivery order issued within one year of the expiration of this Contract shall be effective for one year from the date the delivery order is issued. No delivery order may be extended beyond one year after this Contract has expired.

☐ **Fixed Period Contract:** This Contract becomes effective upon Vendor's receipt of the notice to proceed and must be completed within _____ days.

☐ **Fixed Period Contract with Renewals:** This Contract becomes effective upon Vendor's receipt of the notice to proceed and part of the Contract more fully described in the attached specifications must be completed within _____ days. Upon completion of the work covered by the preceding sentence, the vendor agrees that:

☐ the contract will continue for _____ years;

☐ the contract may be renewed for _____ successive _____ year periods or shorter periods provided that they do not exceed the total number of months contained in all available renewals. Automatic renewal of this Contract is prohibited. Renewals must be approved by the Vendor, Agency, Purchasing Division and Attorney General's Office (Attorney General approval is as to form only).

☐ **One-Time Purchase:** The term of this Contract shall run from the issuance of the Award Document until all of the goods contracted for have been delivered, but in no event will this Contract extend for more than one fiscal year.

☐ **Construction/Project Oversight:** This Contract becomes effective on the effective start date listed on the first page of this Contract, identified as the State of West Virginia contract cover page containing the signatures of the Purchasing Division, Attorney General, and Encumbrance clerk (or another page identified as _____), and continues until the project for which the vendor is providing oversight is complete.

☐ **Other:** Contract Term specified in _____

4. AUTHORITY TO PROCEED: Vendor is authorized to begin performance of this contract on the date of encumbrance listed on the front page of the Award Document unless either the box for "Fixed Period Contract" or "Fixed Period Contract with Renewals" has been checked in Section 3 above. If either "Fixed Period Contract" or "Fixed Period Contract with Renewals" has been checked, Vendor must not begin work until it receives a separate notice to proceed from the State. The notice to proceed will then be incorporated into the Contract via change order to memorialize the official date that work commenced.

5. QUANTITIES: The quantities required under this Contract shall be determined in accordance with the category that has been identified as applicable to this Contract below.

☐ **Open End Contract:** Quantities listed in this Solicitation/Award Document are approximations only, based on estimates supplied by the Agency. It is understood and agreed that the Contract shall cover the quantities actually ordered for delivery during the term of the Contract, whether more or less than the quantities shown.

☒ **Service:** The scope of the service to be provided will be more clearly defined in the specifications included herewith.

☐ **Combined Service and Goods:** The scope of the service and deliverable goods to be provided will be more clearly defined in the specifications included herewith.

☐ **One-Time Purchase:** This Contract is for the purchase of a set quantity of goods that are identified in the specifications included herewith. Once those items have been delivered, no additional goods may be procured under this Contract without an appropriate change order approved by the Vendor, Agency, Purchasing Division, and Attorney General's office.

☐ **Construction:** This Contract is for construction activity more fully defined in the specifications.

6. EMERGENCY PURCHASES: The Purchasing Division Director may authorize the Agency to purchase goods or services in the open market that Vendor would otherwise provide under this Contract if those goods or services are for immediate or expedited delivery in an emergency. Emergencies shall include, but are not limited to, delays in transportation or an unanticipated increase in the volume of work. An emergency purchase in the open market, approved by the Purchasing Division Director, shall not constitute of breach of this Contract and shall not entitle the Vendor to any form of compensation or damages. This provision does not excuse the State from fulfilling its obligations under a One-Time Purchase contract.

7. REQUIRED DOCUMENTS: All of the items checked in this section must be provided to the Purchasing Division by the Vendor as specified:

☐ **LICENSE(S) / CERTIFICATIONS / PERMITS:** In addition to anything required under the Section of the General Terms and Conditions entitled Licensing, the apparent successful Vendor shall furnish proof of the following licenses, certifications, and/or permits upon request and in a form acceptable to the State. The request may be prior to or after contract award at the State's sole discretion.

☐☐☐☐

The apparent successful Vendor shall also furnish proof of any additional licenses or certifications contained in the specifications regardless of whether or not that requirement is listed above.

8. INSURANCE: The apparent successful Vendor shall furnish proof of the insurance identified by a checkmark below prior to Contract award. The insurance coverages identified below must be maintained throughout the life of this contract. Thirty (30) days prior to the expiration of the insurance policies, Vendor shall provide the Agency with proof that the insurance mandated herein has been continued. Vendor must also provide Agency with immediate notice of any changes in its insurance policies, including but not limited to, policy cancellation, policy reduction, or change in insurers. The apparent successful Vendor shall also furnish proof of any additional insurance requirements contained in the specifications prior to Contract award regardless of whether that insurance requirement is listed in this section.

Vendor must maintain:

☒ **Commercial General Liability Insurance** in at least an amount of: \$1,000,000.00 per occurrence.

☒ **Automobile Liability Insurance** in at least an amount of: \$1,000,000.00 per occurrence.

☐ **Professional/Malpractice/Errors and Omission Insurance** in at least an amount of: _____ per occurrence. Notwithstanding the forgoing, Vendor's are not required to list the State as an additional insured for this type of policy.

☐ **Commercial Crime and Third Party Fidelity Insurance** in an amount of: _____ per occurrence.

☒ **Cyber Liability Insurance** in an amount of: \$3,000,000.00 per occurrence.

☐ **Builders Risk Insurance** in an amount equal to 100% of the amount of the Contract.

☐ **Pollution Insurance** in an amount of: _____ per occurrence.

☐ **Aircraft Liability** in an amount of: _____ per occurrence.

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9. WORKERS' COMPENSATION INSURANCE: Vendor shall comply with laws relating to workers compensation, shall maintain workers' compensation insurance when required, and shall furnish proof of workers' compensation insurance upon request.

10. VENUE: All legal actions for damages brought by Vendor against the State shall be brought in the West Virginia Claims Commission. Other causes of action must be brought in the West Virginia court authorized by statute to exercise jurisdiction over it.

11. LIQUIDATED DAMAGES: This clause shall in no way be considered exclusive and shall not limit the State or Agency's right to pursue any other available remedy. Vendor shall pay liquidated damages in the amount specified below or as described in the specifications:

☐ _____ for _____.

☐ Liquidated Damages Contained in the Specifications.

☒ Liquidated Damages Are Not Included in this Contract.

12. ACCEPTANCE: Vendor's signature on its bid, or on the certification and signature page, constitutes an offer to the State that cannot be unilaterally withdrawn, signifies that the product or service proposed by vendor meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise indicated, and signifies acceptance of the terms and conditions contained in the Solicitation unless otherwise indicated.

13. PRICING: The pricing set forth herein is firm for the life of the Contract, unless specified elsewhere within this Solicitation/Contract by the State. A Vendor's inclusion of price adjustment provisions in its bid, without an express authorization from the State in the Solicitation to do so, may result in bid disqualification. Notwithstanding the foregoing, Vendor must extend any publicly advertised sale price to the State and invoice at the lower of the contract price or the publicly advertised sale price.

14. PAYMENT IN ARREARS: Payments for goods/services will be made in arrears only upon receipt of a proper invoice, detailing the goods/services provided or receipt of the goods/services, whichever is later. Notwithstanding the foregoing, payments for software maintenance, licenses, or subscriptions may be paid annually in advance.

15. PAYMENT METHODS: Vendor must accept payment by electronic funds transfer and P-Card. (The State of West Virginia's Purchasing Card program, administered under contract by a banking institution, processes payment for goods and services through state designated credit cards.)

16. TAXES: The Vendor shall pay any applicable sales, use, personal property or any other taxes arising out of this Contract and the transactions contemplated thereby. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.

17. ADDITIONAL FEES: Vendor is not permitted to charge additional fees or assess additional charges that were not either expressly provided for in the solicitation published by the State of West Virginia, included in the Contract, or included in the unit price or lump sum bid amount that Vendor is required by the solicitation to provide. Including such fees or charges as notes to the solicitation may result in rejection of vendor's bid. Requesting such fees or charges be paid after the contract has been awarded may result in cancellation of the contract.

18. FUNDING: This Contract shall continue for the term stated herein, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise made available, this Contract becomes void and of no effect beginning on July 1 of the fiscal year for which funding has not been appropriated or otherwise made available. If that occurs, the State may notify the Vendor that an alternative source of funding has been obtained and thereby avoid the automatic termination. Non-appropriation or non-funding shall not be considered an event of default.

19. CANCELLATION: The Purchasing Division Director reserves the right to cancel this Contract immediately upon written notice to the vendor if the materials or workmanship supplied do not conform to the specifications contained in the Contract. The Purchasing Division Director may also cancel any purchase or Contract upon 30 days written notice to the Vendor in accordance with West Virginia Code of State Rules § 148-1-5.2.b.

20. TIME: Time is of the essence regarding all matters of time and performance in this Contract.

21. APPLICABLE LAW: This Contract is governed by and interpreted under West Virginia law without giving effect to its choice of law principles. Any information provided in specification manuals, or any other source, verbal or written, which contradicts or violates the West Virginia Constitution, West Virginia Code, or West Virginia Code of State Rules is void and of no effect.

22. COMPLIANCE WITH LAWS: Vendor shall comply with all applicable federal, state, and local laws, regulations and ordinances. By submitting a bid, Vendor acknowledges that it has reviewed, understands, and will comply with all applicable laws, regulations, and ordinances.

SUBCONTRACTOR COMPLIANCE: Vendor shall notify all subcontractors providing commodities or services related to this Contract that as subcontractors, they too are required to comply with all applicable laws, regulations, and ordinances. Notification under this provision must occur prior to the performance of any work under the contract by the subcontractor.

23. ARBITRATION: Any references made to arbitration contained in this Contract, Vendor's bid, or in any American Institute of Architects documents pertaining to this Contract are hereby deleted, void, and of no effect.

24. MODIFICATIONS: This writing is the parties' final expression of intent. Notwithstanding anything contained in this Contract to the contrary no modification of this Contract shall be binding without mutual written consent of the Agency, and the Vendor, with approval of the Purchasing Division and the Attorney General's office (Attorney General approval is as to form only). Any change to existing contracts that adds work or changes contract cost, and were not included in the original contract, must be approved by the Purchasing Division and the Attorney General's Office (as to form) prior to the implementation of the change or commencement of work affected by the change.

25. WAIVER: The failure of either party to insist upon a strict performance of any of the terms or provision of this Contract, or to exercise any option, right, or remedy herein contained, shall not be construed as a waiver or a relinquishment for the future of such term, provision, option, right, or remedy, but the same shall continue in full force and effect. Any waiver must be expressly stated in writing and signed by the waiving party.

26. SUBSEQUENT FORMS: The terms and conditions contained in this Contract shall supersede any and all subsequent terms and conditions which may appear on any form documents submitted by Vendor to the Agency or Purchasing Division such as price lists, order forms, invoices, sales agreements, or maintenance agreements, and includes internet websites or other electronic documents. Acceptance or use of Vendor's forms does not constitute acceptance of the terms and conditions contained thereon.

27. ASSIGNMENT: Neither this Contract nor any monies due, or to become due hereunder, may be assigned by the Vendor without the express written consent of the Agency, the Purchasing Division, the Attorney General's office (as to form only), and any other government agency or office that may be required to approve such assignments.

28. WARRANTY: The Vendor expressly warrants that the goods and/or services covered by this Contract will: (a) conform to the specifications, drawings, samples, or other description furnished or specified by the Agency; ~~(b) be merchantable and fit for the purpose intended, and be free from defects in workmanship. The vendor disclaims all other warranties, including those of merchantability and fitness for a particular purpose (c) be free from defect in material and workmanship.~~

29. STATE EMPLOYEES: State employees are not permitted to utilize this Contract for personal use and the Vendor is prohibited from permitting or facilitating the same.

30. PRIVACY, SECURITY, AND CONFIDENTIALITY: The Vendor agrees that it will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the Agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the Agency's policies, procedures, and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in www.state.wv.us/admin/purchase/privacy.

31. YOUR SUBMISSION IS A PUBLIC DOCUMENT: Vendor's entire response to the Solicitation and the resulting Contract are public documents. As public documents, they will be disclosed to the public following the bid/proposal opening or award of the contract, as required by the competitive bidding laws of West Virginia Code §§ 5A-3-1 et seq., 5-22-1 et seq., and 5G-1-1 et seq. and the Freedom of Information Act West Virginia Code §§ 29B-1-1 et seq.

DO NOT SUBMIT MATERIAL YOU CONSIDER TO BE CONFIDENTIAL, A TRADE SECRET, OR OTHERWISE NOT SUBJECT TO PUBLIC DISCLOSURE.

Submission of any bid, proposal, or other document to the Purchasing Division constitutes your explicit consent to the subsequent public disclosure of the bid, proposal, or document. The Purchasing Division will disclose any document labeled "confidential," "proprietary," "trade secret," "private," or labeled with any other claim against public disclosure of the documents, to include any "trade secrets" as defined by West Virginia Code § 47-22-1 et seq. All submissions are subject to public disclosure without notice.

32. LICENSING: In accordance with West Virginia Code of State Rules § 148-1-6.1.e, Vendor must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, West Virginia Insurance Commission, or any other state agency or political subdivision. Obligations related to political subdivisions may include, but are not limited to, business licensing, business and occupation taxes, inspection compliance, permitting, etc. Upon request, the Vendor must provide all necessary releases to obtain information to enable the Purchasing Division Director or the Agency to verify that the Vendor is licensed and in good standing with the above entities.

SUBCONTRACTOR COMPLIANCE: Vendor shall notify all subcontractors providing commodities or services related to this Contract that as subcontractors, they too are required to be licensed, in good standing, and up-to-date on all state and local obligations as described in this section. Obligations related to political subdivisions may include, but are not limited to, business licensing, business and occupation taxes, inspection compliance, permitting, etc. Notification under this provision must occur prior to the performance of any work under the contract by the subcontractor.

33. ANTITRUST: In submitting a bid to, signing a contract with, or accepting a Award Document from any agency of the State of West Virginia, the Vendor agrees to convey, sell, assign, or transfer to the State of West Virginia all rights, title, and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the State of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to Vendor.

34. VENDOR NON-CONFLICT: Neither Vendor nor its representatives are permitted to have any interest, nor shall they acquire any interest, direct or indirect, which would compromise the performance of its services hereunder. Any such interests shall be promptly presented in detail to the Agency.

35. VENDOR RELATIONSHIP: The relationship of the Vendor to the State shall be that of an independent contractor and no principal-agent relationship or employer-employee relationship is contemplated or created by this Contract. The Vendor as an independent contractor is solely liable for the acts and omissions of its employees and agents. Vendor shall be responsible for selecting, supervising, and compensating any and all individuals employed pursuant to the terms of this Solicitation and resulting contract. Neither the Vendor, nor any employees or subcontractors of the Vendor, shall be deemed to be employees of the State for any purpose whatsoever. Vendor shall be exclusively responsible for payment of employees and contractors for all wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension, or other deferred compensation plans, including but not limited to, Workers' Compensation and Social Security obligations, licensing fees, etc. and the filing of all necessary documents, forms, and returns pertinent to all of the foregoing.

Vendor shall hold harmless the State, and shall provide the State and Agency with a defense against any and all claims including, but not limited to, the foregoing payments, withholdings, contributions, taxes, Social Security taxes, and employer income tax returns.

36. INDEMNIFICATION: The Vendor agrees to indemnify, defend, and hold harmless the State and the Agency, their officers, and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person, or firm performing or supplying services, materials, or supplies in connection with the performance of the Contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the Vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use, or disposition of any data used under the Contract in a manner not authorized by the Contract, or by Federal or State statutes or regulations; and (3) Any failure of the Vendor, its officers, employees, or subcontractors to observe State and Federal laws including, but not limited to, labor and wage and hour laws. Vendor's cumulative liability to the state under or relating to this contract in the aggregate over the term hereof shall be limited to actual damages and in no event shall either party be liable to the other for any indirect, special, incidental, exemplary or consequential damages (including, without limitation, lost profits or goodwill) related to this contract or resulting from the use or inability to use the software products and/or services, or based on the loss of or cost of recovering any data or database, or arising from any cause of action whatsoever, including contract, warranty, tort, strict liability, indemnity or negligence, even if a party has been notified of the possibility of such damages. Vendor shall be liable to the state for only damages which are directly caused by the Vendor.

37. NO DEBT CERTIFICATION: In accordance with West Virginia Code §§ 5A-3-10a and 5-22-1(i), the State is prohibited from awarding a contract to any bidder that owes a debt to the State or a political subdivision of the State. By submitting a bid, or entering into a contract with the State, Vendor is affirming that (1) for construction contracts, the Vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, neither the Vendor nor any related party owe a debt as defined above, and neither the Vendor nor any related party are in employer default as defined in the statute cited above unless the debt or employer default is permitted under the statute.

38. CONFLICT OF INTEREST: Vendor, its officers or members or employees, shall not presently have or acquire an interest, direct or indirect, which would conflict with or compromise the performance of its obligations hereunder. Vendor shall periodically inquire of its officers,

members and employees to ensure that a conflict of interest does not arise. Any conflict of interest discovered shall be promptly presented in detail to the Agency.

39. REPORTS: Vendor shall provide the Agency and/or the Purchasing Division with the following reports identified by a checked box below:

☒ Such reports as the Agency and/or the Purchasing Division may request. Requested reports may include, but are not limited to, quantities purchased, agencies utilizing the contract, total contract expenditures by agency, etc.

☐ Quarterly reports detailing the total quantity of purchases in units and dollars, along with a listing of purchases by agency. Quarterly reports should be delivered to the Purchasing Division via email at purchasing.division@wv.gov.

40. BACKGROUND CHECK: In accordance with W. Va. Code § 15-2D-3, the State reserves the right to prohibit a service provider's employees from accessing sensitive or critical information or to be present at the Capitol complex based upon results addressed from a criminal background check. Service providers should contact the West Virginia Division of Protective Services by phone at (304) 558-9911 for more information.

41. PREFERENCE FOR USE OF DOMESTIC STEEL PRODUCTS: Except when authorized by the Director of the Purchasing Division pursuant to W. Va. Code § 5A-3-56, no contractor may use or supply steel products for a State Contract Project other than those steel products made in the United States. A contractor who uses steel products in violation of this section may be subject to civil penalties pursuant to W. Va. Code § 5A-3-56. As used in this section:

- a. "State Contract Project" means any erection or construction of, or any addition to, alteration of or other improvement to any building or structure, including, but not limited to, roads or highways, or the installation of any heating or cooling or ventilating plants or other equipment, or the supply of and materials for such projects, pursuant to a contract with the State of West Virginia for which bids were solicited on or after June 6, 2001.
- b. "Steel Products" means products rolled, formed, shaped, drawn, extruded, forged, cast, fabricated or otherwise similarly processed, or processed by a combination of two or more or such operations, from steel made by the open heath, basic oxygen, electric furnace, Bessemer or other steel making process.
- c. The Purchasing Division Director may, in writing, authorize the use of foreign steel products if:
 1. The cost for each contract item used does not exceed one tenth of one percent (.1%) of the total contract cost or two thousand five hundred dollars (\$2,500.00), whichever is greater. For the purposes of this section, the cost is the value of the steel product as delivered to the project; or
 2. The Director of the Purchasing Division determines that specified steel materials are

not produced in the United States in sufficient quantity or otherwise are not reasonably available to meet contract requirements.

42. PREFERENCE FOR USE OF DOMESTIC ALUMINUM, GLASS, AND STEEL: In Accordance with W. Va. Code § 5-19-1 et seq., and W. Va. CSR § 148-10-1 et seq., for every contract or subcontract, subject to the limitations contained herein, for the construction, reconstruction, alteration, repair, improvement or maintenance of public works or for the purchase of any item of machinery or equipment to be used at sites of public works, only domestic aluminum, glass or steel products shall be supplied unless the spending officer determines, in writing, after the receipt of offers or bids, (1) that the cost of domestic aluminum, glass or steel products is unreasonable or inconsistent with the public interest of the State of West Virginia, (2) that domestic aluminum, glass or steel products are not produced in sufficient quantities to meet the contract requirements, or (3) the available domestic aluminum, glass, or steel do not meet the contract specifications. This provision only applies to public works contracts awarded in an amount more than fifty thousand dollars (\$50,000) or public works contracts that require more than ten thousand pounds of steel products.

The cost of domestic aluminum, glass, or steel products may be unreasonable if the cost is more than twenty percent (20%) of the bid or offered price for foreign made aluminum, glass, or steel products. If the domestic aluminum, glass or steel products to be supplied or produced in a "substantial labor surplus area", as defined by the United States Department of Labor, the cost of domestic aluminum, glass, or steel products may be unreasonable if the cost is more than thirty percent (30%) of the bid or offered price for foreign made aluminum, glass, or steel products. This preference shall be applied to an item of machinery or equipment, as indicated above, when the item is a single unit of equipment or machinery manufactured primarily of aluminum, glass or steel, is part of a public works contract and has the sole purpose or of being a permanent part of a single public works project. This provision does not apply to equipment or machinery purchased by a spending unit for use by that spending unit and not as part of a single public works project.

All bids and offers including domestic aluminum, glass or steel products that exceed bid or offer prices including foreign aluminum, glass or steel products after application of the preferences provided in this provision may be reduced to a price equal to or lower than the lowest bid or offer price for foreign aluminum, glass or steel products plus the applicable preference. If the reduced bid or offer prices are made in writing and supersede the prior bid or offer prices, all bids or offers, including the reduced bid or offer prices, will be reevaluated in accordance with this rule.

43. INTERESTED PARTY SUPPLEMENTAL DISCLOSURE: W. Va. Code § 6D-1-2 requires that for contracts with an actual or estimated value of at least \$1 million, the Vendor must submit to the Agency a disclosure of interested parties prior to beginning work under this Contract. Additionally, the Vendor must submit a supplemental disclosure of interested parties reflecting any new or differing interested parties to the contract, which were not included in the original pre-work interested party disclosure, within 30 days following the completion or termination of the contract. A copy of that form is included with this solicitation or can be obtained from the WV Ethics Commission. This requirement does not

apply to publicly traded companies listed on a national or international stock exchange. A more detailed definition of interested parties can be obtained from the form referenced above.

44. PROHIBITION AGAINST USED OR REFURBISHED: Unless expressly permitted in the solicitation published by the State, Vendor must provide new, unused commodities, and is prohibited from supplying used or refurbished commodities, in fulfilling its responsibilities under this Contract.

45. VOID CONTRACT CLAUSES: This Contract is subject to the provisions of West Virginia Code § 5A-3-62, which automatically voids certain contract clauses that violate State law.

46. ISRAEL BOYCOTT: Bidder understands and agrees that, pursuant to W. Va. Code § 5A-3-63, it is prohibited from engaging in a boycott of Israel during the term of this contract.

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

(Printed Name and Title) Giovanni Ferreri, Account General Manager

(Address) 225 East John Carpenter Freeway, Suite 500, Irving, Texas 75062

(Phone Number) / (Fax Number) Phone Number: 703-245-4600 / Fax Number: 469-320-5153

(email address) john.ferreri@gainwelltechnologies.com

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that: I have reviewed this Solicitation/Contract in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation/Contract for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that this bid or offer was made without prior understanding, agreement, or connection with any entity submitting a bid or offer for the same material, supplies, equipment or services; that this bid or offer is in all respects fair and without collusion or fraud; that this Contract is accepted or entered into without any prior understanding, agreement, or connection to any other entity that could be considered a violation of law; that I am authorized by the Vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on Vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

By signing below, I further certify that I understand this Contract is subject to the provisions of West Virginia Code § 5A-3-62, which automatically voids certain contract clauses that violate State law; and that pursuant to W. Va. Code 5A-3-63, the entity entering into this contract is prohibited from engaging in a boycott against Israel.

Gainwell Technologies LLC

(Company) Signed by:

Mark Knickrehm

(Signature of Authorized Representative)

Mark Knickrehm, President and Chief Executive Officer

(Printed Name and Title of Authorized Representative) (Date)

(214) 453-3000

(Phone Number) (Fax Number)

mark.knickrehm@gainwelltechnologies.com

(Email Address)

Exceptions to General Terms and Conditions

RFP Reference: pg. 10

EXCEPTIONS AND CLARIFICATIONS: The Solicitation contains the specifications that shall form the basis of a contractual agreement. Vendor shall clearly mark any exceptions, clarifications, or other proposed modifications in its bid. Exceptions to, clarifications of, or modifications of a requirement or term and condition of the Solicitation may result in bid disqualification.

Response

Location/Specific Section Reference	Clause under Consideration	Proposed Alternative Language / Addition
SECTION 3: GENERAL TERMS AND CONDITIONS, Clause 8, Page 16 of the RFP	<p>8. INSURANCE:</p> <p>The apparent successful Vendor shall furnish proof of the insurance identified by a checkmark below prior to Contract award. The insurance coverages identified below must be maintained throughout the life of this contract. Thirty (30) days prior to the expiration of the insurance policies, Vendor shall provide the Agency with proof that the insurance mandated herein has been continued. Vendor must also provide Agency with immediate notice of any changes in its insurance policies, including but not limited to, policy cancelation, policy reduction, or change in insurers. The apparent successful Vendor shall also furnish proof of any additional insurance requirements contained in the specifications prior to Contract award regardless of whether that insurance requirement is listed in this section.</p> <p>Vendor must maintain:</p> <p>Cyber Liability Insurance in an amount of: \$3,000,000.00 per occurrence.</p>	<p>Please change to read:</p> <p>The apparent successful Vendor shall furnish proof of the insurance identified by a checkmark below prior to Contract award. The insurance coverages identified below must be maintained throughout the life of this contract. Thirty (30) days prior to the expiration of the insurance policies, Vendor shall provide the Agency with proof that the insurance mandated herein has been continued. Vendor must also provide Agency with immediate notice of any changes in its insurance policies, including but not limited to, policy cancelation, policy reduction, or change in insurers. The apparent successful Vendor shall also furnish proof of any additional insurance requirements contained in the specifications prior to Contract award regardless of whether that insurance requirement is listed in this section.</p> <p>Vendor must maintain:</p> <p>Cyber Liability Insurance in an amount of: \$3,000,000.00 per claim.</p>

<p>SECTION 3: GENERAL TERMS AND CONDITIONS, Clause 12, Page 17 of the RFP</p>	<p>12. ACCEPTANCE: Vendor's signature on its bid, or on the certification and signature page, constitutes an offer to the State that cannot be unilaterally withdrawn, signifies that the product or service proposed by vendor meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise indicated, and signifies acceptance of the terms and conditions contained in the Solicitation unless otherwise indicated.</p>	<p>Please change to read: Vendor's signature on its bid, and/or on the certification and signature page constitutes an offer to the State that cannot be unilaterally withdrawn, signifies that the product or service proposed by Vendor meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise indicated, and signifies acceptance of the terms and conditions contained in the solicitation unless otherwise indicated. The Vendor hereby otherwise indicates Vendor's Exceptions to certain Terms and Conditions, and Vendor's proposal, and corresponding signature on that proposal, is submitted subject to said Exceptions.</p>
<p>SECTION 3: GENERAL TERMS AND CONDITIONS, Clause 28, Page 19 of the RFP</p>	<p>28. WARRANTY: The Vendor expressly warrants that the goods and/or services covered by this Contract will: (a) conform to the specifications, drawings, samples, or other description furnished or specified by the Agency; (b) be merchantable and fit for the purpose intended; and (c) be free from defect in material and workmanship.</p>	<p>Please change to read: The Vendor expressly warrants that the goods and/or services covered by this Contract will: (a) conform to the specifications, drawings, samples, or other description furnished or specified by the Agency; and (b) be free from defects in workmanship. The Vendor disclaims all other warranties, including those of merchantability and fitness for a particular purpose.</p>

Location/Specific Section Reference	Clause under Consideration	Proposed Alternative Language / Addition
SECTION 3: GENERAL TERMS AND CONDITIONS, Clause 36, Page 21 of the RFP	<p>36. INDEMNIFICATION:</p> <p>The Vendor agrees to indemnify, defend, and hold harmless the State and the Agency, their officers, and employees from and against:</p> <p>(1) Any claims or losses for services rendered by any subcontractor, person, or firm performing or supplying services, materials, or supplies in connection with the performance of the Contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the Vendor, its officers, employees, or subcontractor by the publication, translation, reproduction, delivery, performance, use, or disposition of any data used under the Contract in a manner not authorized by the Contract, or by Federal or State statutes or regulations; and (3) Any failure of the Vendor, its officers, employees, or subcontractors to observe State and Federal laws including, but not limited to, labor and wage and hour laws.</p>	<p>Please add the following paragraph to this Section:</p> <p>LIMITATION OF LIABILITY AND WAIVER OF CONSEQUENTIAL DAMAGES:</p> <p>Vendor's cumulative liability to the state under or relating to this contract in the aggregate over the term hereof shall be limited to actual damages and shall in no event exceed the amounts paid by the state to Vendor during the preceding twelve (12) calendar months for that portion of the statement of work or contractual agreement for the services or deliverables directly causing the damages, and in no event shall either party be liable to the other for any indirect, special, incidental, exemplary or consequential damages (including, without limitation, lost profits or goodwill) related to this contract or resulting from the use or inability to use the software products and/or services, or based on the loss of or cost of recovering any data or database, or arising from any cause of action whatsoever, including contract, warranty, tort, strict liability, indemnity or negligence, even if a party has been notified of the possibility of such damages. Vendor shall be liable to the state for only those actual damages which are directly and solely caused by Vendor.</p>

4. Project Goals and Proposed Approach

RFP Reference: Section 4

4.1 Background and Current Operating Environment



Gainwell Technologies LLC (Gainwell) acknowledges that we have reviewed and understand *Section 4.1 Background and Current Operating Environment* of the RFP. Gainwell has been serving the State of West Virginia since 2003, and brings a seasoned and dedicated team and a breadth of knowledge and best practices that will help West Virginia Birth to Three meet its stated goals.

Our proposal meets all the stated requirements in the RFP, including the addition of several value-added features and product road map described below.

4.2 Project Goals and Mandatory Requirements

RFP Reference: 4.2

Gainwell is pleased to submit this response to the RFP issued by the Office of Maternal, Child and Family Health/West Virginia Birth to Three (WVBTT). Gainwell has been supporting state Early Intervention (EI) programs since 1995. Gainwell has enjoyed a long relationship with the WV Birth to Three program and hopes to extend this working relationship by continuing our support and services to the State.



Gainwell is recognized as a leader in the development and implementation of Early Intervention systems. Over the past 26 years, Gainwell has been fortunate to collaborate with eight different state and local EI programs to implement comprehensive solutions

and Central Finance Office (CFO) services. We will deliver the best practices and lessons learned from this experience to the enhanced WV Birth to Three system and operational services.

Gainwell is committed to EI system services and continues to invest in this business, as demonstrated by the proposed solution and value-added services described in our response.

THE GAINWELL APPROACH

Gainwell's approach is to deliver the maximum amount of value possible to WVBTT through the following:

- Continue to support and enhance the current WV BTTOOnline system and the Online Claims System (OCS). These systems have been customized throughout the past several years to meet specific WV Birth to Three program needs and procedures. Gainwell will continue to use its deep knowledge of WV EI-specific processes to work with WVBTT to accomplish this.
- Continue to provide our WVBTT specific account team with in-depth WVBTT program and system knowledge, led by our Project Manager Nadine Tyler who has 20 years' experience with the program.
- Gainwell is the only vendor who can be fully operational on Day One providing a seamless transition with zero disruptions to the WVBTT program, participants, and practitioners.
- Provide service continuity with no migration, no data conversion, no transition cost, no risks, and no learning curve.

Value-Added Features

Our solution includes many value-added features which will deliver key updates for WV Birth to Three, implemented at no cost to the State. More information can be found in section 4.2.2.1 Project Plan for Gainwell's Investment in WV Birth to Three (WVBTT) Systems and Technology.

- **Enhanced BTTOOnline Home Page.** Gainwell will enhance the BTTOOnline Home Page to include dashboards for the Common Searches and other key performance indicators (KPI). Gainwell is excited to collaborate with the WV Birth to Three program to design these additional KPI's. This enhancement will enable staff members to have clear visibility of important metrics whenever they access the page, improving decision-making, increasing efficiency, and enabling proactive problem-solving.
- **Enhanced BTTOOnline PDF functionality.** Gainwell will enhance the BTTOOnline application to import data from the IFSP fillable PDF into the database. This will allow service coordinators and practitioners to work offline and import the PDF into WV BTTOOnline.

Gainwell will also enhance BTTOOnline with the ability to export specific demographic data from the database into the IFSP fillable PDF, saving time for the service coordinators and practitioners when completing the form with the family.

- **Enhanced BTTOOnline IFSP capabilities.** Gainwell will implement the IFSP meeting page functionality tailored to reflect West Virginia's current IFSP form. Gainwell looks forward to discussing with WV Birth to Three how this enhancement can support current State processes and allow the State enhanced visibility into data for program management and oversight.
- **Parent (Family) Portal.** The Parent (Family) Portal, built specifically for parents and guardians, will allow these users the ability to view information such as their child's IFSP or authorizations in a secure, online portal. The Parent (Family) Portal will also have a survey option for use by the State; this survey will aid them in completing their Annual Performance Report (APR). Gainwell is excited to collaborate with WV Birth to Three to provide this feature to WV BTT parents and legal guardians and discuss ways this feature may reduce mailing costs for the program.

Gainwell Technology Roadmap

Gainwell maintains a product roadmap and is continually improving our EI products. Gainwell is committed to the continued enhancements of products and suggestions from WV Birth to Three (WVBTT) are appreciated. As new features become available in the future, we will present them to the Program for potential adoption into WV Birth to Three. WV BTT will benefit from these product enhancements. More information can be found in section 4.2.2.1 Project Plan for Gainwell's Investment in WVBTT Systems and Technology.

- **Telehealth.** Gainwell's product roadmap includes an additional feature that will be added to the Parent (Family) Portal and BTTOOnline which will allow video conferencing flexibility for families and practitioners. This feature will enable the Program to provide services to children in remote locations, where internet is available, when necessary.
- **Enhanced Practitioner Enrollment.** Gainwell's roadmap includes a new practitioner Enrollment application. This new feature will allow new and existing practitioners to upload their enrollment applications and additional qualification documents. The Practitioner Enrollment Team will use this application to track the progress of the enrollment, send out reminders, and generate reports. This enhancement will allow WVBTT State Staff additional visibility into the practitioner enrollment process.
- **Single Sign-On.** A single sign-on process will be implemented which will allow WV BTT team members to sign on once and access WV BTTOOnline, OCS, Family Portal, and other Gainwell products using Gainwell infrastructure. This will simplify the end users access to Gainwell products and appear seamless to the end user.

Please see section 4.2.2.1 Project Plan for Gainwell's Investment in WV Birth to Three Systems and Technology for more information about the technology roadmap that describes key upgrades for the WV Birth to Three program.

THE GAINWELL DIFFERENCE

The key themes that differentiate Gainwell's solutions from others in the market today are our leading-edge solutions, expansive EI experience, a depth of seasoned talent, and a long-term record of proven success as evident in our compliance record with flawless SOC1 audits.

Gainwell service and technology capabilities include Consulting, Business Process Reengineering, Business Process Services (BPS), Customer Contact Call Center Solutions, Fiscal Agent Expertise, Application Software Development and Maintenance, Systems Design and Integration, and Web Application Hosting. Gainwell serves 15 industries in six continents. Specific to this opportunity, Gainwell has been a leader and collaborator with seven states and one major city/municipality's EI programs. This experience includes all aspects of the process, from concept design through implementation of comprehensive EI solutions, and operating as the fiscal agent for several of these programs.

Gainwell advantages

- Seamless transition with zero transition costs
- Continuity of services from a team with 20+ years of experience with WVBT
- No need for a data conversion and no disruption of APR data
- Powerful dashboard solution and analytics
- Roadmap for ongoing innovation in partnership with WVBT

SUMMARY



Experienced and
Trusted Delivery
Team

Gainwell brings to this engagement an Early Intervention staff, many of whom have 10 to 20 years — or more — of experience serving our Early Intervention clients. We know that behind the technology and the CFO services are thousands of West Virginia

children and families to whom WV Birth to Three's services make a life-changing impact. We sincerely value the opportunity to serve WV Birth to Three and its community.

The next sections detail how we plan to meet and, in some cases, exceed the project goals and mandatory requirements.

4.2.1 Goals and Objectives

RFP Reference: 4.2.1

The project goals and objectives are listed below.

Gainwell has been providing services for the WV Birth to Three program since 2003. For more than 20 years, we have worked to understand the program's unique processes and data requirements. This has enabled us to create data systems that have evolved with the program's needs throughout the years. In 2003, we worked with the WV Birth to Three program to implement a legacy SPOE application. This system served the program until 2015 when it was replaced with the new, modern web-based system, WV BTOnline. WV BTOnline was designed to meet the needs of the program at the state, regional, and local Regional Administrative Unit (RAU) levels.

Gainwell proposes to continue utilizing WV BTOnline. The continuation of the WV BTOnline application allows the program to proceed with existing daily activities without the need for a complex data conversion, training, and procedure updates that come with a new application.

4.2.1.1 System Point of Entry (SPOE) Data System and Software

RFP Reference: 4.2.1.1

To provide Agency and eight RAUs a means for tracking child and family data, initiating authorizations of needed early intervention services, and the ability to provide reporting of child data at local, regional, and state levels.

WV BTOnline meets or exceeds each requirement presented in this RFP. The WV BTOnline application tracks a child's participation in the WV Birth to Three program from referral to transition, housing the child's enrollment data in a single, user-friendly child record. The child records include child and family demographic data, early intervention dates, and authorizations for services. Reports covering practitioners, claims, payments, APR information and other information defined by WV Birth to Three are available in WV BTOnline and Online Claims System at the state, regional, and local levels. Gainwell provides additional monthly and quarterly reports to WV Birth to Three. The new Analytics Platform has brought a wealth of knowledge to the State and RAU users in managing their caseloads. Over the last few years, we have worked closely with WV Birth to Three to expand the data system. This includes new functionality to achieve program goals, such as improving the Child Library to meet the program's "Go-Green" initiative.

4.2.1.1.1

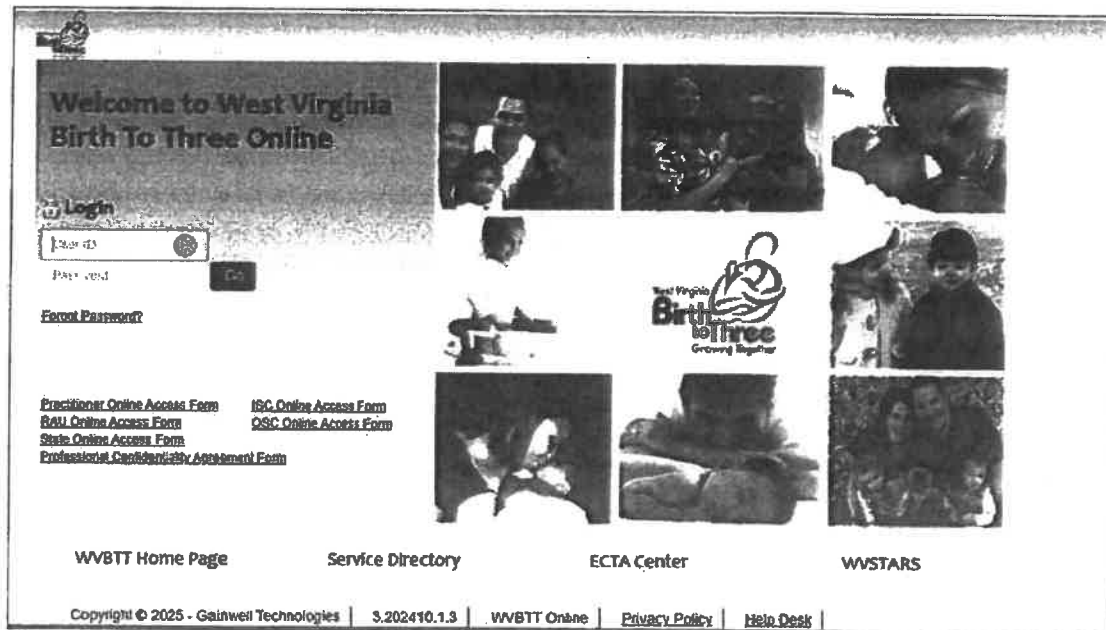
Vendor should describe how it will provide and manage each SPOE data system with online software that has the following capabilities:

WV BTOnline is a complete web-based data system that houses the child's activities in the WV Birth to Three program from referral to transition. The data system collects all required capabilities presented in this RFP. The primary features of the WV BTOnline child record are summarized below.

Public-Facing Home Page

The WV BTOnline Public Home Page provides users an entry point into the data system through a username and password login. System access and individual child record access are defined by the user's assigned role and the children to whom the user has been assigned. The user roles define whether a user has entry, edit, or read-only access for a child record.

Figure 1. Public-Facing Home Page



Referral

WV BTTOOnline features a Referral page to add a new child record. A referral wizard guides the user through the information needed to establish a new child record. Basic information such as child name and address, information for up to two family members, and the referral source and reason are captured during this process. When developing systems, Gainwell looks to add value where possible; one way we accomplish this in WV BTTOOnline is by adding links to reduce redundant data entry within a child record. Specific to the referral pages, a "Fill With Child's Address" link is available for the parent information. When the link is selected, the address entered for the child will populate in the parent's address fields.

An important feature of the referral process is duplicate record detection. The system will scan existing program data to determine if a child has an existing WVBTT child record. If a potential duplicate is identified, the user is given a list of potential matches and has the option to attach the referral to an existing child record or to create a new child record if the child has not participated in WVBTT in the past. This duplicate detection feature helps maintain data quality for reporting while also allowing for better visibility into a child's complete history with the WV Birth to Three program.

Throughout WV BTTOOnline, the user will be able to easily identify required fields. If a required field is missing during the data entry process, a notification will be displayed when the save button is selected. This validates that program required data is collected for the child, and no important information is inadvertently excluded from the child record.

Figure 2. Add Referral Page

Role: RAU
Logged in as: mikerau - 2

Add Referral

1 Family Member 1 2 Family Member 2 3 Referral Source 4 Confirm 5 Prev

Child
Jane Doe
Born 9/15/2024
Female
123 State Street
CHARLESTON 25301
Kanawha
Interpreter Needed: No

Family Member 1
Jan Doe - Mother
123 State Street
CHARLESTON 25301
(304) 555-1212 (Home)
(304) 555-3434 (Mobile)
jandoe@email.com

Referral Source - Primary
Family Physician
Referral Date 3/3/2025
(304) 555-4444
Referral Source: Physician-PrimaryCare
How did you hear about Birth To Three? Website- BTT/DHHR
Reason for referral: Possible hearing issues

Save and start a new referral
Save and view child summary

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Child Summary

The landing page for the child record in WV BTTOOnline is the Child Summary; this gives the user an overview of important information about the child on one page. The page displays basic child information such as name, date of birth, EI Dates, and eligibility reason. Other information, such as the child's Primary Contact and Service Coordinator's name and contact information, are visible on the page. The page allows the user to drill down into additional information for the child, or the user can navigate the child record by utilizing the menu options on the left of the screen. The page displays the 45-Day Timeline and Transition Timeline dates. This new feature displays these important dates to allow the service coordinator to quickly view the federal IDEA timelines for the child.

Figure 3. Child Summary Page

Doe, Jane - 201572543

DOB (3/15/2024)

Referral (3/3/2025)

• Referral successfully added.

Role: RAU

Logged in as: **miki@RAU**

Summary	Child Summary	
Child Detail	<p>Bo 3/15/2024, Female</p> <p>Referred 3/3/2025</p> <p>No Intake</p> <p>No Eligibility</p> <p>45-Day Timeline</p> <p>Referral to Initial IFSP: 3/3/2025 - 4/17/2025</p> <p>Days Remaining: 34</p> <p>Transition</p> <p>Transition 150 Days: 10/10/2026</p> <p>Transition 90 Days: 12/15/2026</p>	<p>Active</p> <p>Primary Contact</p> <p>Jen Doe</p> <p>123 State Street</p> <p>CHARLESTON, WV 25301</p> <p>Mobile (304) 555-3434</p> <p>Interim Service Coordinator</p> <p>Ongoing Service Coordinator</p>
Family		
EL Dates		
Authorizations		
Physician		
RAU Transfer		
Child Library		
COSE		
Team Note		

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Child Detail

WV BTOnline supports a Child Detail page that provides more information regarding the participating child. To reduce data entry, information collected during the referral process, such as contact information and date of birth, are automatically populated on this page, saving data entry time and improving accuracy. After referral, additional information about the child may be entered, including native language, race, and ethnicity. The design and edits of the user interface contribute to the completeness of the child record which in turn help with the Annual Performance Report (APR) for WV Birth to Three. This information is required to complete federal reporting and documents the federal guideline for services to be provided in the family's native language.

Figure 4. Child Detail Page

Doa, Jane - 201572643
DOB (3/15/2024)
Referral (3/3/2025)
Logged in as: mikkRAU
• Child Detail Successfully Saved.

Summary Child Detail **Edit**

Child
Jane Doe - 201572643

Contact
123 State Street
CHARLESTON 25301
Kanawha County

Details
Born 3/15/2024 - Female
WVBT State ID -
English Language

Demographics
White
Non migrant and not homeless

Notes

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The Family Page in WV BTOnline allows the program to collect information about the child's family. Similar to the Child Detail page, information about family members collected at referral automatically populates in a family member record. A family member may be identified as the child's Primary Contact on this page. If the family requires an interpreter as a part of their early intervention services, it is indicated on the family member record.

Figure 5. Family Page

Doa, Jane - 201572643
DOB (3/15/2024)
Referral (3/3/2025)
Logged in as: mikkRAU

Summary Family **+ Add New Family**

Last Name	First Name	Relationship	Phone	
Doe	Jan	Mother	(304) 555-3434	View
Doe	John	Father	(304) 555-8989	View

Jan Doe - Mother **Edit**

Role
Primary Contact

Contact
123 State Street
CHARLESTON WV 25301
(304) 555-1212 Home
(204) 555-3434 Mobile
jandoe@email.com

Details

[Delete Family Member](#)

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EI Dates

The EI Dates page allows the user to quickly enter and view the important dates associated with the child's enrollment in the WV Birth to Three program. The system captures the referral, intake, IFSP meeting, and transition meeting dates. When the child leaves the WVBT program,

the termination date is captured on the EI Dates page. WV BTTOOnline contains edits to validate dates are captured in chronological order for the child's enrollment history. For example, if a user attempts to enter an IFSP record prior to the entry of an Intake record, a warning message will display.

Gainwell's extensive EI expertise has allowed us to build functionality into our applications to validate important pieces of data entry so no referred child is inadvertently overlooked or missed. For example, the image below displays an error message: "Coordinator must be set prior to creating an Intake record." These types of notifications provide the State with extra security that no child will be overlooked. In WV BTTOOnline, if a service coordinator is assigned to a child, the child will display on Common Searches and reports to notify the service coordinator when the child has important upcoming dates.

Gainwell's extensive EI expertise and the functionality of our applications provide the State with extra confidence that no child will be overlooked.

Figure 6. EI Dates Page

Do, Jane - 201572643
DOB (3/15/2024)
Referral (3/3/2025)
Logged in as: mikkRAU - 2

Coordinator must be set prior to creating an intake record.

Early Intervention Dates		
Type	Start Date	End Date
Referral	3/3/2025	

+Add Referral +Add Intake +Terminate

View

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Authorizations

All authorizations for the child are entered into the data system through WV BTTOOnline. From the Authorization page, authorized users may view the child's authorization history. Authorizations entered on this page include both evaluation/assessment authorizations and service authorizations. Authorizations track the authorization date, service type, and assigned practitioner. The authorization data collected in WV BTTOOnline serves as the foundation for practitioner services and billing. Additional information about WV BTTOOnline authorizations is located in Section 4.2.1.1.1.9.

Figure 7. Authorizations Page

The screenshot displays the 'Authorizations' page in the WV BTTO Online system. At the top, the user is logged in as 'mimiRAU'. The page header shows the child's name 'Doe, Jane - 201572843' and their birth date '008 (3/15/2024)'. The sidebar on the left lists various navigation options, with 'Authorizations' currently selected. The main content area features a '+ Add Authorization' button and a form for entering new authorization details. The form includes a 'Service Type' dropdown menu set to 'Speech Language Pathology', a radio button for 'Evaluation / Assessment', and fields for 'Start Date' and 'End Date'. A 'Last Dates' button is positioned next to the 'End Date' field. At the bottom right of the form are 'Cancel' and 'Next' buttons. The footer of the page contains copyright information for Gainwell Technologies and links to 'WVBT Online', 'Privacy Policy', and 'Help Desk'.

IFSP

Currently, WV BTTO Online allows for the collection of IFSP dates and authorizations for services approved by the child's IFSP. Gainwell understands the IFSP is the foundation for the WV Birth to Three program, and we propose to enhance this functionality in WV BTTO Online.

The current functionality in WV BTTO Online has worked well since the system was implemented in 2015. The system collects the IFSP dates, primary setting, eligibility information, and transition information for the child. The collection of the IFSP dates corresponds to the dates for service authorizations.

Gainwell worked to develop a new IFSP functionality in WV BTTO Online specifically tailored to the WV Birth to Three program's IFSP document. This new online IFSP took the information from WVBT's IFSP form and created web pages to collect data for the child. The online IFSP pages will allow service coordinators to quickly drill down into the IFSP details from the EI Dates page. Instead of downloading the IFSP document from the Child Library, the service coordinator can quickly view the selected IFSP page directly on their computer or tablet. The collection of the additional IFSP information in WV BTTO Online will also allow the State to create reports from IFSP data. The following information is included with the IFSP enhancement:

- IFSP Team, Roles, and Meeting Attendees
- Present Abilities, Strengths, and Needs
- Outcomes, Child and Family
- Transition Activities
- Natural Environment Exceptions
- Parental Consent
- Early Intervention Services

Gainwell knows the RAU's time is valuable and entering additional information into WV BTTO Online will require extra data entry work. As part of this enhancement, we would like to discuss capturing selected fields from the fillable IFSP PDF document to display in WV BTTO Online to save time and improve data quality.

The IFSP page within the WV BTOnline application will support multiple IFSP periods throughout the child's enrollment; this means that updated data from each IFSP period can be collected. Gainwell is looking forward to discussing this enhancement with WV Birth to Three. It is important to us that this enhancement complements the program's processes and adds value to existing procedures.

Gainwell is excited to implement this enhancement for the WV Birth to Three program, and this change is included in our project plan.

Figure 8. IFSP Page Sample

Early Intervention Dates

[+Add Referral](#)
[+Add IFSP Meeting](#)
[+Terminate](#)

[IFSP Meeting](#)
[Other Services](#)

[Routines](#)
[Transition Topics](#)

[Child / Family Outcomes](#)
[IFSP Meeting Attendance](#)

IFSP 02/01/2023-01/31/2024

Print IFSP Edit

IFSP Meeting Date: 02/01/2023
IFSP Meeting Type: Initial
Primary Setting for this IFSP is: Home
No Transition Conference
Transition Plan Included: No

Eligibility

Established Conditions	Primary	Start	End	Added
<ul style="list-style-type: none"> Fragile X Syndrome 	Yes	02/01/2023	01/31/2024	

Figure 9. IFSP Page Sample

Early Intervention Dates

[+ Add Referral](#)
[+ Add IFSP Meeting](#)
[+ Terminate](#)

[IFSP Meeting](#)
[Other Services](#)

[Routines](#)
[Transition Topics](#)

[Child / Family Outcomes](#)
[IFSP Meeting Attendance](#)

Child / Family Outcomes

[+ Add Child Outcome](#)
[+ Add Family Outcome](#)

Child Outcome

What routine will be the focus for this child outcome? *

No Routine Selected

▼

Functional Outcome Statement *

We will know this outcome has been achieved when. *

What activities/strategies will the family do with their child between visits to achieve this outcome? (Strategies may change over time as needed) *

How will the family be coached to learn these strategies? *

☐ Practitioner will model recommended strategies.
☐ Practitioner will support the family through guided practice with recommended strategies.
☐ Practitioner will observe child/family within the routine and provide feedback on use of recommended strategies.
☐ Practitioner will provide written materials and answer questions.
☐ Practitioner will design and teach family how to collect data, when appropriate.

How will the team measure progress (observable actions and behaviors)? *

☐ Intervention Activity Notes
☐ Data Gathering
☐ Service Coordinator Activity Note
☐ Parent Report
☐ Ongoing Team Communication
☐ Other-Describe

Cancel

Save

Physician

WV BTOnline supports a page on the child record to capture information about the child's primary physician. The physician's contact information and specialty are among the data collected.

Figure 10. Child Physician Page

Role: RAU
Logged in as: miki@RAU - 2

Summary Child Physician + Add New Physician

Child Detail

Family

EI Dates

Authorizations

Physician

RAU Transfer

Child Library

COSE

Team Note

Child Physician

Last Name	First Name	Primary	Type	Phone
Physician	Primary Care	Yes	Primary Care Physician	(304) 555-9371

View

Primary Care Physician - Primary Edit

Primary Care Physician

Last Seen: 1/31/2025

Contact

123 Main Street

CHARLESTON, WV 25301

(304) 555-9371 Work

Delete Physician

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RAU Transfer

This WV BTOnline page contains the history of a child's transfers within the WV Birth to Three program. When a child moves to a new RAU, the originating RAU can transfer the child's record to the new RAU. RAUs may view transferred child records on the Home Page Common Search. This serves as a working list for the RAUs to manage the child transfers. Once the child information is reviewed and the transfer record is processed, the RAU has the option to remove the child from the transferred children list. The child will retain their unique WV Birth to Three program identification number when transferred to a new RAU.

Figure 11. RAU Transfer Page

Doc, Jane - 201572643
DOB (3/15/2024)
Intake (3/5/2025)
Logged in as: m131RAU-
Role: RAU

RAU Transfer + Add RAU Transfer

From RAU Region #1 Catholic Community Services
To RAU *
Select RAU
Date of Transfer 3/14/2025
Notes

Cancel Save

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Child Library

An important feature of the WV BTTO Online child record is the Child Library. Gainwell has worked closely with the State over the last few years to update this functionality to include enhanced document folder types and bulk upload capabilities; this has streamlined program processes and helped to achieve program's "Go-Green" initiative. This functionality also allows practitioners to upload documents such as assessment reports and progress notes for a child. All documents uploaded for a child will be available for review by authorized users, including the State, RAU, service coordinators, and practitioners associated with the child. This capability provides significant benefits for State compliance and auditing of the child services and their practitioners and oversight of Early Intervention services. Additionally, this provides service coordinators and practitioners efficient access to valuable information regarding the child's enrollment.

Gainwell has worked closely with the State to update the functionality of the Child Library, which has streamlined program processes and helped to achieve the program's "Go Green" initiative.

Figure 12. Child Library Page

Doc, Jane, 201572843
DOB (3/15/2024)
Intake (3/5/2025)
Logged in as: mjkrRAU

Child Library +Add Document

File Name *
 No file chosen

Title *

Folder *
No Folder Selected

Description

Uploaded/Last Modified by: mjkrRAU
3/14/2025 2:03:05 PM

Cancel Save

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Child Outcome Summary Form

A Child Outcome Summary Form (COSF) is currently available within the WV BTOnline application. The three areas captured by the COSF are Positive Social-Emotional Skills, Acquiring and Using Knowledge and Skills, and Taking Appropriate Action to Meet Needs. There are five types of COSF evaluations available for selection:

- Initial COSF
- Initial COSF rating not completed because the child is 30 months or older at initial IFSP
- Annual COSF
- Exit COSF
- Exit COSF rating not completed because exit date is less than six months from initial IFSP start date

The COSF may be associated with a child's IFSP period. An option to print the COSF form for distribution to the family is also available. This information is available in the APR Federal Indicator 3 report to support annual performance reporting.

Figure 13. COSF Page

Doe, Jane - 201572843

DOB (3/15/2024)

IFSP (3/10/2025 - 3/9/2026)

RAU

Logged in as: **nickRAU**

Summary

Child Detail

Family

Eligibility

Authorizations

Physician

RAU Transfer

Child History

COSF

Team Note

COSF

+ Add COSF

Facilitator *

Describe *

Date of COSF Completion *

Type of COSF Completed *

Associated IFSP Period

No COSF Selected

No IFSP Period Selected

Positive Social Emotional Skills

In To what extent does this child show behaviors and skills related to the outcome appropriate for his or her age across a variety of settings and situations?

The child uses age expected behaviors and skills in all or almost all everyday situations - no concerns.	The child uses age expected behaviors and skills but there are still some significant concerns.	The child uses a mix of age expected and not age expected behaviors and skills across settings and situations.	The child occasionally uses age expected behaviors and skills across settings and situations - more no age expected.	The child uses immediate foundational skills most of the time across settings and situations - not yet age expected.	The child occasionally uses immediate foundational skills across settings and situations - more foundational skills.	The child uses no immediate foundational skills across settings and situations - has mostly foundational skills similar to a much younger child.
--	---	--	--	--	--	--



1b Has child shown any new skills or behaviors related to "positive social emotional skills" in the last 12 months?

None Selected

Team Notes

Team Notes are collected and viewable in the WV BTOnline system. Each note collects the username (the person who enters the note), the date, the Note Type, and the contents of the note entered by the user. These notes are viewable by approved users with access to the child record.

Figure 14. Team Notes Page





Doe, Jane - 201572843

DOB (3/15/2024)

IFSP (3/10/2025 - 3/9/2026)

Role: RAU

Logged in as: **mikkiRAU** ~ 

• Note added to Team Note

Summary

Child Detail

Family

El Dates

Authorizations

Physician

RAU Transfer

Child Library

QOSF

Team Note

Team Note

[+ Add Note](#)

Child Name	Date	Note Title	Note	
Mikki Middleton	3/14/2025	Team Notes	RAU users enter notes about the child's participation.	More

Mikki Middleton

Note Type: Team Notes

Note Date: 3/14/2025 2:07:19 PM

Note: RAU users enter notes about the child's participation

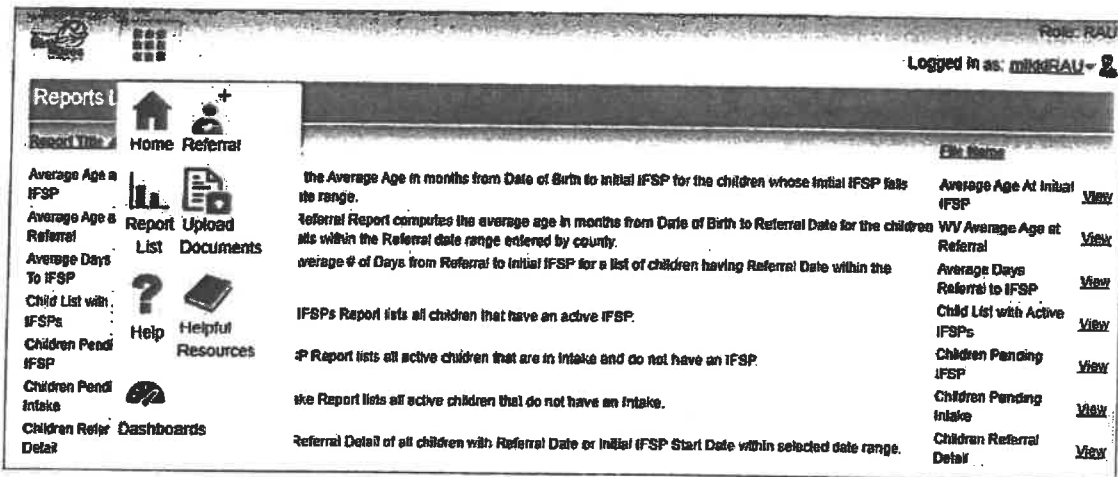
[Delete Note](#)

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Reporting

Gainwell understands the importance of child data for reporting at the State, RAU, and local levels. WV BTTOOnline provides several reporting capabilities to allow users to access data with ease. An important function of WV BTTOOnline is the Common Searches. The Common Searches provide the user with an immediate list of children who meet the criteria of the search. Common Searches are currently available for program management activities such as children approaching their 45-day timeline, children with an expiring IFSP, and active children over the age of three. Gainwell is enhancing the Common Searches to allow for the report to be exported into Microsoft Excel. In addition to the Common Searches, WV BTTOOnline has many reports available on the Reports menu to support the activities of the WV Birth to Three program. A new reporting feature introduced in November 2024 is the Analytics Platform. The Analytics Platform increases the reporting capabilities for the WV Birth to Three program by utilizing dashboards to create customized ad hoc reports. More details about the reports available are located in Section 4.2.1.5.2.

Figure 15. Reports



Roadmap for WV BTOnline Enhancements

The current functionality of the WV BTOnline system meets and often exceeds the mandatory requirements presented in this RFP. The data system is tailored to WV Birth to Three program processes and terminology.

Gainwell understands early intervention programs and their data system requirements continue to evolve over time. Now more than ever, EI programs rely on child data to support program decisions on policy and budget, meet federal compliance guidelines, and create powerful program reports; the WV BTOnline application contains many features that allow the WV Birth to Three program to meet these objectives. Additionally, Gainwell is proposing a roadmap to further add functionality that will serve the program now and in the future. These options include:

- Additional password security features, such as Multi-Factor Authentication
- Online IFSP to view IFSP details in WV BTOnline pages
- A color refresh to give WV BTOnline pages a new look that coordinates with the Birth to Three logo
- A highly configurable Parent (Family) Portal to allow parents and guardians online access to selected WV Birth to Three program records and surveys
- Adding a graphical dashboard that will show common searches in a visual way to aid in working the most important items first

We believe this roadmap will allow WV BTOnline to evolve to continue to meet the WV Birth to Three program goals. More information about how Gainwell proposes to exceed the mandatory requirements with our roadmap for WV BTOnline is found in section 4.2.2.1 Project Plan for Gainwell's Investment in WV Birth to Three (WVBTT) Systems and Technology.

4.2.1.1.1.1

Common intake function for all children referred to WV Birth to Three regardless of eligibility status including referral date, intake date, IFSP, transition meeting date, exit date, child outcome ratings, and date notification is provided to county school system

The WV BTTOOnline application allows users with the appropriate permissions to add a new child by selecting the Referral menu option. Each child referred to the WV Birth to Three program follows the same steps in WV BTTOOnline to create a child record. A referral wizard walks the user through the referral process and collects the pertinent information to establish a child record. Information collected at referral includes demographic information for the child and family members, the referral source, and the referral reason. The referral sources available in WV BTTOOnline are customized for the WV Birth to Three program.

WV BTTOOnline has a duplicate detection feature, which exceeds the mandatory requirements for intake functionality. This comprehensive duplication detection feature is built into the referral process and helps manage data quality. Upon entering a new child referral, the system compares the child's information to existing child records in the database and checks for potential duplicates. If a potential duplicate is detected, a list will be displayed allowing the user to determine if the child already exists in the data system. Rather than start a duplicate child record, the referral may be added to an existing child record; this allows users to view the child's complete history in the WV Birth to Three program.

In cases where a duplicate record does not exist, a new child record is created in the WV BTTOOnline system. The child is assigned a unique early intervention identification number that will follow the child through their entire participation in the WV Birth to Three program.

Once the child record is established, WV BTTOOnline moves the child record from referral to intake. The child record may now be viewed with all applicable child record pages, such as the Child Detail page and the Family Member page. During the intake process, additional information is collected for the child and family. New family members may be added, and the user is required to select a Head of Household for the child.

A service coordinator is also initially assigned to the child at Intake. An authorization for the initial evaluation and assessment for the child may be entered at this time. This will allow the program to proceed with the initial assessment to determine if the child is eligible for WV Birth to Three services.

The EI Dates page is available on the child record. Important dates such as referral date and intake date are collected on this page. Once the child is found eligible, the date of the initial IFSP may also be captured on the EI Dates page.

Additional information about the child's enrollment, such as school district notification, can be captured in a Team Note. If WV Birth to Three would like to add this notification to another page in WV BTTOOnline, Gainwell is open to discussing ideas with the Program.

Figure 16. Child Referral – Referral Wizard

Role: RAU
Logged in as: mikkRAU-2

Add Referral

Cancel

1 d 2 Family Member 1 3 Family Member 2 4 Referral Source 5 Confirm ← Prev

Child
Jane Doe
Born 3/15/2024
Female

123 State Street
CHARLESTON 25301
Kanawha

Interpreter Needed: No

Family Member 1
Jan Doe - Mother

123 State Street
CHARLESTON 25301

(304) 555-1212 (Home)
(304) 555-3434 (Mobile)
jandoe@email.com

Referral Source - Primary
Family Physician
Referral Date 3/3/2025
(304) 555-4444
Referral Source: Physician-PrimaryCare
How did you hear about Birth To Three? Website BTT/ DHHR

Reason for referral: Possible hearing issues

Save and start a new referral
Save and view child summary

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4.2.1.1.2

Child and family demographics, referral sources including original and follow up referrals, and initial and ongoing eligibility data specific to each child, including unique child identifier

The WV BTTOnline application was designed to maintain a WV Birth to Three child's information in a comprehensive child record. The child record collects all information about a child's participation in the WV Birth to Three program from referral to transition.

As described in Section 4.2.1.1.1, WV BTTOnline features a referral wizard to walk the user through the referral process when establishing a child record. The referral wizard collects basic information such as child demographic information, family member demographic information for up to two family members, the referral source, and the referral reason.

Upon completion of the referral, the child record is created within the database. The child record is assigned a unique child identification number. This identification number remains with the child record throughout the child's entire participation in the WV Birth to Three program, including when the child is transferred to a different RAU or if they return to the program under a new referral. By utilizing a static identification number, the State, RAU, or assigned practitioner can view the child's complete history of WV Birth to Three activities.

Child and family member demographics are collected in WV BTOnline. The information entered at referral is used to establish the child record, and the family members identified at referral automatically have a family member record created. Users may edit the Child Detail page or Family page to provide additional information. The child's race, ethnicity, and interpretation needs are entered on the Child Detail page. The Family page captures information for each family member. Address information may be copied from the Child Detail page to reduce data entry. The child's primary contact is also identified on the Family page. Each child is required to have one family member identified as the primary contact to receive WV Birth to Three communications.

Gainwell's history of working closely with the WV Birth to Three program means that WV BTOnline has unique features closely aligned to program processes. Many competing EI systems have the required fields for federal reporting but will not have important program-specific fields built into the system. One example is the child's home situation (i.e., residence, shelter, homeless). This field is available in WV BTOnline but may not be present in other systems.

Gainwell's history of working closely with the WVBTT program means WV BTOnline has unique features closely aligned to program processes, such as the program-specific field for the child's home situation.

The eligibility information is captured for each child on the EI Dates page. When the user enters an IFSP period on the EI Dates page, they are required to input an eligibility reason. Eligibility reasons are entered at initial and ongoing IFSP dates. This information is prominently displayed on the Child Summary page.

Figure 17. Child Detail Page

The screenshot displays the 'Child Detail' page for a child named Jane Doe. The page is divided into a left sidebar with navigation links and a main content area. The sidebar links include Summary, Child Detail (selected), Family, EI Dates, Authorizations, Physician, RAU Transfer, Child Library, QOSF, and Team Note. The main content area shows the following information:

- Child:** Jane Doe - 201572643
- DOB:** 3/15/2024
- IFSP:** 3/10/2025 - 3/9/2026
- Contact:** 123 State Street, CHARLESTON 25301, Kanawha County
- Details:** Born 3/15/2024 - Female, WVBTT State ID -, English Language
- Demographics:** White, Non migrant and not homeless
- Interpreter Needed:** No
- Notes:** (empty field)

At the top right, it shows 'Role: RAU' and 'Logged in as: mikkiRAU'. The footer contains copyright information: 'Copyright © 2025 - Gainwell Technologies | 3.202410.1.3 | WVBTT Online | Privacy Policy | Help Desk'.

Figure 18. Family Page

The screenshot shows the 'Family Page' for a child named Jane Doe, born 3/15/2024. The page includes a sidebar with navigation links: Summary, Child Detail, Family, EI Dates, Authorizations, Physician, RAU Transfer, Child Library, COSF, and Team Note. The main content area displays family members in a table:

Last Name	First Name	Relationship	Phone	
Doe	Jan	Mother	(304) 555-3434	View
Doe	John	Father	(304) 555-8889	View

At the top right, it says 'Logged in as: mld@RAU'. At the bottom, there is a copyright notice: 'Copyright © 2025 - Gainwell Technologies | 3.202410.1.3 | WVBTTO Online | Privacy Policy | Help Desk'.

4.2.1.1.1.3

Demographic information for parent or legal guardian

WV BTTO Online allows the user to capture demographic information for the parent or legal guardian on the Family page. The Family page supports the addition of multiple family members. In addition to parent and legal guardian information, all family members in the household may be entered on the family page, including grandparents, aunts/uncles, and siblings. Demographic information is collected for each family member, including name, address, phone number, and email. An option to "fill information with child's address" is available to avoid duplicate data entry and reduce data entry errors. Federally required information, such as language and the need for an interpreter, is entered.

The Family page is where the child's primary contact is identified. Each child must have a primary contact indicated on the Family page. The Family page exceeds the mandatory requirements and meets specific program processes by collecting the family income range for the head of household.

Gainwell knows that, currently, the WVBTTO program does not charge families for participation in the program. If that changes in the future, WV BTTO Online can be configured to add a Family Cost Participation (family fees) page, and processes to calculate the family fees. Information already collected on the Family page, such as household count and income levels, may be included in this calculation. We currently process family fees for other EI clients, and we would welcome the opportunity to discuss possible options with the State if the program would like to explore this.

4.2.1.1.1.4

Initial and ongoing assessments and child eligibility categories in accordance with Agency procedure

Gainwell understands the importance of the evaluation and assessment process to the Birth to Three program. WV BTTO Online includes functionality aligning with Agency procedures to

capture initial and ongoing evaluation/assessment authorizations for a child. Practitioner evaluation/assessment authorizations may be created for diagnostic evaluations to be delivered by approved and licensed practitioners within the WV Birth to Three program at any time after the child reaches Intake status. An example of the Authorizations page for evaluations/assessments is displayed below.

Additionally, completed evaluation or assessment reports may be uploaded to the Child Library where the report becomes part of the child record, and the child's assigned practitioners have access to view or download the report.

Figure 19. Evaluation/Assessment Service Authorization – WV BTOnline

The screenshot shows the 'Authorizations' page in the WV BTOnline system. At the top, the child's name 'Doe, Jane - 201572843' is displayed, along with their 'DOB (3/16/2024)' and 'Intake (3/5/2025)'. The user is logged in as 'mitchRAU'. A sidebar on the left contains navigation links: Summary, Child Detail, Family, EI Dates, Authorizations (selected), Physician, RAU Transfer, Child Library, COSF, and Team Note. The main content area is titled 'Authorizations' and includes a '+Add Authorization' button. It features a 'Service Type *' dropdown menu currently set to 'Speech Language Pathology'. Below this, the 'Evaluation / Assessment' radio button is selected. There are fields for 'Start Date *' and 'End Date *', each with a calendar icon. A 'Last Dates' button is positioned to the right of the 'End Date' field. At the bottom right, there are 'Cancel' and 'Next' buttons. The footer contains copyright information: 'Copyright © 2025 - Gainwell Technologies | 3.202410.1.3 | WVBT Online | Privacy Policy | Help Desk |'.

If the State would like more options for evaluation and assessment data capture, represented in the following figure, Gainwell is prepared to demonstrate functionality that can be utilized by the WV Birth to Three program. We have assessment and screening pages available to capture data and would welcome the opportunity to discuss this additional functionality available to the WV Birth to Three program.

Figure 20. Assessment

The screenshot shows a web-based assessment form. At the top is a dark header bar with the title "Assessment" on the left and a "+Add Assessment Score" button on the right. Below the header is a white form area. The first section contains four labeled input fields: "Evaluator: *", "TestDate: *", "Chronological Age (months): *", and "Type Of Evaluation: *". The "Type Of Evaluation" field has a dropdown menu currently showing "No Assessment Type Selected". Below this is a dark header bar for the "Adaptive Developmental Domain". Underneath, there are two input fields: "Adaptive DQ: *" and "Standard Deviation: *". A large, light gray rectangular button labeled "Raw Score" is positioned below these fields. At the bottom of the form, there are two more input fields: "Self Care (SC): *" and "Personal Responsibility (PR): *".

A child's eligibility for the WV Birth to Three program is captured in WV BTTOOnline. More than one category of eligibility may be recorded for the child with one designated as the primary eligibility category. Maintaining the current WV BTTOOnline application means the program-specific eligibility categories are already available. The categories provided and approved by the WV Birth to Three program include:

- Established Conditions
- At Risk
- Part-B Eligible
- Development Delay – Substantial
- Developmental Delay – Two areas
- Atypical Development Delay – Two areas
- 1 Atypical and 1 Developmental Delay – Two areas

After one of these eligibility types is selected as the primary eligibility reason, the user may then select Additional Eligibility Reasons from a drop-down list. Program eligibility can be entered from the Child Summary page or through the IFSP for the child.

Figure 21. Eligibility

Eligibility [Add Eligibility](#)

Select Eligibility ☐ Primary Full IFSP Period

Select Eligibility

Established Conditions [delete](#)

At Risk

Part-B Eligible

Dev. Delay - Substantial

Dev. Delay - 2 Areas

Atypical Dev. Delay - 2 Areas

1 Atypical and 1 Dev. Delay - 2 Areas

☐ Family Declined Conference

[Cancel](#) [Save](#)

4.2.1.1.1.5

Record of each IFSP service for each child including dates, locations, durations, and service Practitioners assigned to provide the service

Current WV BTTOOnline functionality allows for the entry of a child's IFSP services including dates, locations, durations, and service practitioners assigned to provide the service as part of the IFSP record.

The IFSP is currently recorded on the EI Dates page. The establishment of an IFSP record requires the user to enter the IFSP date range and primary setting. Eligibility is also entered as part of the IFSP record.

Once an IFSP record is established on the EI Dates page, service authorizations may be entered for the child. WV BTTOOnline captures each IFSP-related service for the child via an entered authorization. The authorization information includes the authorized date range, location, duration of service, and assigned practitioner. The child's complete authorization history may be viewed on the WV BTTOOnline Authorizations page; these authorizations are also utilized for practitioner billing. When a practitioner enters a claim for service, adjudication edits are in place to validate the practitioner, service type, and date of service against the authorization.

As a part of this solicitation, Gainwell proposes new enhancements to the WV BTTOOnline. New IFSP functionality will be added to BTTOOnline that will identify the IFSP Team and their roles, and provide a record of meeting attendees. The new IFSP pages contain the child's present abilities and strengths, the needs of the child outcomes to be discussed with the family, transition activities, and natural environment exceptions. Early Intervention service will be defined and parental consent collected. The online IFSP will significantly expand the quantity of reportable information available within the application and enable enhanced reporting and analysis options for the WV Birth to Three program.

Gainwell has experience in designing online IFSP functionality, and we have successfully implemented IFSP functionality for three clients. We have new IFSP functionality, based on the WV Birth to Three program IFSP, already developed. We are excited to collaborate with WV Birth to Three to adapt this functionality to align with State processes.

Gainwell has experience in designing online IFSP functionality, and we have successfully implemented IFSP functionality for three clients.

4.2.1.1.6

Family income and head of household

WV BTTOOnline collects family information as part of the child record. This information is entered on the family information page. Included in the family information is the designation of a head of household. Each child record is required to have a head of household, and only one family member may be selected for this role. The head-of-household designation is utilized for the CFO communications, including mailings and phone calls.

The family information page allows users to select a family income range for the head of household; Gainwell exceeds the mandatory requirements for this functionality. The income range is currently determined by an income bracket specific to WV Birth to Three. The income brackets are maintained in the database, and users select the bracket on the family information page.

Additional information about the family information page is located in Section 4.2.1.1.1.2.

4.2.1.1.7

Private and public insurance coverage

As the incumbent vendor, Gainwell currently supports comprehensive fund recovery activities for the WV Birth to Three program. Per current program guidelines, fund recovery is processed for Medicaid and West Virginia Children's Health Insurance Program (CHIP). Eligibility information for Medicaid and CHIP is gathered through the 270 Eligibility Request and 271 Eligibility Response file exchange process. Eligibility response data is stored in the database and utilized during the claim evaluation process. More information about fund recovery processes is located in Section 4.2.1.3 Fund Accounting.



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Current WV BTTOOnline functionality does not include the entry of insurance information. Gainwell has an insurance page available for WV BTTOOnline, and we are prepared to provide this page for WV Birth to Three if the program decides to collect private insurance

information and/or bill private insurance for services. The insurance information collected includes pertinent data required for billing, including family subscriber, insurance carrier names, coverage dates, group information, and policy information. Insurance cards can be scanned and uploaded to the Child Library. An important feature of the insurance page is the "Consent to Bill" option. This allows the system to capture the family's consent to send claims to the insurance carrier. The figure below displays an example of the insurance page. Gainwell welcomes the opportunity to discuss this system feature with WV Birth to Three. This page can be implemented in WV BTTOOnline at the program's request.

Figure 22. Insurance Information – Sample

The screenshot shows a web form titled "Insurance Policy" with a "+Add Policy" link in the top right corner. The form contains several fields and labels:

- Family Subscriber ***: A dropdown menu with the text "Select Subscriber".
- DOB**: A label for the Date of Birth field.
- Carrier ***: A label with a link "Search Carrier".
- Coverage Start ***: A date field with a calendar icon.
- Coverage End**: A date field with a calendar icon.
- Billing Order ***: A dropdown menu with the text "Select Billing Order".
- Group Name**: A text input field.
- Group Number**: A text input field.
- Policy / Member ID ***: A text input field.
- Insurance Type ***: A dropdown menu with the text "Select Insurance Type".

At the bottom right of the form are two buttons: "Cancel" and "Save".

4.2.1.1.8

Searchable history for each child of prior IFSP services, service types, and authorizations including dates, locations, and authorized Practitioners for at least five years after child's third birthday.

WV BTTOOnline maintains a child record for each WV Birth to Three program participant. Information about the child's participation in the program is entered into the child record from referral to transition. The system is designed to allow State, RAU, service coordinators, and practitioners to easily view the child's program history. This includes the child's demographic data and family information, as well as dates for important events such as referral and IFSP meetings. All evaluation, assessment, and service authorizations issued for the child are saved on the child record. The authorization information includes dates, service types, service location, and the authorized practitioner.

Child data is currently maintained in the system in perpetuity. WV BTTOOnline supports a child search function, and authorized users may search for and access child records at any time. Gainwell will continue to store information indefinitely for all children who have participated in the WV Birth to Three program and will only modify this policy at the direction and approval of WVBTT program managers. If the WV Birth to Three program decides to remove data for children who are beyond five years of their third birthday, we are prepared to discuss possible options to reduce the data stored in the WV BTTOOnline application.

Figure 23. Child Search Criteria

Role: RAU
Logged in as: miki@RAU

Child Search Criteria

Child ID [View Child](#)

Child	Primary Contact
Last Name Doe	Last Name
First Name	
Date of Birth	

☐ Exclude Duplicates
☐ Exclude Terminated
☐ Statewide

Common Searches

Most Recently Selected Children	Children Approaching 45 day Timeline
Children Exceeding 45 day Timeline	Pending Transition
Transferred Children	Expiring IFSP
Age 3 Not Terminated	< Age 3 Expiring IFSP

[Clear](#) [Search](#)

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4.2.1.1.1.9

Ability to authorize services prior to the initial IFSP

WV BTTO Online's current functionality allows for program approved services, such as evaluation/assessment and team meetings, to be authorized prior to the child's initial IFSP. Child records that are in "Intake" status may have these authorizations assigned by the RAU. Upon the entry of the authorization, the selected practitioner will have access to the child record. This allows the practitioner to view information about the child prior to their initial visit.

Authorization requests are entered in the Authorization page of the child record. The service type, start date, and end date of the authorization are collected, and the authorization will remain a part of the child record throughout the child's enrollment in the WV Birth to Three program. The figure below displays an example of the WV BTTO Online Authorizations page.

WV BTTO Online may be modified to allow additional authorizations prior to initial IFSP at the request of WV Birth to Three. We will work with the State to make sure the approved authorizations are available to WV BTTO Online users.

Figure 24. Evaluation/Assessment Service Authorization – WV BTOnline

The screenshot shows the 'Evaluation/Assessment Service Authorization' form in WV BTOnline. The header includes the user's name 'Doe, Jane - 201572716', DOB '3/15/2024', Intake '3/5/2025', and role 'RAU'. A sidebar on the left contains navigation links: Summary, Child Detail, Family, EI Dates, Authorizations, Physician, RAU Transfer, Child Library, CQSF, and Team Note. The main content area is titled 'Authorizations' and features a '+ Add Authorization' button. Below this, there are fields for 'Service Type' (set to 'Speech Language Pathology'), 'Evaluation / Assessment' (selected with a radio button), 'Start Date', 'End Date', and 'Last Dates'. At the bottom right are 'Cancel' and 'Next' buttons. The footer contains copyright information and links to 'Privacy Policy' and 'Help Desk'.

4.2.1.1.1.10

Agency ability for calculations to determine date timelines in accordance with WV Birth to Three policies and late reasons when timelines are not met

Gainwell has worked closely with the WV Birth to Three program recently to include enhanced tracking for the 45-Day Timeline and Transition timeline. This information is now automatically populated on the Child Summary page, so it is visible when the child record is accessed. When the child is within the 45-Day period, the functionality includes the "Days Remaining" count allowing the service coordinator to easily see how much time they have remaining to complete the child's IFSP.

Figure 25. Child Summary

The screenshot shows the 'Child Summary' page in WV BTOnline. The header is identical to Figure 24. The sidebar navigation is the same. The main content area is titled 'Child Summary' and displays a table of information for Jane Doe. The table includes fields for 'Born' (3/15/2024, Female), 'Active' status, 'Referral' (3/3/2025), 'No Intake', 'Primary Contact' (Jan Doe, 123 State Street, Charleston, WV 25301, Home (304) 555-1212), 'No Eligibility', 'Interim Service Coordinator', '45-Day Timeline' (Referred to Initial IFSP: 3/3/2025 - 4/17/2025, Days Remaining: 31), 'Ongoing Service Coordinator', 'Transition' (Transition 150 Days: 10/15/2026, Transition 90 Days: 12/15/2026), and 'Team Note'. The footer is the same as Figure 24.

WV BTOnline was designed to assist the State in monitoring important, federally mandated timelines and the maintenance of child records. This is accomplished by the addition of Common Search functions to the user's WV BTOnline Home page. These search functions allow the user to quickly view a list of children that meet the specifications of the selected search.

Examples of available Home Page searches include Children Approaching 45-Day Timeline and Children Exceeding 45-Day Timelines. The Children Approaching 45-Day Timeline search will list children who have not had an IFSP entered in WV BTOnline and are approaching the federally mandated 45-day time limit. This report allows the State to closely monitor children during the 45 days between referral and IFSP and make sure a note is entered to document the reason a child falls outside the 45-day limit.

When a Home Page search is executed, the search results return important information for each child on the list. A "view" link is available for each child listed in the Home Page search results. Selecting this link will navigate the user directly to the child's record.

A Common Search Dashboard has been proposed that provides the ability for the end user to visually identify problem areas needing quick resolution or provide end users peace of mind that an issue does not exist. The ability to rectify issues early will lead to better overall Annual Performance Reporting (APR) scores. See section 4.2.2.1 for additional information.

Located in the figure below is a list of the common Home Page searches currently available in WV BTOnline.

Figure 26. Home Page Common Searches – WV BTOnline

The screenshot displays the WV BTOnline interface. At the top right, it shows 'Role: RAU' and 'Logged in as: miki@RAU - 2'. Below this is a 'Child Search Criteria' section with a 'Child ID' field and a 'View Child' button. The main search area is divided into two columns: 'Child' and 'Primary Contact'. The 'Child' column includes fields for 'Last Name', 'First Name', and 'Date of Birth'. The 'Primary Contact' column includes fields for 'Last Name' and 'First Name'. To the right of these fields are three checkboxes: 'Exclude Duplicates', 'Exclude Terminated', and 'Statewide'. Below the search criteria is a 'Common Searches' section with a list of search options: 'Most Recently Selected Children', 'Children Exceeding 45 day Timeline', 'Transferred Children', 'Age 3 Not Terminated', 'Children Approaching 45 day Timeline', 'Pending Transition', 'Expiring IFSP', and 'Age 3 Expired IFSP'. At the bottom right of the search area are 'Clear' and 'Search' buttons. The footer contains copyright information: 'Copyright © 2025 - Gainwell Technologies | 3.202410.1.3 | WVBT Online | Privacy Policy | Help Desk |'.

Figure 27. Children Approaching 45-Day Timeline Search Results

Role: RAU
Logged in as: mikiRAU

Child Search Criteria

Search Results - Children Approaching 45 Day Timeline

Child ID	RAU	Last Name	First Name	Date of Birth	Status	Referral Date	Devs	ISC
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4.2.1.1.1.11

Child Library function with designated folder types to maintain the WV Birth to Three Standard and additional information uploaded by Practitioners and Service Coordinators

The Child Library designed for WV BTOnline allows users to upload important documents to the child record. The WV Birth to Three Standard folder types already available in WV BTOnline directly align to the documents uploaded into the Child Library. The documents are stored directly on the child record, and only users with authorized access to that child's record may view or download the documents. WV BTOnline exceeds the mandatory requirements for the Child Library by including an additional data security feature, whereby the system will only allow the State and RAU users to delete a document in the Child Library.

Figure 28. Child Library

Role: RAU
Logged in as: mikiRAU

Child Library

Folder Type

No Folder Selected

No Folder Selected

All Folders

- Administrative
- AT/Audiological
- Communication Logs
- Consent
- E/A Reports
- IFSP
- Intervention Activity Notes
- Progress Monitoring

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4.2.1.1.1.12

Ability for authorized Practitioners, Service Coordinators and Agency Administrators to upload WV Birth to Three Standard Documentation and additional information into the electronic child record including but not limited to family assessment, evaluation/assessment reports, consents, and case notes

Recently, Gainwell worked closely to align the document folders in the Child Library directly to the WV Birth to Three Standard Documentation that practitioners, service coordinators, and

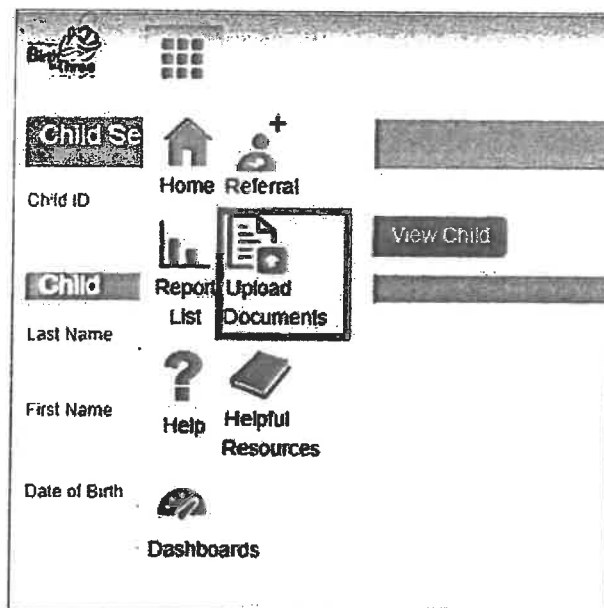
agency administrators may upload to the Child Library. This new folder structure allows users to quickly identify the document type they are looking for on the child record. The document folders are displayed in Figure 28 and exceed the requirement for family assessment, evaluation/assessment reports, consents, and case notes.

4.2.1.1.1.13

Document upload function which allows users to upload one too many documents at one time with the capability to read fields on WV Birth-to Three Standard Documentation including Child State ID, date of birth, date, folder field, and title of form to automatically title the documents and place them into the correct child electronic record

As part of the "Go-Green" initiative, WV BTOnline includes a bulk upload feature to allow users to upload one to many documents at a time. This functionality is already set up and has been in production since Summer 2022. When an authorized user selects the "Upload Documents" button from the menu, they are prompted to browse for and select a file or files. Once the file is selected, the system identifies information from within the file including Child ID, date of birth, date, folder type, and form type. This information is utilized to parse the file and post the document to the Child Library. The documents are posted to the correct child record in the correct document folder. This new functionality has greatly streamlined upload times, allowing users to complete the upload at one time rather than requiring them to access each individual child record and document folder to complete the upload process.

Figure 29. Upload Documents Function



4.2.1.1.1.14

Provide restricted access to specific user's ability to download documents from the child library individually or by group download by folder type

The Child Library in WV BTOnline is restricted by user role. Gainwell understands when documents are uploaded into the Child Library they become part of the child's official record,

and paper copies are often destroyed. Therefore, we place great importance on protecting the documents in the child record, and restrictions are put in place for who can upload, download, or delete these documents. The following controls are present in WV BTTOOnline for these user roles:

- State users can upload, download, and delete documents in the Child Library for all children. State users are also the only user role who have the ability to utilize the “download all” option, which downloads all documents within a child’s record.
- RAU users can upload, download, and delete documents in the Child Library for all children in their region.
- Intake Coordinators, service coordinators, and practitioners can upload and download documents in the Child Library for children in their caseload. These users do not have the ability to delete documents.

4.2.1.1.15

Provide practitioners, service coordinators, Agency Administrators, and RAU staff with restricted access to view child records by individuals with authorizations, in accordance with the Family Educational Rights and Privacy Act (FERPA) and IDEA

Gainwell understands the importance of protecting child data, and the security of child data is at the forefront of every system design and enhancement we implement. WV BTTOOnline has been specifically designed to comply with FERPA and IDEA guidelines, and user access to child records is restricted by the user’s assigned role.

The current hierarchy of user access allows State users to view child records for all children with an enrollment in the WV Birth to Three program. RAU users have access to records for children assigned to the specific RAU. Service coordinators and practitioners have restrictions in place to view only children for whom they are assigned an authorization for services.

Prospective users, including State, RAU, service coordinators, agencies, and practitioners complete an Online Access Form during the enrollment process. User access to WV BTTOOnline is granted as part of the enrollment process. This form is evaluated with the enrollment applications. Access to WV BTTOOnline is only granted to enrolled practitioners and state approved users, and the user role assigned is consistent with the person’s role in the WV Birth to Three program.

We understand that early intervention program regulations and program needs change over time. WV BTTOOnline is designed to modify changes in access for existing user roles or allow for the creation of new user roles to accommodate changes required by WV Birth to Three.

Gainwell will work with WV Birth to Three in the future to maintain compliance with FERPA and IDEA regulations.

4.2.1.1.16

Assign a unique identifier for each child that is maintained from entry to exit regardless of moves within or out of the system, including returns to the system

A primary feature of the WV BTTOOnline application is the ability to easily maintain a child record from referral to transition. When a new child is referred to the program, the system creates a new child record, and a unique EI identification number is automatically assigned. This unique identification number never changes and will remain with the child throughout their participation in WV Birth to Three, including transitions to different regions. If the child leaves the early

intervention program and returns with a new referral, the system will identify that a record exists in the database for that child. A new enrollment period is created for the child, and the original EI identification number is maintained. This allows the program to research the child and have a clear view of their entire history with WV Birth to Three. This static EI identifier also increases data quality and consistency, ultimately leading to easier and more accurate federal and program reporting.

4.2.1.1.1.17

Provide enhanced access to data and reporting functions at the Agency and local levels to support effective service delivery and management requirements

The WV BTTOOnline application has easily accessible reports to allow State and local users visibility into program data. Three reporting options, Common Searches, Report List, and the Analytics Platform, all provide up-to-date reports based on the user's needs. Report availability is based on user role, so each user has reports tailored to their role in the WVBTT program.

Common Searches are home page reports that provide quick access to important data for program management. Users can monitor the program from these queries to quickly view children who are approaching the 45-day time limit, children with expiring IFSP periods, or children exceeding the 45-day time limit. From the common searches, users can navigate directly to the child's record.

Additionally, WV BTTOOnline features a Reports List option. The available reports are specific to the user and allow for program oversight. RAU users have access to reports such as Average Days Referral to IFSP, Children Pending Intake, Children Pending IFSP, and Program Eligibility Summary. State users have access to important federal indicator reports. Reports for indicators 1, 2, 3, 5, 7, 8a, 8b, and 8c are available through the Reports List option. This allows WV Birth to Three staff to generate the required federal reports for these indicators with ease.

In November 2024, Gainwell implemented an Analytics Platform for WV Birth to Three. The Analytics Platform has allowed additional reporting functionality by utilizing dashboards whereby data can be selected to create custom views based on reporting needs. More information about the Analytics Platform is located in Section 4.2.1.5 Reporting and Operating Functions.

For more details about the available reporting options, refer to Section 4.2.1.5.2.

4.2.1.1.1.18

Provide practitioners and service coordinators with ability to run reports relative to their caseloads

The WV BTTOOnline Home Page was designed to provide practitioners and service coordinators pertinent information about their caseload at their fingertips. The Home Page has several "Common Searches" available that will present information for the practitioner's or service coordinator's caseload. Upon execution of the common search, only children assigned to the practitioner or service coordinator will display in the report results. An additional feature of the common search is the ability to navigate directly to the child record from the results list. When a practitioner would like more information about a child listed in the common search results, a "View" link will take the practitioner directly to the child record.

Figure 30. Home Page Common Searches – WV BTOnline

Common Searches	
<u>Most Recently Selected Children</u>	<u>Children Approaching 45 day Timeline</u>
<u>Children Exceeding 45 day Timeline</u>	<u>Pending Transition</u>
<u>Transferred Children</u>	<u>Expired IFSP</u>
<u>Age 3 Not Terminated</u>	<u>< Age 3 Expired IFSP</u>

4.2.1.1.1.19

Provide the state agency users with the ability to run access reports on users who have accessed electronic child records and users who have uploaded, downloaded, or deleted documents from the child library.

WV BTOnline allows State users to run access reports that list who accessed a child's record, the actions taken on the pages within the child record, and the actions taken on the documents associated with the child record. Report execution parameters include the ability to filter by user or child and date range. This "E-Access" report has two versions: summary and detail. The detail version of the report will list the specific documents in the Child Library, any actions taken on that document (i.e., upload, download, or delete), and the user who completed the action.

4.2.1.1.2

Vendor should describe how it will ensure timely and compliant processing of service authorizations, including:

Service authorizations are entered in the WV BTOnline application and are immediately available to the practitioners and staff with authorized access to the child's record.

In 2020, Gainwell implemented the Online Claims System (OCS) for the WV Birth to Three program. This new system allows practitioners to view authorizations and enter service claims. For practitioners and/or payees that retrieve their authorizations electronically, the authorizations are available via the Service Directory the day after the authorization is created in WV BTOnline.

When the Parent (Family) Portal is implemented, parents and legal guardians will be able to view authorizations online.

4.2.1.1.2.1

Providing service authorizations through a secure web-based application for each evaluation or assessment and/or IFSP service to respective Payees within two days of entry of the electronic information from the RAUs

Evaluation/Assessment and Service authorizations are entered in WV BTOnline, a secure web-based application, and are immediately available online to the practitioners and staff with authorized access to the child's record. Upon completion of the evaluation/assessment and/or service, the practitioner can immediately enter the claim for this service in the Online Claims System.

4.2.1.1.2.2

Providing electronic transfer of authorizations for services to Payees that submit electronic claims

Gainwell's current process includes the daily electronic transmission of authorizations to designated payees via HIPAA 278 formatted files. Payees manage receipt of these files and the

submission of electronic claims via Gainwell's secure provider matrix website. We propose to continue this process as part of the new contract.

4.2.1.1.2.3

Computing the value of service authorizations both in units and dollar amounts using a rate table established by the Agency including the computed numbers of units but not the computed dollar amount on authorizations

Gainwell meets this requirement by including the total number of authorized units on each authorization. We do not compute or include the maximum dollar amount available for claiming, which may vary according to the credentials active for the practitioner on the date of service. By controlling the number of units payable for each authorization, the grand total of dollars paid will not exceed the number of authorized units multiplied by the maximum per-unit rate for the procedure and practitioner.

4.2.1.1.2.4

Assuring that Payees will not be paid more than the maximum rate or total calculated amount of authorization

For all authorizations, including those created with time units in 15-minute increments, the creation of the authorization establishes a maximum number of units that may be utilized by the practitioner to provide services according to the guidelines of the child's IFSP. The maximum number of units authorized is included on the authorizations.

Gainwell maintains rate tables within the database. These rate tables contain the maximum reimbursement rates set by WV Birth to Three for each service.

As the practitioner/payee enters the claims for payment, the claim is processed through adjudication edits based on the allowed rates for the authorized service and the units billed. Once the claim is approved for payment, the number of units available for future claims is reduced by the number of units paid to the practitioner/payee.

Should the maximum rate for a procedure change at any time, the rate tables are updated, but the number of authorized units does not change on active authorizations. Claims for service dates after the effective date of the rate change are paid a dollar amount not to exceed the new maximum rate.

Gainwell has extensive experience implementing rate changes for early intervention programs. This experience has allowed us to develop trusted processes to code, test, and implement new rates quickly and accurately.

4.2.1.1.2.5

Assuring that authorizations for services are limited to enrolled RAU, Service Practitioners and Service Coordinators

WV BTOnline has system edits in place to prevent the creation of authorizations without the designation of a specific service coordinator or practitioner. The list of service coordinators and practitioners eligible to be assigned to evaluation/assessment and service authorizations is limited to actively enrolled practitioners/service coordinators. Only practitioners/service coordinators who have met the State's requirements for enrollment will be eligible to be selected for new authorizations. Changes made to practitioner eligibility are reflected in WV BTOnline, and any changes are effective in real time.

Additional edits are in place to monitor practitioner eligibility throughout the duration of the authorization. When a service coordinator or practitioner becomes inactive or ineligible prior to the expiration of an authorization, the Gainwell claim adjudication process prevents claims from being paid for services dates on which a service coordinator or practitioner is not active or has not met the enrollment standards.

4.2.1.2 Claims Administration

To process and render Payee service claims accurately and timely.

Gainwell has handled WV Birth to Three claims for many years and brings to this engagement both a proven claims processing solution and solid relationships with the payee and practitioner community. The Gainwell Central Finance Office (CFO) office is already established, the Gainwell team is experienced in WV Birth to Three claims processing procedures, and we are prepared to provide uninterrupted CFO services from Day One of the new contract, with no transitional activities required or transitional cost.

In 2020, Gainwell implemented the Online Claims System (OCS) to allow WV Birth to Three program practitioners to submit service claims online. This online system replaced the mail-in process and has streamlined claims entry for West Virginia payees and practitioners.

Gainwell's experience with processing Early Intervention claim payments for practitioners is unmatched. The claiming systems in place associate claims to authorizations. Upon submission of the claim, the claim processes through a series of program-approved adjudication edits to determine if the claim is eligible for payment. If the claim adjudication edits result in a denial, the system identifies the denial reason on the claim for the practitioner to view.

For claims that pass all adjudication edits, the CFO system determines the payable rate for the service. Gainwell's solution provides the capability to process denial overrides and payee-level transactions. These activities are entered by an experienced team at Gainwell's Operations Center. Gainwell coordinates with WV Birth to Three program staff to gain approval for denial overrides and payee-level transactions.

Gainwell places great importance on producing accurate payments to practitioners. Claims that are entered into OCS are processed according to adjudication edits and rules agreed to by WV Birth to Three; this includes payment for services received within 60 days of the date of service. The claims adjudication system also validates child eligibility and authorization information, rate for services, and duplicate claim rules.

Since 2004, Gainwell has processed 8,887,421 WVBTT practitioner claims. The total payment amount for these claims is more than \$599,879,400.

The payments to practitioners are generated from practitioner claims and are accurate per the agreed-upon standards. OCS maintains a history of all authorizations and claim payments. Gainwell has controls in place to validate the payments.

Currently, Gainwell processes claims for payment on a weekly basis. Gainwell provides WV Birth to Three with a file containing the payee payments, along with a check report. The file and report are reviewed by the Gainwell Project Manager before being uploaded to a secure FTP site for WV Birth to Three. Upon delivery of the file and report, WV Birth to Three personnel are notified.

Gainwell's claims administration processes retain the consistency and reliability of OCS and will continue without interruption on Day One of the new contract. Our solution also allows WV Birth

to Three payees and practitioners to continue providing services and receiving payments according to schedule.

4.2.1.2.1

Vendor should describe how it will provide a multi-user claims payment system with the following features:

Our responses in the following subsections describe Gainwell's approach to providing a multi-user claims payment system with the required features.

4.2.1.2.1.1

Ability to receive claims from Payees via web-based application, electronic file layout, or a CMS1500 form

Processing payee claims is one of the cornerstone responsibilities of the CFO. Payee claims document each instance of service provided to a WV Birth to Three child and support other key elements of the program, including:

- The payment of practitioners
- The evaluation and submission of correct and appropriate billing to Medicaid
- The correct evaluation of WV Birth to Three compliance with various federal APR Indicators.

WV Birth to Three has elected to utilize a health care claims model to define its Practitioner Service list and to receive, evaluate, and process practitioner service claims. This decision also supports the correct mapping of WV Birth to Three program services to Medicaid services, and the collection of key information on the practitioner claims supports the preparation of correct and appropriate Medicaid claims.

Gainwell supports the WV Birth to Three practitioner claims process by accepting and processing those claims in a number of appropriate formats. Payees/practitioners can enter their claims directly into the new OCS application. Gainwell also accepts receipt of claims using Electronic Data Interchange (EDI) in a HIPAA-compliant 837P file format. Due to the ease of online capabilities, paper claiming has been reduced significantly in the last few years. However, Gainwell has maintained the ability to accept paper claims using a CMS 1500 claim form.

In 2020, Gainwell implemented the OCS application to streamline processes for WV Birth to Three payees and practitioners. This new web-based functionality allows payees/practitioners to conduct key activities such as:

- Submit practitioner claims for payment
- Review authorizations
- Search claims and payment history
- Access Explanation of Payment (EOP)

The primary focus of OCS is practitioner claim entry. The following figures illustrate the claim entry experience for payee/practitioners.

The claim entry workflow typically begins with an authorization search. Payees and practitioners will only be able to view service authorizations that are assigned to them. From the authorization, the authorized payee/practitioner user can select an option to enter a new practitioner service claim.

Figure 31. OCS Claim Entry

The screenshot displays the 'Claim Entry' web application. At the top, there is a navigation bar with links: Home, Provider Account Management, OCS Reports, User Options, Help, and Logout. Below this, a header section shows 'Auth # *' and 'Patient Acct.'. The main content area is titled 'Claim Detail' and contains a form for entering claim information. The form includes a 'Service Line' dropdown set to '1', a 'Service Date' field with a calendar icon, and a checkbox for 'Second Service for the Same Date'. A 'Unit Conversion' box indicates '1 Unit = 15 Minutes'. The 'EI Code' is set to '80712', and the 'ICD Code' is 'R62.50'. The 'Units' field is empty, and the 'Charges \$ #' field is also empty. At the bottom of the form, there is a checkbox for 'I confirm all required documents have been uploaded to BITOnline for this child before submitting this claim'. Below the form are three buttons: 'Reset', 'Close', and 'Add to Claim'.

The OCS claim entry page collects the same claim information that is collected on paper forms and in the EDI 837 file. In this way, the OCS claim entry experience parallels other claiming methods available to payees and practitioners, making for a consistent experience. Like the other methods, the claim entry page in OCS collects the data necessary to align with and support Medicaid claims that are produced based on paid practitioner claims.

An important feature of claim entry in OCS is that the full set of claim edits are run on each claim when it is submitted. Unlike EDI and paper-based claims, payee/practitioner can see denial reasons upon submission and take immediate steps to correct them. This benefits practitioners by allowing them to correct claims in real time.

Additionally, the OCS enables authorized users to search for claims to view the claims' history for children in their caseload. This capability allows users to conduct research and manage claiming without relying on paper reports or records.

Figure 32. Claims Search

Search Criteria - Claims

☐ **Claim #**
Claim #

☐ **Authorization**
Authorization #

☐ **Provider Account**
Provider Acct

☐ **Provider Name**
Last Name
First Name

☐ **Child Id**
Child Id

☐ **Child Name**
Last Name
First Name

☐ **Payment Reference Number**
Check Number
Or
EFT Number

☐ **Date Range**
Type
Start Date
End Date
Submitted Date ▼

☐ **Agency/Payee**
Name
Type
Start Date
End Date
Submitted Date ▼

Back Search

While many providers now utilize OCS to submit claims, payees/practitioners are still able to submit claims via Electronic Data Interchange (EDI). Payees/practitioners who choose to submit claims electronically first submit a Trading Partner Agreement (TPA). Once the TPA has been processed by Gainwell, payees/practitioners then submit test files for format validation through the EDIFICS website.

The Gainwell Production Support team is available to answer questions regarding this process and assist payees/practitioners to resolve errors during testing or production.

4.2.1.2.1.2

CFO data entry upon receipt of electronic claims in HIPAA compliant format

Gainwell accepts and enters claim data received on paper using a CMS1500 claim form. While most practitioners have transitioned to the Online Claims System (OCS), Gainwell has maintained the ability to process paper claims.

Paper claim forms are mailed to the Gainwell Operations Center in Lenexa, Kansas. Gainwell Claims Entry staff enter claims within three days of receipt from the payee/practitioner, so payee/practitioners are compensated in a timely manner.

Gainwell receives and processes claims through Electronic Data Interchange (EDI) in HIPAA-compliant 837P file format. EDI is a popular choice among medium and large office-based payees. In fact, nearly 171 payees submitted their claims to the CFO using EDI during the calendar year 2024.

Gainwell also posts electronic remittance files in HIPAA-compliant 835 EDI format for those payees who request EDI files each week. Similarly, new authorizations can be issued to EDI payees using an EDI 278 format. This allows payees to maximize the value into their claiming software by importing both service authorizations and practitioner claim results to their local systems. The Gainwell EDI Help Desk is available to answer questions payees have regarding any EDI activities.

Gainwell's staff has implemented a range of procedural controls to manage and measure claims accuracy. The following table summarizes key controls that are in place for this purpose. These controls are reviewed and evaluated during the annual SSAE 18 SOC1 audit, which WV Birth to Three undergoes each year.

Table 1. Practitioner Claims Controls Summary

Control	Title	Description
1	Claims Keying Inventory	Paper claims received each day are numbered in chronological order on the Authorization/Billing sheets for tracking purposes. The Claims Entry Team generates a Claims Entered report from EIX and reconciles the Authorization/Billing sheets to the Claims Entered Report to determine that the claims were entered completely and accurately.
2	EDI File Integrity	The EDI process is configured to import electronic practitioner claims in real time. If any specific claim within the file fails, the user receives an error message reporting which claims were rejected and why. At that point, the user must determine why the problem occurred, correct it, and resubmit the file.
3	Authorization Check	A claim cannot be entered without a valid authorization number.
4	Claims Rules Compliance	Claims are evaluated for payment based on the WV Birth to Three-approved adjudication rules.
5	Authorization Limit Compliance	Claims are evaluated on the service units available and the rate per unit allowed by an authorization: If the amount entered exceeds the total amount available (units available rate per unit), the claim is paid partially for the amount available and denied for the rest. If the amount entered exceeds the rate per unit, the claim is paid partially for the rate per unit in the authorization and denied for the rest.
6	Payment Reasonableness Check	The System Operator generates a payment file and Check Report for the WV Birth to Three program. The Project Manager checks the payment file and Check Report for reasonableness before submitting them to WV Birth to Three.

Control	Title	Description
7	Claims Edit Lockout	Once the payment files have been generated from Practitioner Payment, the system prevents a claim from being edited after it has been adjudicated for payment.
8	Manual Override Limitation	A denied claim can be manually overridden and submitted for payment only when requested by WV Birth to Three personnel.

4.2.1.2.1.3

Designed to pay claims within 60 days of date of service with a process override upon Agency approval

The claims adjudication software follows WV Birth to Three policies and payment rules. This includes payment for services entered within 60 days of the date of service. Claims submitted after the 60-day timely filing limit will receive a denial upon claim adjudication. Practitioners utilizing OCS will be able to view the denial immediately upon submission of the claim. Practitioners utilizing EDI or paper claim submission methods are notified of their denied claim on their Explanation of Payment (EOP) report. The denied claim will display the denial reason.

Practitioners with claims denied for the 60-day filing limit may request an override from the WV Birth to Three Director. Upon receipt of the Approved Override Form, Gainwell will override the 60-day filing limit adjudication on the claim. This override is independent of other claim adjudication rules, all of which remain in force when an override is performed. This process is compliant with the Statement of Standards Attestation Engagement (SSAE) 18 Service Organization Control (SOC) 1 audit controls.

4.2.1.2.1.4

Validation of claims against existing authorizations and check for duplicate submissions

The adjudication process checks for duplicate claim submissions according to WV Birth to Three claim rules. The duplicate check, and all other claims edits, are reviewed annually during the SSAE 18 SOC 1 reporting cycle.

The claims adjudication system validates child eligibility, practitioner eligibility, and authorization details. The adjudication system validations are the same for all three claim submission methods: OCS, EDI, and paper claims. The authorization adjudication edits include:

- The total of all units approved for payment does not exceed the total units authorized
- The date of service falls between the authorization start and end dates
- If the authorization is discontinued, the date of service does not exceed the effective date of the discontinuation
- If the authorization is canceled, no service date is valid

4.2.1.2.1.5

Adjudicate claims from the rendering service Payee, prepare electronic file in a specified format, and submit to Agency by Thursday of each week for any claim received from local Payees by noon on Tuesday

Gainwell has a process in place to adjudicate claims received from practitioners/payees via EDI. Adjudication rules are as follows:

- The payee/practitioner is named on the authorization on the date of service.
- The payee/practitioner is actively enrolled in WV Birth to Three on the date of service.
- The practitioner's specialty is active on the date of service.

Claims received from the payees/practitioners by noon on Tuesday are evaluated for payment each Thursday. Once the payment process is complete, Gainwell prepares an electronic file in a format specified by WV Birth to Three. The file is reviewed by the Gainwell Project Manager and posted to the secure FTP site the same day. This process complies with SSAE 18 SOC 1 controls and is reviewed annually by an outside audit firm.

4.2.1.2.1.6

Provide Payees with Explanation of Payment for each weekly paid claims file prepared by Vendor

Upon completion of the weekly payment cycle, Gainwell provides payees with an Explanation of Payment (EOP) for each processed claim via the Online Claims System (OCS) or EDI. Payees may utilize these EOPs to manage their finances, submit corrected billing, prepare taxes, pay employees, and many other normal business activities.

These EOPs reflect the WV Birth to Three-approved format. Payees/practitioners with access to OCS may view and download EOPs at any time. Gainwell also posts EDI remittance files in a HIPAA-compliant 835 format for those payees who request electronic files each week. The Gainwell EDI Help Desk is available to answer questions payees have regarding the electronic remittance files.

4.2.1.2.1.7

Mail list to provide families Explanation of Benefits by the 15th of each month for claims paid in previous month

Gainwell mails a monthly Explanation of Benefits (EOB), no later than the 15th of each month, to families for children in which a service claim was submitted in the prior month. The EOBs contain the Gainwell claim number, practitioner name, service category, service date, units billed, amount billed, amount denied, amount disallowed, and amount paid. The EOB allows families to see and validate the services they receive. Families sometimes identify mistaken or fraudulent billings when reviewing their EOBs.

Gainwell provides a toll-free phone number for family inquiries. A knowledgeable Gainwell Help Desk team is available to answer questions from parents regarding their EOB.

Additionally, Gainwell maintains a Parent (Family) Portal that has been implemented in two other states. The Parent (Family) Portal allows parents to view their child's EOB online with a secure log-in. When the WV Birth to Three program is ready, Gainwell will implement the Parent (Family) Portal for West Virginia families. This portal is highly configurable and will only display child information approved by the WV Birth to Three program.

4.2.1.2.1.8

Help Desk technical assistance and support for enrollment and billing questions. Help Desk assistance will be available via email and toll-free number during business hours of 8:00 am to 5:00 pm EST/EDT, Monday through Friday, 52 weeks of the year, excluding Federal and State holidays or as otherwise approved in advance by Agency.

Gainwell provides a toll-free telephone number for help desk assistance, with help desk operations maintained Monday through Friday, during standard business hours of 8:00 a.m. to 5:00 p.m. EST/EDT, 52 weeks per year (excluding federal and state holidays). Additional closures of the help desk will be preapproved by WV Birth to Three. The help desk is staffed with experienced team members to answer inquiries from RAUs, practitioners, service coordinators, parents, and the WV Birth to Three State staff regarding technical support, enrollment, and billing questions. Callers are directed to the appropriate extension using an automated voice menu system.

Gainwell will monitor help desk activity and report on:

- Call Response Time
- Hold Time
- Abandonment Rate

Incoming calls received are logged into Jira Service Desk. Jira Service Desk is a web-based service management solution by Atlassian. Jira Service Desk allows call grouping based on category and/or subject and provides the ability to escalate tickets if needed. Gainwell will provide monthly help desk reports containing data collected for WV Birth to Three and will provide, upon request, help desk logs and data in a format agreed upon by WV Birth to Three.

Gainwell uses a cloud-based call center solution to provide call routing and reporting. This solution provides a quality management module that allows call flow monitoring, hold times, and call recording reviews for quality assurance.

4.2.1.2.2

Vendor should describe its internal controls, policies, and procedures related to claims administration for the purpose of:

Our responses in the following subsections describe Gainwell's internal controls, policies, and procedures related to claims administration for the described purposes.

4.2.1.2.2.1

Preventing, detecting, reviewing, and reporting potential fraud and abuse activities by local Payees

Gainwell recognizes the importance of a consistent and established process for preventing, detecting, reviewing, and reporting potential fraud and abuse. This function is critical to the successful and lawful disbursement and recovery of funds from federal and state programs. The WV Birth to Three program's credibility is dependent on validating public funds are not abused by misrepresentation on the part of the payees receiving those funds.

Gainwell has policies in place to educate and train all Early Intervention team members on compliance with regulations and requirements covered under State programs, such as Medicaid and the Federal Deficit Reduction Act of 2005.

Gainwell has the following processes and/or procedures in place to deter payments on fraudulent claims.

- The claim adjudication process helps to prevent fraud through the detailed edits performed on each claim. Many details are verified, including authorizations, child eligibility, practitioner eligibility, practitioner credentials, and duplicate claims.

- Issues are reported to the Gainwell Help Desk or WV Birth to Three by a practitioner, parent, or RAU representative. The reported issue will be submitted to the WV Birth to Three program.
- Gainwell produces the Practitioner Hours per Date of Service report. This report will describe high levels of services claimed per date of service and will indicate excessive services claimed. This report will also indicate the practitioners not following the service provisions outlined by the IFSP.
- An EOP statement is provided to each payee/practitioner for each pay cycle. Payees/practitioners are to review the EOP to confirm accurate billing. If errors are found, Gainwell can correct claims for payees/practitioners.
- An EOB statement is sent to each family each month. This report includes a listing of claims submitted by each practitioner on behalf of the Early Intervention recipient and the adjudication of those claims. Families are asked to review the claimed service dates and services and to report any discrepancies.
- After State investigation or review, and at the direction of the WV Birth to Three program, Gainwell recovers applicable funds from future payments to the payee.

At Gainwell, we are committed to helping states achieve good stewardship of their finances. We will work proactively with WV Birth to Three to evaluate opportunities and enact improved monitoring and prevention of fraud.

4.2.1.2.2.2

Internal testing of financial claims processing related to extreme variability in claims

Gainwell has internal processes in place to analyze agency and practitioner payments. Each week, the Check Report is reviewed by the Gainwell Project Manager for trending in the dollar amount prior to submitting to the State. This process is part of the SSAE 18 SOC 1 controls.

Additionally, we conduct rigorous testing of financial claim processing by our independent Quality Assurance (QA) team. The first step to this test process is the creation of a Test Plan, which lays out the test objectives, test coverage, and the test data to exercise both positive and negative tests.

Gainwell exercises:

- Functional tests in which the QA team dissects requirements and Claim Adjudication rules to create proofs (test cases) that the requirements are being fulfilled under various conditions. Each Claim Adjudication rule is first tested independently, followed up by testing the rules in a defined order of execution.
- Data-Driven tests in which the QA team reviews the adjudication rules and creates a set of test data with the superset of all involved data variables and their ranges of values that are then used to generate test coverage patterns. Test claims are created for each test coverage pattern and entered through the system.

The results of both functional and data-driven tests are peer-reviewed by the QA team. These tests are exercised every quarter as part of SSAE 18 SOC 1 controls.

For new enhancements or modifications to the claim payment process, the Gainwell team follows our Change Management procedures for implementation. Implementations are done as part of our monthly release schedule. All development work is scheduled upon approval of the

specifications. The programming is completed based on the approved specifications and unit tested by the developer. A code review session is then completed by the technical lead to verify specifications are met and comply with coding standards. Once unit testing is complete, the change is submitted to the QA team for assurance testing. The QA team defines a series of test scripts designed to fully test all variables. Only upon the successful completion of testing is the new or modified code deployed into UAT, and after acceptance and production. Implementations completed during the monthly release are in scope for the annual SSAE 18 SOC 1 audit.

4.2.1.2.2.3

Reporting detailed claims data to Agency weekly

Gainwell delivers weekly reports to the State and payees/practitioners to monitor claim activity. Each week, a Check Report is delivered to the State that details the payments and dollar amount of the weekly payment cycle. Simultaneously, an Explanation of Payment (EOP) report is delivered to payees/practitioners. The EOP provides the detail of each claim that was included in the weekly payment cycle.

Gainwell understands the need for detailed claim-data reporting on an as-needed basis and will continue to provide this detailed data to the State as requested. Gainwell believes that WV Birth to Three prefers to receive this data upon request in the current format.

However, Gainwell will work with WV Birth to Three to deliver this data via other mechanisms if the program chooses. For example, if WV Birth to Three requests this information to be provided in real time, Gainwell can quickly implement a web-based report to be generated on demand.

Additionally, with the implementation of OCS, State and RAU staff can perform basic claims inquiries online.

Gainwell staff know timely access to data is important to the WV Birth to Three program because it supports key administrative and planning functions. We are committed to providing the program convenient ways to access data that satisfies the program's evolving needs.

4.2.1.2.2.4

Surveying enrolled practitioners and payees annually, and reporting results to Agency

Annually and at the request of WV Birth to Three, Gainwell will conduct a defined satisfaction survey of all enrolled practitioners. Gainwell will work with WV Birth to Three to include all pertinent questions and items of concern, and define the time frame and format of the surveys. Gainwell will use an online survey tool and will email practitioners the link to the survey. Gainwell will provide WV Birth to Three survey results and analytical reports to review the results.

4.2.1.3 Fund Accounting

To have a centralized and standardized operational CFO process for preparing and submitting fund recovery claims on behalf of WV Birth to Three. Current fund recovery sources include Medicaid, WV CHIP, State Early Intervention line item, and Federal Part C funds. Additional fund sources could be added over the period of the contract, such as private insurance and/or family fees. The WV Birth to Three Program office is the provider of record for billing to Medicaid and WV CHIP. Local service codes must be cross walked to four Medicaid and CHIP approved codes for WV Birth to Three services.

Fund recovery activities provide valuable funding to the WV Birth to Three program by recouping service and administrative costs from Medicaid and other funding sources. Gainwell understands how important this funding is to the WV Birth to Three program.

Gainwell has 20 years' experience preparing and submitting claims to WV Medicaid and WV CHIP on behalf of the WV Birth to Three program. We understand additional legislation may be introduced requiring WV Birth to Three to implement fund recovery procedures for private insurance and family fees. Gainwell has more than 15 years' experience submitting claims to private insurance payers and coordinating benefits with other payers such as Medicaid and CHIP. We also have more than 17 years' experience with a "family fees" program, and with multiple clients; this includes determining a family's fee amount, billing the family, and processing family payments. We can draw on our proven approaches to design and implement an effective solution for WV Birth to Three. Gainwell assumes implementation of new fund sources is not included in the scope of work associated with the initial rollout. Once WV Birth to Three is ready to proceed with these funding sources, we will work with the WV Birth to Three staff to determine costs and approaches appropriate for WV Birth to Three based on program policy and State legislation.

Gainwell has 20 years' experience preparing and submitting claims to WV Medicaid and WV CHIP on behalf of the WVBTT program.

Gainwell will continue to use an approved crosswalk of local service codes to the four Medicaid and WV CHIP approved codes when submitting claims for WV Birth to Three services. This subject is discussed in more detail in Section 4.2.1.3.1.1.

4.2.1.3.1

Vendor should provide a description of prior history with similar fund recovery activities, including how it will accomplish the following:

Over the course of the current and previous contract periods, Gainwell worked with WV Birth to Three to implement comprehensive fund recovery activities with West Virginia Medicaid and West Virginia CHIP. Since 2004, we have helped WV Birth to Three submit more than 2,500,000 Medicaid claims representing more than \$263 million of services provided to West Virginia children. Since early 2011, we have submitted more than 107,000 claims representing more than \$11 million in services to West Virginia CHIP. If Gainwell is the successful bidder for these services, WV Birth to Three will continue to benefit from this work starting on Day One of the new contract. A data conversion will not be required, and there will not be an interruption in receiving the important funding from WV Medicaid and WV CHIP.

Service claims received from, and paid to, WV Birth to Three practitioners are evaluated each week for possible submission to a funding source. The evaluations performed are based on business rules defined by WV Birth to Three, WV Medicaid, and WV CHIP. Paid practitioner claims that successfully pass these evaluations are used as the basis for generating fund recovery claims. The resulting claims are electronically submitted to either WV Medicaid or WV CHIP using the HIPAA compliant 837 file format. Similar evaluations and processes can be easily and quickly developed for additional funding sources such as private insurance.

When the payer's Remittance Advice (RA) data is available, Gainwell retrieves and successfully processes electronic RA files that are in the HIPAA compliant 835 file format. Once imported into the database, the RA data is matched to the claims submitted and the payer's adjudication is posted to the database.

In addition to electronically submitting healthcare claims and processing remittance advice data, we gather funding source eligibility data using the HIPAA compliant 270/271 electronic file

exchange. Prior to 2017, we had been requesting and processing Medicaid eligibility data since 2005 and CHIP eligibility since 2011 using a non-HIPAA compliant file format defined by the WV Department of Health and Human Resources (DHHR). In early 2017, we implemented the HIPAA compliant 270/271 file exchange for child eligibility data for both WV Medicaid and WV CHIP.

Gainwell will continue to support the HIPAA compliant file formats for submission of claims (837), processing of RA data (835), and for Medicaid and CHIP eligibility determination (270/271).

4.2.1.3.1.1

Provide fund recovery software that uses a crosswalk to transform the multiple local WV Birth to Three service codes for each Part C service type to four designated Medicaid billing codes and billed in the specified Medicaid format. Each Medicaid code will have a specified billing charge that reflects the Agency's total cost, and is therefore different from the amount paid to the local rendering service Payee.

During the initial rollout of the WV Birth to Three fund recovery system in 2004, Gainwell implemented software that meets this requirement. Since 2004, Gainwell has continued to update the system to satisfy new claim submission requirements defined by the WV Birth to Three program and/or the funding source. Our system will continue to use the traditional cross-walking of Current Procedural Terminology (CPT) codes when billing in the specified formats. In this process, the WV Birth to Three procedure codes are mapped to corresponding crosswalk codes, and each service occurrence with the same crosswalk code, child, date of service, and National Provider Identification (NPI) number for billing agent, referring practitioner and rendering practitioner are combined into one Medicaid or CHIP claim. At that point, the aggregate claims are sent in the standard 837P format to the funding source.

The tabular format of the service code, billing code, and rate data allows for easy maintenance. Updates to the billing codes or crosswalk maps can easily be accomplished upon request. In previous contract periods, Gainwell has updated, at the WV Birth to Three program's request, the procedure rates associated with the authorized services and the billing code crosswalks for WV Medicaid and WV CHIP. We will continue to maintain this data according to WV Birth to Three requirements during the new contract period.

4.2.1.3.1.2

Submit Medicaid fund recovery files in HIPAA compliant 837 format and retrieve remittance advices and 835 files as outlined by Medicaid, on a weekly basis.

Gainwell's current fund recovery accounting system makes use of a HIPAA-based interface for multiple funding sources including Medicaid and CHIP. Our system employs BizTalk servers that contain special features to create and/or read HIPAA file formats. On a weekly basis, the evaluation of practitioner claims for each funding source is performed within the WV Birth to Three data system. The resulting fund recovery claims are passed to the BizTalk Server where they are formatted into a HIPAA compliant 837P file. The 837P files are then submitted to Medicaid or CHIP via their online provider portal. When remittance advice (RA) data is available from the payer, the system retrieves the HIPAA compliant 835 files, reads and parses the RA data, and reconciles the RA data against the claims that were submitted. The raw RA data, as well as the reconciliation results, is then posted to the WV Birth to Three data system.

The creation and submission of the 837P claim files, as well as the processing and reconciliation of the 835 remittance advice files, represents the current functionality Gainwell will

continue to provide and maintain during the new contract period. By choosing Gainwell, WV Birth to Three will avoid an interruption in services, and potentially an interruption in receiving funds from Medicaid and CHIP as a result.

4.2.1.3.1.3

Prepare fund recovery claims based on the hierarchy established for funding sources, child/family eligibility, service definitions, National Provider Identification number, and Practitioner credential

Gainwell's fund recovery accounting system has been implemented in West Virginia to automatically bill funding sources based on WV Birth to Three's business rules for each funding source, child/family eligibility, service definitions, National Provider Identification (NPI) number for the billing agent, referring practitioner and rendering practitioner, and practitioner credentials. The system employs a rules-based engine to process fund recovery based on client-side tables, including funding source priority and child eligibility. Practitioner claims that pass the evaluation rules are formatted into a HIPAA compliant 837P file and submitted to the funding source for which they are being evaluated. Similar rules and tables are used to determine when the practitioner's claim will be evaluated for the next funding source.

Practitioner claims that fail an evaluation rule will be re-evaluated each week during the fund recovery process for up to one year in order to apply data changes that have occurred since the previous evaluation period. Among the re-evaluated claims, updated child eligibility is the most frequently occurring data change that results in a successfully submitted claim.

This fund recovery evaluation process represents current Gainwell functionality. We will continue to work with WV Birth to Three to update the hierarchy should rules for funding sources or Medicaid/CHIP evaluation criteria change.

4.2.1.3.1.4

Interface with other systems within the Agency and other agencies as needed to confirm eligibility for various fund sources and/or services, including a 270/271 process

Gainwell has developed a structured interface to support the exchange of required data between the fund recovery accounting system and the State Funding Source applications currently supported. Funding source eligibility data is gathered using an electronic file exchange between Gainwell and the eligibility source agency. Each month, we create and submit Medicaid and CHIP eligibility requests in a HIPAA compliant 270 "Eligibility Request" file. These files are processed by the applicable State Funding Source who in turn creates a 271 "Eligibility Response" file and makes it available for download. Gainwell retrieves the 271 file from the eligibility source and imports the data into the WV Birth to Three data system by matching the eligibility response records to the eligibility request records submitted in the 270 file.

Prior to 2017, we had been requesting and processing WV Medicaid and WV CHIP eligibility data using a non-HIPAA compliant file format defined by the WV Department of Health and Human Resources (DHHR). In early 2017, we implemented the 270/271 file exchange for child eligibility data for both WV Medicaid and WV CHIP. This has resulted in gathering more accurate child eligibility information. Gainwell will continue to use the 270/271 file exchange in the new contract period.

4.2.1.3.1.5

Complete delayed submission of claims to Medicaid and WV CHIP due to receiving child eligibility information at a later date

Gainwell's current application and processes support submitting claims to Medicaid and WV CHIP, including claims whose submission has been delayed due to receiving child eligibility information after the practitioner claim's initial evaluation for fund recovery. The eligibility request process includes multiple request records for each child that spans a specified time period (currently eight months). This allows us to retrieve eligibility data for previous months that may have been delayed due to a child's late enrollment or eligibility determination with a given funding source. Each time a fund recovery is processed, practitioner claims for the past 12 months that have never been submitted to a funding source are re-evaluated against current business rules, including those for funding source eligibility. New eligibility data that has been imported since the last claim evaluation will be detected, and the practitioner claim will be submitted to the applicable funding source, provided it passes the other evaluation rules.

4.2.1.3.1.6

Resubmit claims on denials from Medicaid and/or WV CHIP

Gainwell has developed and implemented automated resubmission procedures for several different "events" that regularly occur during the life span of practitioner claims and fund recovery claims. These include changes in the service date, mapped CPT code or place of service, the amount paid to the practitioner, and funding source eligibility. When new child eligibility data is imported from the 271 Eligibility Response file, the system will detect a change in a child's WV Medicaid or WV CHIP recipient number and automatically queue applicable denied claims for re-evaluation in the next Fund Recovery period.

In addition, a manual process has been implemented to identify claims for resubmission due to irregular events that occur from time to time. These events are evaluated on a case-by-case basis to identify the applicable claims. Once the claims are identified, they are fed into the automated resubmission process.

Gainwell will work with the WV Birth to Three program to identify the specific Medicaid and WV CHIP claim denial codes for which resubmissions should occur and will leverage the manual process to identify the specific denied claims. These claims will then be fed into the automated process to perform the required resubmissions. The process of identifying the specific claims requiring a resubmission based on the select list of denial codes will become part of the regular fund recovery procedures.

4.2.1.3.1.7

Assist Agency with financial projections based on authorizations for the State fiscal year July 1 - June 30

Gainwell acknowledges the advantage to WV Birth to Three of projecting the potential costs of outstanding authorizations. Gainwell will provide analysis and a report that supports this fund obligation projection. This report will provide detailed figures on a fiscal year basis for the number of unclaimed units and the associated dollar amount (based on the maximum unit rate) for each active authorization. Gainwell will work with the WV Birth to Three program to determine how to allocate the units and dollars to each fiscal year in situations where an authorization's life span crosses fiscal year boundaries. Gainwell will also work with the WV

Birth to Three program to determine the specific business and functional requirements for that report and detail the specific information that will be depicted on the report.

4.2.1.4 Practitioner/Payee Enrollment and Credentialing

To ensure that early intervention services are provided by professionals that meet Agency's personnel standards in accordance with IDEA, Part C and to promote communication with all enrolled service Practitioners, Service Coordinators, and Payees.

As the incumbent vendor, Gainwell's team is experienced and knowledgeable about WV Birth to Three practitioner/payee enrollment requirements and personnel standards. Gainwell's established procedures confirm required documents are received, and the practitioner meets the education, certification, and/or license requirements of the specialty for a successful enrollment. Gainwell has established processes in place to review practitioner/payee requirements, in accordance with SSAE 18 SOC 1 controls, to verify that records are maintained, and all enrolled practitioners continue to meet the required standards of WV Birth to Three. As a part of this solicitation, we will continue to work with WV Birth to Three to keep practitioner/payee enrollment processes up to date with any changes in personnel standards from IDEA Part C or WV Birth to Three State policy.

4.2.1.4.1

Vendor should describe how it will provide a single user or network application for the purpose of enrolling qualified Practitioners in accordance with WV Birth to Three personnel standards and procedures. Vendor should include the following in its description:

Gainwell currently uses a single application, called EIX, for enrolling practitioners who provide services for WV Birth to Three children. When forms are received from WV Birth to Three practitioners, the Gainwell Practitioner Enrollment Team employs a multistep process to review all received forms and evaluate the practitioner's submitted credentials against the current WV Birth to Three personnel standards. Once the required forms are received and it is determined the practitioner meets the enrollment requirements, Gainwell will enter practitioner information into EIX.

Once enrolled, practitioners will appear in the Practitioner Service Directory. Each practitioner will receive an email with instructions on how to access and update information in the Directory.

Additionally, once practitioners are successfully enrolled, they will appear in WV BTOnline and Service Coordinators will be able to assign child authorizations to the practitioner.

Gainwell has been providing this service to WV Birth to Three since 2003. Gainwell is working to complete a new online Practitioner Enrollment application to assist new and re-credentialing practitioners and service coordinators with the ability to upload documents directly to the provider enrollment team. We believe that the new Practitioner Enrollment application will modernize the practitioner enrollment solution. Gainwell believes this approach is a solution users will adapt to with ease as the functionality will be moving to a user-friendly application, thus reducing training efforts. Gainwell and WV Birth to Three will phase in the new enhancements in an agreed upon timeline.

Additionally, this transition can be accomplished with little to no downtime for these important WV Birth to Three functions.

4.2.1.4.1.1

Website to host Practitioner, Service Coordinator, and Payee information including Billing Manual, enrollment forms, procedure codes and rate structures, and links to pertinent resources

Gainwell is very familiar with the forms, manuals, and other information required for WV Birth to Three payees, practitioners, and service coordinators and makes this information available to them on a special WV Birth to Three website called the Practitioner Service Directory. Gainwell developed and implemented the Service Directory shortly after the original system implementation and has hosted and maintained it ever since. Within the Service Directory, this information is organized into groups such as Enrollment Forms, Billing Information Forms, Online Access Forms, and Electronic Billing Information so practitioners and service coordinators can easily locate the form(s) and information they need.

WV Birth to Three practitioners enrolled via EIX will appear in the public-facing Practitioner Service Directory. The new and improved Directory is a searchable listing of WV Birth to Three practitioners using a variety of search criteria. The Service Directory allows service coordinators and parents the opportunity to search for practitioners in their area and review the "Information About Me" section to verify a good fit with the family.

4.2.1.4.1.2

Service Directory that includes all Practitioners and Service Coordinators by specialty with search features to locate Practitioners and Service Coordinators by Payee, county, zip code, method of service delivery, and specialty discipline and training

As the incumbent vendor, Gainwell currently hosts this functionality in the WVBTT Practitioner Service Directory. The Service Directory allows users to search for practitioners or service coordinators utilizing search criteria such as Practitioner Name, Payee Name, County Name, and Zip Code as well as the new and improved Availability Search. The Availability Search now allows the user to search by Type, Time, and Day of the week. The search feature also allows the user to select a primary search feature and drill down with additional search criteria such as Practitioner Type (Specialty Discipline) or Language. When drilling down from a primary search, users may also utilize other primary search criteria to narrow down their search. These features give the service coordinators and families the opportunity to identify practitioners who will make a good fit for their needs. Gainwell will continue to work with WVBTT to enhance the Service Directory to fit the needs of the families, service coordinators, and practitioners.

4.2.1.4.1.3

Review of initial and annual enrollment applications from Practitioners, Service Coordinators, and Payees to ensure that required paperwork is submitted, and to confirm documentation of proper licenses, certifications, liability insurance, email addresses, Social Security and National Provider Identification numbers, and training requirements as stipulated by Agency.

Gainwell has been processing practitioner, service coordinator, and payee initial and annual enrollment applications since 2003. No other vendor has the experience, expertise, or proven processes that Gainwell has in this area. We understand the importance of confirming that only qualified personnel are enrolled in the WV Birth to Three system, not only to provide the best services to the children of WV Birth to Three, but to also maintain compliance with Medicaid and CHIP provider rules and regulations.

Gainwell's process begins with the WV Birth to Three Enrollment Checklist. Separate checklists are followed for initial versus annual enrollments. Enrollees are required to submit an enrollment

application that details their name, mailing address, email address, and specialty. Documents including proof of licenses, certifications, liability insurance, NPI information, and training are required. On the initial enrollment, we must receive a background check from the State Police. Additionally, WV Birth to Three requires enrollees to submit forms such as a Payee Agreement, Confidentiality Agreement, Online Access Form, and Direct Deposit Form. We thoroughly review each enrollment packet received to validate that required documents are included. If we find the packet is not complete, a Missing Information Letter is mailed to the enrollee. This letter lists required documents or forms that must be submitted to complete the enrollment.

Once the required forms are received, either by mail or email, Gainwell validates the practitioner fulfills the personnel standards for the specialty. We only enter the practitioner information into the enrollment application (EIX) after documentation validations are complete. Once the practitioner information is entered into the EIX application, a Confirmation of Enrollment email is sent to the practitioner. This letter notifies the practitioner of the successful enrollment and provides instructions on how to sign up for the Practitioner Service Directory website. The enrollment is not considered complete until the practitioner enrolls in the Service Directory and updates their availability to provide services, as well as the "Information About Me" section. Once these steps are completed, the practitioner will appear in the BTTOOnline application to be assigned service authorizations.

Gainwell employs a standardized process to review WV Birth to Three enrollments. A Gainwell team member, different from the original processor, will review the WV Birth to Three enrollment to validate required documents are present, the practitioner meets the qualification standards, the data entry is correct, and the correct communication was sent to the practitioner. We do this for 100% of enrollments to confirm validity. This review process is an important part of our controls for the SSAE 18 SOC 1 annual audit.

The Gainwell team is available at a toll-free number to assist practitioners with the enrollment process. The contact information is posted in the "Contacts" section of the Service Directory website and on email or mailed enrollment notifications. Gainwell prides itself in providing excellent customer assistance for practitioners during the enrollment process. Our practitioner team has more than 20 years' experience and is available to assist practitioners with the enrollment process, from answering questions regarding required forms to walking them through the sign-up process for the Practitioner Service Directory website.

Gainwell proposes maintaining the practitioner enrollment procedures in the next contract period. We welcome conversations with WV Birth to Three to discuss opportunities for enhancing or simplifying procedures to better serve the practitioner community.

4.2.1.4.1.4

Approve complete and accurate applications and enroll Practitioner, Service Coordinator, or Payees in the WV Birth to Three system with listing inserted into the Service Directory

Gainwell's Practitioner Enrollment processes include the approval of complete and accurate applications to enroll practitioners, service coordinators, and payees in the WV Birth to Three system. Included in this process are validations to confirm required documentation is received and complete and the enrolling practitioner meets the required WVBTT personnel standards as defined in our SSAE 18 SOC1 audit controls. Once the enrollment is complete, Gainwell emails a Confirmation of Enrollment letter to the practitioner or service coordinator. This letter notifies the practitioner of the successful enrollment and provides instructions on how to obtain a username and password for the Practitioner Service Directory website. Practitioners are required to log in to the Service Directory and update their availability to provide services. They

have the opportunity to include additional information such as the area they serve, fluent languages, and a bio on themselves in the "Information About Me" section. This information is displayed on the Service Directory results lists allowing service coordinators and families to make educated selections for the services needed for their child.

4.2.1.4.1.5

Notify Practitioners that do not complete Agency required annual enrollment updates; implement disenrollment processes, and provide updates to Agency

Gainwell is knowledgeable of the WV Birth to Three required annual enrollment updates for practitioners and service coordinators. Gainwell has established processes in place to actively monitor annual enrollment activities to validate practitioners and payees submit required documents. The annual requirements include updated license or certification documentation, current liability insurance information, WV Birth to Three practitioner agreement and confidentiality forms, and proof of continuing education activities.

The following are two reports available in the WV BTOnline application that Gainwell utilizes to track annual enrollment updates:

- **Practitioner Continuing Education Over Due Between Dates.** This report lists practitioners whose credentials expired within the selected date range. It provides details such as Practitioner Name, Enrollment Date, Last Credential Date, and Credential Due Date.
- **Practitioner Continuing Education Over Due.** This report lists enrolled practitioners who have past due credentials as of a given date. It has details such as Practitioner Name, Enrollment Date, Last Credential Date, and Credential Due Date.

These reports are monitored monthly by Gainwell's Provider Enrollment department and are available to WV Birth to Three staff to run at any time.

In the event annual enrollment documentation is not received by the Practitioner Enrollment Team, Gainwell begins a process of notification and disenrollment of practitioners and payees. In the month following the expiration of an enrolled practitioner's credentials, Gainwell emails a notice listing the outstanding required documentation that must be submitted by the practitioner. The notification process includes the following steps:

- **First Notice.** The notice is emailed in the month following the practitioner's credentialing expiration date. The notice lists the outstanding required documentation and provides a 15-day period for the completion of the annual enrollment process.
- **Second Notice.** If the enrollment process is not completed prior to the end of the first 15-day period, a second notice identifying an additional 15-day period is emailed. This notice again lists the outstanding required documentation.
- **Final Notice.** In the event the enrollment process is still not completed by the end of the second 15-day period, a third and final notice will be emailed stating a date, 15 days out, at which time the practitioner will be disenrolled if the process is not completed. The notice lists the outstanding required documentation and includes procedures to disenroll from WV Birth to Three in good standing.

Practitioners or service coordinators who do not complete the annual enrollment activities and have received three notifications are reported to WV Birth to Three for review. When Gainwell receives approval from WV Birth to Three, the practitioner is formally disenrolled and no longer able to receive authorizations to provide WV Birth to Three services. Gainwell sends a report to

WV Birth to Three each month listing the disenrolled practitioners. We will continue to perform this notification and disenrollment process for the new contract period and are open to discussing with the State modifications to improve this process.

Gainwell is currently working to enhance the practitioner enrollment process with an online tool. Practitioners who are interested in BTT will be able to enter information into the application and attach their enrollment documents. The Practitioner Enrollment Team will be notified of the receipt of the application and proceed to review and process the application and attached documents. Upon completion of the enrollment process the Confirmation of Enrollment email will be emailed to the practitioner.

4.2.1.4.1.6

Send monthly reports to WV Birth to Three that include all new enrollments and disenrollments for previous month to assist Agency in meeting NPI and practitioner onboarding requirements

Gainwell currently has processes in place to send monthly Practitioner/Payee reports to WV Birth to Three that include new enrollment and/or disenrollments. The enrollment process requires verification of the practitioner's NPI number and completion of other onboarding requirements. The following reports are delivered by the 10th of the month for the previous month:

- **Enrolled Providers.** This report lists new practitioners enrolled during the reporting month. It provides details such as Practitioner Name, Payee Name, Specialty, and Start Date.
- **Terminated Providers.** This report lists information about practitioners whose enrollment was terminated during the reporting month. It provides details such as Practitioner Name, Payee Name, Specialty, and End Date.

4.2.1.4.1.7

Implement a process for holding, stopping, and recouping provider payments based on sanctions imposed by Agency

Gainwell currently has a process in place to hold, stop, and recoup provider/practitioner payments. At the direction of WV Birth to Three, we will take the appropriate action to the practitioner/payee record prior to the next payment cycle. Gainwell has the ability to enter transactions onto the payee record to prevent payments or recoup overpayments from a WV Birth to Three payee. Gainwell will continue to work with the Agency to address payee sanctions.

4.2.1.4.1.8

Host and manage a statewide email broadcast system that allows WV Birth to Three staff to send messages to enrolled Practitioners, Service Coordinators and Payees

Gainwell currently provides a statewide email broadcast system within the Practitioner Service Directory website that allows WV Birth to Three State staff to send messages to enrolled practitioners, service coordinators, and payees. Service Directory users, with a state login, have an option for "State Email." The user can select this option and create an email message for practitioners, service coordinators, and/or payees. An important feature of this functionality is the ability to select groups of email recipients. State users can perform a search for email recipients by specialty. The search returns a list of enrolled WV Birth to Three service practitioners that meet the specified criteria. State users can select as few as one recipient or all

practitioners from the list. The email functionality also allows the State to attach files to the message and preview before sending them to the intended practitioners, service coordinators, or payees.

4.2.1.4.1.9

Allow Practitioners, Service Coordinators and Payees the ability to update their own availability and descriptions sections in the Service Directory

The WV Birth to Three Practitioner Service Directory website currently allows practitioners, service coordinators, and payees the ability to maintain information included in the Directory listing for themselves such as availability and description. Upon successful enrollment, practitioners, service coordinators, and payees receive a Confirmation of Enrollment letter. This letter includes information to assist new enrollees in obtaining a username and password to access the Service Directory.

Once the access information is received, practitioners, service coordinators, and payees are able to log into the Service Directory to maintain their listing information. They are required to update their availability at least once every 90 days to keep their listing active in the search results. They may also enter optional information such as Years of Experience, Languages, Counties Served, and Zip Codes Served. The Service Directory contains an "Information About Me" section where resume information or other important information may be entered. Information the practitioners, service coordinators, and payees entered into this record will be visible in their listing that displays in the Service Directory Search results.

Gainwell is working to improve the Practitioner Service Directory. We believe this will streamline the current process to allow users to maintain their Directory Listing information.

4.2.1.5 Reporting and Operating Functions

To ensure effective management and oversight of CFO functions:

WV Birth to Three relies on its CFO vendor to manage numerous critical components of its program. Gainwell understands that our services play a crucial role in helping West Virginia children and families benefit from the program and achieve positive outcomes. For example:

- Gainwell's role in managing the practitioner relationship helps WVBTT work harmoniously with this critical stakeholder community.
- Our ability to accurately and efficiently process claims for WVBTT verifies claim payments are in compliance with state and federal guidelines.
- An annual SSAE18 SOC1 audit, which Gainwell has delivered successfully every year since 2009, validates Gainwell's systems and processes are carried out with transparency and compliance.
- The WV BTOnline system allows WVBTT to manage its caseload efficiently.

Gainwell is proud to have delivered CFO services continuously to West Virginia since 2003, and for the role we continue to play in meeting the needs of one of West Virginia's most vulnerable populations.

Gainwell is the best choice for WVBTT's CFO going forward, in part because our solution, our team, and our services are fully functional with respect to the CFO operational requirements and

no new work, cost, or time is required for WV Birth to Three to continue its fully operational status at the start of the new contract.

Gainwell believes our offering addresses these crucial needs far better than any other vendor and will continue to provide effective management and oversight of CFO functions with no disruption. Our proposed implementation schedule is the continuation of full readiness on Day One of the new contract. As we have in the past, upon award of the contract, Gainwell will continue to review current operational functions with WV Birth to Three to determine if processing adjustments are needed. As such, a work plan for the initial implementation is not required. However, we have included a review plan for each of the operational areas below.

4.2.1.5.1

Vendor should include a project work plan and schedule for implementation that includes:

As the incumbent vendor, the CFO functions listed in the sections below will be fully operational on Day One. Because no implementation is needed, in lieu of an implementation work plan, Gainwell has provided a proposed schedule for enhancements included in Section 4.2.2.1.

4.2.1.5.1.1

Explanation of the organizational structures of operations and program administration that includes how they will support service implementation

Gainwell has served WV Birth to Three for more than 20 years and is fully operational in terms of day-to-day requirements. Our staff and organizational elements are fully in place. There are no transitional costs or transitional plans needed for WV Birth to Three to continue receiving the same level of operational excellence Gainwell currently provides. Gainwell also recognizes this RFP envisions the successful vendor providing WV Birth to Three with ideas on modernizing the technology that supports its program to achieve key goals, cost efficiencies, and improved services for West Virginia families and children.

Gainwell has provided account management, project management, operational functions, and application support to WV Birth to Three since 2003. During our tenure, Gainwell has supplied experienced administrative and operational teams to meet the needs of the WV Birth to Three program. Gainwell looks forward to the opportunity to continue serving West Virginia's program and its families and children by providing both technology and Early Intervention domain expertise to the State.

Program administration is the responsibility of the Gainwell Project Manager, who is accountable to WV Birth to Three for all deliverables, including the following:

- Oversees project management
- Monitors the health of the technology applications and the hosting site
- Manages the operational and delivery teams
- Directs the overall delivery of services to the program

The Gainwell delivery model is built around a Project Manager responsible to the client to execute the obligations of the contract. The Project Manager is responsible for understanding the needs of the WV Birth to Three program and bringing Gainwell's resources together to meet those needs. Gainwell is proposing that Nadine Tyler continue to serve in this role. She will schedule calls and periodic visits, deliver reports and program-related documents, and communicate issues and appropriate mitigation strategies.

The Gainwell Early Intervention team plays a central role in the support of the daily operations of the WV Birth to Three system. These daily functions support practitioner enrollment, BTOnline and Online Claims System applications, claims adjudication, call center support, reporting, and fund recovery. Each is described in more detail below.

Gainwell currently processes enrollment applications for WV Birth to Three practitioners. For the past 21 years, Gainwell has handled the annual credentialing process, assuring WV Birth to Three practitioners are credentialed according to the specifications of their specialties that were defined by WV Birth to Three. This includes the collection of liability insurance information, updated certificates, and criminal background checks.

Gainwell processes claim submissions for early intervention services from program practitioners using three different methods:

- Gainwell processes claims received on paper (form CMS 1500). This was the original method of entering claims for the program and Gainwell continues to provide this service today.
- EDI processors for practitioners can submit claims electronically to Gainwell on behalf of the WV Birth to Three Program. These files are processed upon receipt by Gainwell and are adjudicated and set for payment during that process.
- Gainwell also supports the Online Claims System. Implemented during the previous contract, practitioners now have the ability to enter their claims (service billing) through this online application. This empowers the practitioners to enter claims in real time, freeing their time to focus on their caseload.

All three methods of claim submission and processing are adjudicated using the same rules set up by the WV Birth to Three program.

Practitioner payments are processed weekly. The claims are adjudicated and scheduled for payment, with two deliverable reports forwarded to the WV Birth to Three Project Manager for review. Upon approval, the reports are uploaded to the secure FTP site for WV Birth to Three access and review. Notification of these payment reports is communicated to the State-designated employees. Access to these reports is limited to these same State employees.

Gainwell supports calls from the State and practitioners of WV Birth to Three. Issues reported are escalated to the Project Manager for review and resolution determination. If a defect in the software is found, the issue is reported via the Jira system (Gainwell's Project Management Tool) and delivered to the development team for processing and resolution. Software deployments are completed on a monthly release schedule. Gainwell works with WV Birth to Three to determine the priority of issues included in the monthly release. Critical issues may be deployed outside of the monthly schedule, and we will work with WV Birth to Three to address these issues.

Gainwell runs monthly, quarterly, and yearly reports required by WV Birth to Three. These reports are delivered to the Project Manager for review and then uploaded to the secure FTP site. As mentioned previously, access to the secure FTP site is determined by WV Birth to Three and made available upon request via the Project Manager.

Gainwell processes Medicaid and CHIP eligible claims for WV Birth to Three. This process begins with updating the database with eligibility information communicated using the 270/271 HIPAA compliant file format from both WV Medicaid and CHIP. Claims are submitted to each entity for adjudication using a HIPAA compliant 837 file format. The resulting Remittance Advice data is received in an 835 HIPAA compliant file format, reconciled against the claims submitted, and posted to the database.

Gainwell processes the Remittance Advice information for both funding sources while the actual payment for these claims is routed directly to WV Birth to Three. All these processes are currently completed using rigid procedural standards and successfully adhere to the SSAE 18 SOC 1 standards. This audit is conducted annually during the third and fourth quarter of the WV Birth to Three fiscal year. The final audit report is delivered to WV Birth to Three within 60 days of the end of their fiscal year. The Project Manager is responsible for validating Gainwell activities are compliant with SSAE 18 SOC 1 expectations.

Gainwell's team is discussed in depth in Section 4.3. The team's structure continues to evolve to drive improved performance and respond to changing client needs. Gainwell's team has an unmatched wealth of talent and experience, and is organized to deliver reliable, auditable performance for WV Birth to Three.

Since 2004, we have helped WVBTT submit more than 2.5 million Medicaid claims representing more than \$263 million in services provided to West Virginia children.

Related to West Virginia CHIP, since early 2011, we have submitted more than 107,000 claims representing more than \$11 million in services.

4.2.1.5.1.2

Demonstrated knowledge of services to be provided and effective strategies to achieve goals and objectives

The list of services envisioned by this RFP has remained similar over the past 20 years, but the nature of those services, the manner in which they are delivered, and the expertise required to execute them has evolved significantly over that time.

Practitioner payment and claims processing was once primarily a paper-based process; now practitioners use a modern Online Claims System (OCS) to manage their service billing activities. Similarly, Gainwell has worked with the WV Birth to Three program over the years to refine and improve Medicaid and CHIP billing (fund recovery) to manage eligibility challenges, maintain compliance, and provide improved reporting and visibility for WV Birth to Three management.

The Child Library enhancements including folder organization, bulk upload, and acceptance of DocuSign documents has added important information storage and sharing capabilities for WV Birth to Three.

A dynamic Analytics Platform has unlocked WV Birth to Three program data for decision makers' and data analysis needs.

Gainwell has worked with WV Birth to Three to improve the Practitioner Directory. Additionally, a parent portal is now available, empowering families to better engage with WV Birth to Three staff, service coordinators, and practitioners.

Gainwell's support for Birth to Three is about much more than functionality, though. Gainwell's maintenance and operations team provides crucial services supporting WVBTT's mission. These services must be delivered in adherence to strict audit guidelines. SSAE18 SOC1 audits have validated Gainwell's performance and procedures each year as required by West Virginia.

The backbone of Gainwell's compliance is powerful and effective procedures that provide mature, productive, and auditable controls related to the outsourcing procedures used to meet WV Birth to Three's scope of work. Gainwell maintains and adheres to the following formal, documented procedures to provide this compliance:

- Change Management Procedures
- Provider Payment Procedures
- Online Claims System Access procedures
- BTOnline Access Procedures
- Fund Recovery Procedures
- FTP Access procedures
- Fund Recovery Procedures

Program administration is coordinated by the Gainwell Project Manager. The Project Manager is accountable to WV Birth to Three for all deliverables

- Oversees project management, the health of the technology applications, the hosting site, the operations and delivery team, and the overall delivery of services to the program
- Responsible to the client to execute all the obligations of the contract
- Responsible for understanding the needs of the WV Birth to Three program
- Responsible for bringing Gainwell resources together to meet the needs of the WV Birth to Three program
- Schedules calls, periodic visits, delivers reports and program related documents, and communicates issues and appropriate mitigation strategies
- Responsible for verifying Gainwell activities for WV Birth to Three are compliant with SSAE 18 SOC 1 expectations

Practitioner enrollment is completed by a highly skilled team that has more than 20 years of experience. The processes completed by this team include:

- The initial enrollment of practitioners who meet WV Birth to Three program standards
- The annual credentialing process, assuring WV Birth to Three practitioners are credentialed according to the specifications set forth by WV Birth to Three
- The collection of liability insurance information, updated certificates, and criminal background checks
- Accurate entry of practitioner enrollment information, including the review of 100% of practitioner enrollments to meet SSAE 18 SOC 1 controls

Claims Adjudication

- Gainwell processes claim submissions for early intervention services from program practitioners according to the adjudication rules defined by WV Birth to Three.
- Gainwell works with several EDI processors to adjudicate claims electronically through the WV Birth to Three application.
- Gainwell currently accepts paper claim submission, electronic claim submission, and online claim submission. Claims are adjudicated in real time as they are entered into the database. Each week practitioner payments are calculated, and the practitioner payment file and report

are created. These reports are reviewed by the Project Manager and delivered to WV Birth to Three via a secure FTP site.

- Notification of these payment reports is communicated to the State-designated employees. Access to these reports is limited to State-approved employees. Both of these controls are part of the SSAE 18 SOC 1 audit controls.

Call Center Support

- Calls are accepted from the State and practitioners of WV Birth to Three.
- Calls are tracked in Jira, our comprehensive issue and contact tracking system.
- Most calls pertain to software functionality, practitioner credentialing, practitioner claim payments, and child authorizations.
- If software defects are reported, an additional issue is initiated in Jira and reported to the Project Manager. The Project Manager works with the development, quality assurance, and production support teams to correct the defect.

Reporting

- Gainwell produces required monthly and quarterly reports. The reports are reviewed by the Project Manager and uploaded to the secure FTP site where approved WV Birth to Three staff may retrieve the reports.
- Reports are available to authorized users in WV BTOnline.
- Gainwell produces ad hoc reports as requested by the State.
- The WV Birth to Three Data Manager has access to a powerful dashboard and analytics tool.
- Dashboards are available to all BTOnline users, at the discretion of the Program.

Medicaid and CHIP Fund Recovery

- An eligibility process is initiated monthly utilizing the 270/271 HIPAA compliant file format for both WV Medicaid and CHIP. Eligibility information is captured and retained by Gainwell.
- Claims are evaluated and submitted to each entity for adjudication using a HIPAA compliant 837 file format.
- Remittance Advice data is processed using the 835 HIPAA compliant file format.
- Payment for these claims is routed directly to WV Birth to Three.

Hosting and Maintenance

- All WV Birth to Three applications are securely hosted at a Gainwell data center.
- The Project Manager coordinates hosting and maintenance activities to align with WV Birth to Three needs.
- Comprehensive disaster recovery (DR) is supported by the hosting configuration; an annual DR exercise tests DR preparedness, and a report is provided to the Program describing the exercise and its results.

4.2.1.5.1.3

Description of approach and strategy for project oversight and management

Our understanding of WV Birth to Three's business mission and culture enables us to bring technical solutions that help the State achieve its business goals. For example, Gainwell recently assisted WV Birth to Three by enhancing Medicaid and CHIP billing processes to meet their new requirements. Gainwell's experience with billing and its understanding of WV Birth to Three practitioner information allowed it to successfully modify the billing procedures to maintain accurate and compliant Medicaid and CHIP fund recovery for the Program.

Supporting Birth to Three with Expertise and Innovation

Gainwell's extensive expertise with WVBTT provides stable and reliable performance while enabling ongoing modernization and technology innovation.

Project Management that Embraces Best Practices. Highly qualified project managers blend subject-matter expertise with proven industry-best practices in project management to offer client support and delivery team oversight tailored to the specific needs of each Part C Program we serve.

Project Manager Nadine Tyler leads Gainwell's delivery team for WV Birth to Three. The Gainwell Project Manager is the primary point of contact for all WV Birth to Three activities. Gainwell believes this account management approach, which relies on an experienced Project Manager as an internal advocate for the client, yields superior results, especially for State programs. The Gainwell Project Manager serves as the client's representative on the Gainwell delivery team.

Project Manager Nadine Tyler

- **20 years** serving WVBTT
- **24 years** in Early Intervention
- **24 years** supporting public health applications

In addition, a management team provides support to the Project Manager. Formal weekly status calls with the Global Healthcare Delivery Manager and monthly calls with both the Account Executive and Global Healthcare Delivery Manager are held. Emphasis is on exceeding client expectations and health of the relationship. Issues are discussed and plans formulated to keep activities on track. In addition, the Global Healthcare Delivery Manager and Account Executive are always available to meet with WV Birth to Three for any reason.

Throughout the contract, the PM manages the end-to-end service portfolio, providing both expertise and oversight to Gainwell's service delivery. Gainwell's expertise in these services is described below. Our approach to project management, as described by our Project Management Framework, is also a key component of our value to WV Birth to Three.

Project Management Framework. Gainwell's structured project management approach reduces project risk and reinforces auditable compliance by reinforcing agreed-upon project standards and disciplines. Our structured, flexible methodology centers on the principles of the Project Management Institute (PMI's) Project Management Body of Knowledge (PMBOK) Guide and industry standards such as the Capability Maturity Model Integration (CMMI) and Information Technology Infrastructure Library (ITIL), in-depth understanding of Early Intervention and Public Health programs, and thought leadership built on lessons learned in other successful systems integration and technology architectures. Our internal project management foundation mirrors that of the State's.

Our project management framework drives excellence, as depicted in the following figure.

Table 2. Gainwell Project Management Framework

Area	Description	Project Benefit
Integration Management	Directs and manages project task execution; monitors and controls project work; integrates change control activities	Supports interoperability and stakeholder collaboration
Risk/Issue Management	Supports risk assessments, identification, mitigation/resolution, and escalation processes; facilitates visibility into risk and issue status	Proactive identification, visibility into status, effective mitigation
Quality Management	Monitors/maintains compliance to quality standards and procedures; spearheads continuous improvement	CMMI quality standards/procedures, continuous improvement
Schedule Management	Supports resourcing; administers resource timekeeping and allocation of time against tasks and projects; manages critical tasks	Supports resources, manages critical tasks, tracks time against projects
Communication Management	Establishes and maintains communications roadmap; supports governance; promotes transparency	Communication roadmap, governance support, open transparency
Human Resource Management	Manages resource allocations and demand; provides resource allocation forecasts to reflect evolving needs	Well-managed allocations, manages demand and priorities, forecasts
Stakeholder Management	Communicates and works with stakeholders to meet their needs and address issues as they occur. Managing expectations increases project success by verifying that stakeholders understand the project benefits and risks. This encourages them to be active supporters of the project	Communicates with stakeholders, meets needs and addresses issues, manages expectations for success
Scope/Change Management	Supports identification and control of the project scope baseline	Identifies scope, controls project scope baseline, change control process, establishes repeatable processes
Procurement Management	Establishes repeatable processes for procurement activities	Proactive identification, visibility into status, effective mitigation

Ms. Tyler works with the WV Birth to Three team to define governance and establish roles, responsibilities; and methods of coordinating with program leadership, stakeholders, and State and Gainwell oversight resources.

For example, Gainwell developed process controls and has written comprehensive Service Organization Control (SSAE 18 SOC 1) procedure and process manuals customized for WV Birth to Three. As the current CFO vendor for WV Birth to Three, Gainwell will continue to follow these established procedures and processes. To maintain successful compliance with the SSAE 18 SOC 1 procedures, Gainwell will continue to host a quarterly meeting to review adherence to the documented procedures. The meetings include the Project Manager, Gainwell production support team members, and management team members.

During the last contract performance period Gainwell successfully implemented for WV Birth to Three:

- An Online Claim System (OCS) for practitioner service billing

- **Enhanced Medicaid and CHIP billing procedures** to include billing, referring, and rendering provider NPI information

Gainwell is currently working with WV Birth to Three to implement the family portal.

Gainwell is prepared to continue CFO services, without interruption, for WV Birth to Three on Day One of the new contract. Gainwell is eager to continue providing reliable and auditable service to WV Birth to Three and improving our offering with innovation and proven delivery capabilities.

4.2.1.5.1.4

Explanation of processes that will be implemented in order to complete all tasks and phases of the project in a timely manner

With more than 20 years of continuous service to WV Birth to Three, Gainwell has already implemented and staffed at a fully operational status. By choosing to continue its relationship with Gainwell, WV Birth to Three will remain fully operational on Day One of the new contract, with no necessary transition, no transition costs to be incurred, no new business risk, and no gap in services to families and children in West Virginia.

Gainwell has adopted standard methods and procedures to facilitate tasks and projects are completed in a timely manner. These processes will continue with no interruption in the new contract period. Operational tasks are monitored by both the Project Manager and Operations Manager. The Project Manager and the Operations Manager will closely track and verify that operational tasks are completed on time and with quality.

While Gainwell is already operational, and delivering services fully monitored by an SSA 18 SOC1 audit, Gainwell proposes to work with WV Birth to Three on a plan that will fully describe the processes utilized to deliver these services. The Gainwell Project Manager will engage WV Birth to Three leadership in the weeks following the new contract start date to discuss the plan and gather input and priorities the program may have for this document. This plan will comprise key elements of scope and operation activities, including:

- **Change Management Procedures.** Change Management validates that changes to WV applications and other work products are implemented transparently and with appropriate approvals.
- **Monthly Release Process.** A monthly software release process is currently in place. This process allows Gainwell to release updates to software on a consistent basis. A business analyst defines and documents software updates with WV Birth to Three and the Gainwell team. Once the update is approved by WV Birth to Three, the update is reviewed by the Gainwell team and is scheduled for release based on WV Birth to Three priorities. The release is produced by development, verified by quality assurance, and released by production support.

The separation of duties and quality checks at each stage of the process allow Gainwell to be confident that only fully tested code will be placed into production as per the SSAE 18 SOC 1 audit controls. This process will be used for the proposed system enhancements: practitioner claim entry, online IFSP, service directory modernization, and parent portal.

A similar process is followed for issue correction which allows for software issues to be evaluated and corrected based on priority and user impact. For high priority issues, an out-of-cycle release process is followed which allows software to be deployed more rapidly with quality being the highest priority.

- **Practitioner Enrollment/Credentialing Processes.** Practitioner enrollment and credentialing is completed by a team with 16 years of experience specific to WV Birth to Three. This team completes review and entry of practitioner information within three business days of receipt. In most instances the information is entered in less than three business days of receipt. Quality assurance is completed for 100% of the Practitioner Enrollment/Credentialing information in compliance with SSAE 18 SOC 1 audit controls. A more detailed explanation of the practitioner enrollment process can be found in Section 4.2.1.4.
- **Claim Entry and Practitioner Payment Procedures.** Practitioners currently have the capability to send their claims to Gainwell via mail, where CFO Operations enters the claims. The Gainwell team completes entry of the information upon receipt of the claim form. With the implementation of the new Online Claims System, fewer paper claims are being submitted by practitioners. The WV Online Claims System allows practitioners the opportunity to enter their own claims for services provided. Claims entered are adjudicated in real time giving the practitioner the opportunity to view the payable status of the claim. If the claim is entered incorrectly, whether it be for the wrong amount, wrong number of units, or wrong date, the system displays the outcome of the adjudication allowing the practitioner to update the claim immediately. Gainwell also accepts claims via a HIPAA compliant 837P EDI file. All claim entry methods use the same adjudication rules.
- **Online Claims System Access Procedures and BTOnline Access Procedures.** Access procedures validate that users gaining access to systems and data have appropriate approval, a business need to access data and systems, and are provisioned with the most appropriate user role as defined by WV Birth to Three.
- **Fund Recovery Procedures.** Gainwell processes Medicaid and CHIP eligible claims for WV Birth to Three including updating eligibility information, submitting claims, and processing remittance advice files. A review will be conducted with WV Birth to Three to determine if any adjustments are needed for this process. A more detailed explanation of the fund recovery process can be found in Section 4.2.1.3.
- **Call Center Support Procedures.** The Call Center supports calls from the State and practitioners of WV Birth to Three. To provide quality, a review of calls for each call center staff person is conducted and feedback provided. The call center processes will be reviewed and updated based on the system modifications in the proposed project plan. A report of calls received and processed is reviewed by the Project Manager and delivered to the WVBTT staff weekly. We will also make sure the Call Center is trained on new system features, enabling them to assist WV Birth to Three users with any questions when a system change is implemented. The process updates will be reviewed with WV Birth to Three. A more detailed explanation of the call center can be found in Section 4.2.1.5.1.4.
- **Reporting.** Gainwell runs monthly, quarterly, and ad hoc reports required by WV Birth to Three. Designated reports are delivered to WV Birth to Three on a monthly basis. Gainwell will meet to discuss and review any new reports with WV Birth to Three as needed. As new functionality is added, new reporting requirements will be discussed with WV Birth to Three. A more detailed explanation of the available reports can be found in Section 4.2.1.5.2.

Because WV Birth to Three needs are subject to change, and procedures constantly evolve to become more efficient and secure, Gainwell will continue to work with WV Birth to Three to confirm the procedures utilized to meet contract requirements align with contract scope and client needs.

4.2.1.5.1.5

Procedures to protect the confidentiality of records in WV Birth to Three databases, including database records that may be transmitted electronically via email or the internet

WV Birth to Three children and families have the right to expect their records to be managed in strict privacy and security, not just because the law requires it, but also simply out of respect. Gainwell understands the requirements set forth in HIPAA, FERPA, and IDEA, as well as other similar regulations. Gainwell maintains rigorous internal processes and standards to protect electronic information.

Gainwell meets privacy and security standards by implementing powerful technology features and by providing continuous training for its team members. Both aspects of this privacy and security solution are managed continuously to evaluate and respond to emerging threats.

Gainwell maintains stringent database security through Microsoft SQL Server's role-based security functionality. Gainwell users are assigned the least privileged access needed. This provides for a secure database environment and efficient management of database access control. SQL Server provides password complexity and expiration policies and supports full encryption of sensitive communication among client applications — WVBTT Online, Online Claims System (OCS), the Provider Service Directory, and the server. SQL Server's Transparent Data Encryption feature automatically encrypts and decrypts data as data is inserted into and retrieved from the database. This enhances security and simplifies maintenance by establishing encryption-at-rest, while providing better performance than other encryption techniques. Gainwell audits and logs every database connection for maximum database security.

Access to web applications utilizes secure internet encryption-in-motion. These encryption standards are continuously kept in compliance with evolving standards for this security measure.

Gainwell has appointed a privacy compliance officer responsible for the management of privacy practices, documentation of any issues, and for the development of response plans. Gainwell staff members working on Early Intervention accounts are required to attend annual HIPAA compliance training. The training is updated periodically to reflect changing regulations. Ongoing short refresher education is assigned and completed every month or two to address emerging topics in a timely manner.

Similarly, a centralized Security Team supports our individual accounts by evaluating threats and standards and revising our corporate strategy and tools to achieve our privacy and security obligations. The Security Team assigns an Account Security Officer (ASO) to support each client account in this area. The ASO helps the account team understand and confidently respond to the changing global security environment.

WV BTOnline provides secure and easy transfer of service and financial information as children and families transfer within the State. Gainwell uses a secure FTP site for the delivery of ad hoc reports to the State. WV Birth to Three employees with user access to this site are identified and approved by the WV Birth to Three program. The Project Manager and Gainwell manage the access rights for each user identified.

4.2.1.5.2

Vendor should provide descriptions of how it will provide Agency and other defined users access to routine reporting capabilities that include:

WV BTTOOnline contains two reporting mechanisms to keep data at the fingertips of the user. The available reports are based on the user roles defined by WV Birth to Three, and users customize the pre-defined reports by utilizing the available filter criteria.

Reports are available to the State in the following ways:

- WV BTTOOnline has lists of frequently used information available from the home page. These eight Common Search reports can be sorted based on the data headings and can be exported to Excel with the click of a single button.
- Common searches present users with options to focus their attention on work that must be completed within federal timelines. For example, one such common search lists all children currently in the 45-day timeline, sorted in oldest to newest order beginning with 45 days. The list is filtered by region or service coordinator, depending on the user role, helping users prioritize work based on urgency and compliance requirements.
- WV BTTOOnline has a Report List available based on user role. These reports can be exported into several formats including pdf, Excel, Word, and csv.
- The Central Claims Gateway (CCG) Reporting System has extensive claim-based reports. These reports are executed by the Report Operator, reviewed by the Project Manager, and delivered to a secure ftp site for the State-approved viewers on an agreed-upon schedule. These reports are being moved to WV BTTOOnline giving the program the opportunity to execute the reports as they see fit. Gainwell will continue to deliver the agreed-upon reports to the State on a monthly schedule.
- Gainwell is available to develop ad hoc reports upon request.
- Dashboards are available to WV BTTOOnline users based on viewing criteria established by the WV Birth to Three program. Dashboards are interactive, allowing users dynamic options to filter and drill into graphical and tabular components. Data can also be exported from dashboards into .pdf and Excel/csv formats for use outside of the application.

In addition, the Gainwell Early Intervention team of IT professionals and Project Manager are available to assist the State with every aspect of gathering, interpreting, and presenting the program's data housed within the data system.

Gainwell understands the State's reporting needs may evolve over time with new areas of program oversight required or mandated changes in federal or state regulations. With this in mind, Gainwell proposes to work with the State when the need arises and add up to 10 new reports over the life of the contract.

4.2.1.5.2.1

Work with Agency to develop and provide RAU staff access to running routine reports such as Interim Service Coordinator caseloads, referral data, and IFSP data. Reports must be formatted to allow users to sort data.

WV BTTOOnline includes robust features that support caseload inquiry and management. RAU users access data and reports that provide actionable data for their region. Eight Common Searches are prominently available on each user's home page. These reports are restricted to only display child records for which the user has access. Users may sort these reports based on the report headings, providing filtering options. This functionality provides WVBTT tools to improve data quality and reliability, monitor and manage compliance, and complete work more efficiently. The Common Search results can be exported to Excel.

Figure 33. Home Page Common Searches – WV BTOnline

Common searches on home page:

Common Searches	
Most Recently Selected Children	Children Approaching 45 day Timeline
Children Exceeding 45 day Timeline	Pending Transition
Transferred Children	Expired IFSP
Age 3 Not Terminated	< Age 3 Expired IFSP

Clear

In addition to the eight Common Search reports located on the WV BTOnline home page, 13 SPOE (RAU) reports are available in the WV BTOnline Report List. Reports have been developed in collaboration with WVBTT staff and are updated over time as Program needs evolve. These reports provide additional visibility to data for managers and decision makers, supporting active management at both the State and RAU level. The available reports are listed in the table below.

Table 3. SPOE (RAU) Reports

Report Title	Description
Average Age at Initial IFSP	This report computes the Average Age in months from Date of Birth to Initial IFSP for the children who's Initial IFSP falls within the selected date range.
Average Age at Referral	This report computes the average age in months from Date of Birth to Referral Date for the children whose referral date falls within the Referral date range entered and grouped by county.
Average Days Referral to IFSP	This report displays the Average # of Days from Referral to Initial IFSP for a list of children having a Referral date within the selected date range.
Child List with Active IFSP	This report provides a list of active children that have an active IFSP.
Children Pending IFSP	This report provides a list of active children that are in Intake and do not have an IFSP.
Children Pending Intake	This report provides a list of active children who do not have an Intake record.
Children Referral Detail	This report provides Referral Detail of all children with a Referral Date or Initial IFSP Start Date within a selected date range.
HOH Labels	This report produces a listing of children that have a Head of Household record by RAU and County.
IFSP Monthly Detail	This report provides IFSP Monthly Detail information of all children with an Initial IFSP Start Date within the selected date range.
IFSP Monthly Summary	This report provides the count of children with an IFSP Start Date within the selected date range.
Referral Source	This report provides the count of children referred in the selected date range by county.
Referral Source By Name	This report provides the count of children referred by Referral Source and Referral Name and County.

Report Title	Description
Program Eligibility Summary	This report provides a list and count of the different types of eligibility per county and RAU for an IFSP date range.

Gainwell knows that WV Birth to Three's needs are certain to evolve over time and is committed to providing innovation-driven solutions. When additional reports are required by the Program or RAUs, Gainwell will work with WV Birth to Three to define the report and implement it into WV BTOnline. Up to 10 additional reports may be developed during the new contract period.

4.2.1.5.2.2

Providing Agency with requested data extracts that can be imported into Microsoft Access for routine reports such as: number of days from referral to IFSP; children who transition during a period including transition conference dates; procedure code utilization; timely services; children with active initial and annual IFSPs during a period; child count and place of service; and primary eligibility categories.

WV BTOnline has reports available to State and RAU users for program management and oversight. In addition to the reports listed in Section 4.2.1.5.2.1, federal indicator reports are available to State users. The federal indicator reports available are listed in the table below.

Table 4. Federal Indicator Reports

Report Title	Description
Federal 1 – Timely Services	This report provides a list of children that received new services within the selected IFSP date range.
Federal 2 – Aggregate Count	This report (Federal 2,5,6) provides a list of primary and secondary referral sources for all children within a selected IFSP date range.
Federal 2 – Child Count and Primary Setting	This report (Federal 2,5,6) provides a list of the primary settings for all children within the selected IFSP date range.
Federal 3 – Child Outcomes	This report provides child outcome data of all children terminated in the selected date range.
Federal 7 – Children with an IFSP Start Date In Date Range	This report provides a list of children with an IFSP start date within the selected date range.
Federal 8a – IFSP Transition Steps	This report provides a list of children who have exited the Early Intervention program during a specific time period and includes their IFSP Transition Steps and Services.
Federal 8b – Transition Notification	This report provides a list of children that will turn or have turned three within two months of the selected date range and includes their child data information and primary contact information.
Federal 8c – Timely Transition Conference	This report provides a list of children who turn three in the selected date range and includes their transition information.

Gainwell also provides WV Birth to Three with CCG reports. The CCG reports are being moved to the WV BTOnline application, giving the State the opportunity to execute these reports at their discretion. Gainwell will continue to deliver agreed-upon reports to WV Birth to Three. Gainwell requests the opportunity to discuss additional reports that will benefit the WV Birth to

Gainwell Response to the State of West Virginia Birth to Three Early Intervention System, CRFP 0506
MCH2500000001
April 29, 2025

Three program and provide even greater insight into system data. These additional reports will not replace the current report delivery schedule but will enhance visibility into program data.

WV BTTOOnline reports, Online Claims System reports, and Gainwell-delivered reports are available in Microsoft Excel and/or a .csv text file and, in turn, may be imported into Microsoft Access.

4.2.1.5.2.3

Providing Agency with ad hoc statistical and management reports upon request

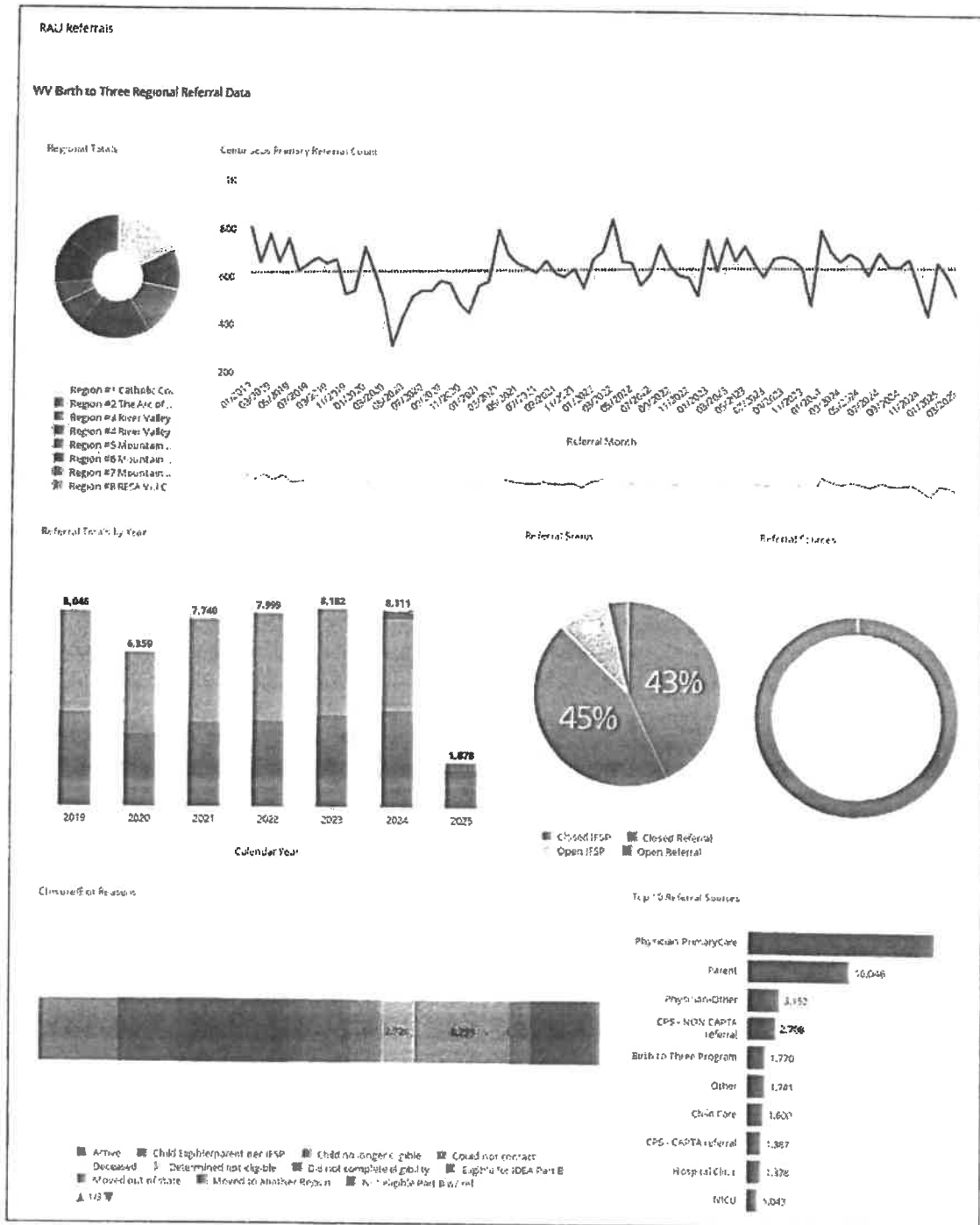
Access to use program data for decision-making, analytics, compliance, and stakeholder communication has never been more important for Part C Programs than it is today. Gainwell has always worked with WV Birth to Three to provide necessary ad hoc reporting and will continue to provide that support going forward.

Gainwell currently provides WV Birth to Three with ad hoc statistical and management reports upon request and will continue to do so throughout the new contract period. Gainwell works closely with the State to define the information needed for the ad hoc report, and our data analyst creates and formats the report. The ad hoc report is reviewed by the Project Manager prior to delivering to WV Birth to Three. Ad hoc reports requested by WV Birth to Three are posted to a secure FTP site to which only State-designated personnel have access.

Gainwell is committed to exceeding the basic ad hoc reporting requirements by helping WV Birth to Three unlock the power of its data and to empower WV Birth to Three users to more easily access and analyze that data. During the past contract term, we have worked with WV Birth to Three to implement the Analytics Platform, and to help WV Birth to Three design and publish its own analytics dashboards.

These analytics dashboards are visible to WV BTTOOnline user roles, subject to WV Birth to Three preferences, and are fully interactive for users. Selected users have access to create their own analytics dashboards. Here is an example of one analytics dashboard created by WV Birth to Three that is available to users in the BTTOOnline application.

Figure 34. Analytics Dashboard Example



The analytics dashboard example above provides quantitative and time-phased views of program referral data. Note that portions of the analytics dashboard showing individual data have been redacted.

4.2.1.5.2.4

Ensuring that access to all reports is based on level of security approved by Agency

Privacy and Security are among the most important principles to adhere to when designing and granting users access to data. Gainwells reporting functionality, in WV BTTOOnline, OCS, and in the Analytics Platform provide multi-level data filtering that supports privacy and security principles by limiting visibility to each user based on that user's needs.

The Common Searches and reports available in WV BTTOOnline are defined by the authorized user's role. During the initial implementation of WV BTTOOnline, Gainwell worked with WV Birth to Three to gain approval for the reports available to each user role, as follows:

- **Practitioners.** Eight Common Searches are available on the home page. The results of the common search are limited to the child records to which the practitioner has an assigned authorization.
- **Service Coordinators (Initial and Ongoing).** Eight Common Searches are available on the home page. The results of the common search are limited to child records to which the Service Coordinator is assigned.
- **RAU.** In addition to the eight Common Searches, RAU users have access to 13 SPOE reports found in the Report List in WV BTTOOnline. The data in the common searches and SPOE reports is limited to the children assigned to the RAU region.
- **State.** State users have access to the eight Common Searches and the 13 SPOE reports that are available to RAU users. State users also have access to 23 additional Funding and Practitioner reports as well as eight Federal Indicator reports. E-Access Summary and Detail reports are also available to State users. E-Access reports may be viewed based on user or child and will detail each WV BTTOOnline page that was accessed.

In addition to the reports available in WV BTTOOnline, Gainwell currently produces an additional 19 monthly and quarterly CCG reports for delivery to WV Birth to Three. Reports requested by WV Birth to Three are reviewed by the Project Manager and are posted to a secure FTP site to which only State-designated personnel have access in accordance with the SSAE 18 SOC 1 audit controls.

User access to reports, data, and system functionality can be managed going forward. Gainwell will continue to work with WVBTT leadership to validate current and future data access privileges are aligned with WVBTT policies and needs.

4.2.1.5.3

Vendor should describe a proposed plan for training WV Birth to Three state staff and eight RAU staff in order to ensure successful and timely implementation.

Training should include:

Gainwell understands that end-user training is crucial to help users be successful using the system. As the incumbent vendor, WV Birth to Three users are already trained on current applications, and system implementation training is not required. If WV Birth to Three desires

additional training on the system applications, we will be available to discuss a training schedule. In addition, Gainwell will provide system training for new implementations and enhancements as agreed upon by WV Birth to Three and Gainwell. Gainwell will use its extensive WV Birth to Three business knowledge to craft training materials that reflect both proven best practices for users and WV Birth to Three policies and procedures.

4.2.1.5.3.1

One-day hands on trainings at the WV Birth to Three State Office and each of the eight RAU locations

As noted above, WV Birth to Three users are already trained on the current applications provided by Gainwell. If WV Birth to Three feels additional training on the current system is required, Gainwell will provide WV Birth to Three staff, both at the State level and the RAU level, with hands-on training in the WV BTOnline system and will focus on new functionality.

4.2.1.5.3.2

Training aids

Gainwell will provide WV Birth to Three and RAU staff with the needed training aids to prepare them for using new functionality in the WV Birth to Three applications. The training aids provided will include updated training manuals that describe new system functionality.

Additional training aids include Online Help that is accessed from within WV BTOnline and Online Claims System (OCS) and an online training environment for both applications. The Online Help is available to the end-user at any time from each web page. The help content includes a system overview, explains navigation, describes the function of the system, and page edits. Online Help contains easy-to-use search features and step-by-step instructions.

The online training environment is active and is kept up to date with production changes via the production deployment process.

In support of practitioners and their use of the Web-based system, Gainwell will update the specialized practitioner training manual. The training manual will target the functions available to a practitioner and familiarize them with system functionality.

For additional features and enhancements, updates will be made to the current training aids. For the Parent Portal, Gainwell suggests a quick start training aid that can be shared with each parent or guardian. This will be completed after discussions with WV Birth to Three staff. The Parent Portal training aid will be a clear, concise document that provides information on access, navigation, and features included in the Parent Portal

4.2.1.6 Security and Internal Controls

To ensure that the CFO structure is designed to mitigate or eliminate weaknesses that could result in compromise of data in the creation, usage, transfer, or destruction of information.

Gainwell designs and operates its Central Finance Office (CFO) structure with a security-first approach that aligns with federal and state regulatory requirements, including Health Insurance Portability and Accountability Act (HIPAA), Family Educational Rights and Privacy Act (FERPA), and Individuals with Disabilities Education Act (IDEA) Part C. To prevent compromise of data during creation, usage, transfer, or destruction, Gainwell implements a comprehensive suite of

physical, technical, and administrative safeguards as part of its enterprise-wide information security framework.

All data — including Personally Identifiable Information (PII) and Protected Health Information (PHI) — is encrypted both in transit and at rest using National Institute of Standards and Technology (NIST)-compliant standards (e.g., AES-256, TLS 1.2+). Access to sensitive data is tightly governed by role-based access controls (RBAC), multi-factor authentication, and enforcement of least privilege. All user activities are logged and monitored using enterprise-grade security tools such as Splunk and CrowdStrike Falcon Host agent, enabling real-time detection of unauthorized access or anomalies.

Physical security controls are a core element of Gainwell's data protection strategy. Offices housing CFO operations are secured through badge-controlled access systems, video surveillance, and visitor registration protocols. Only authorized personnel may access restricted areas, including those where paper records or check processing occur. All employees are subject to background checks in accordance with Gainwell's personnel security policy.

For paper records and physical documents, including inbound and outbound checks, Gainwell enforces secure handling, restricted storage, and destruction protocols. Checks are stored in locked safes or secure cabinets and are logged upon receipt or issuance. Mail is processed in secure areas by trained staff under dual control procedures, and documents are securely shredded in accordance with Gainwell's Information Sanitization and Destruction Standard.

Gainwell enforces strict **segregation of duties** within its CFO structure to prevent conflicts of interest or unauthorized system or financial access. Privileged access to production databases is restricted and subject to multi-level approval and audit. Additionally, incident response protocols are in place per Gainwell's Security Incident Reporting and Management Standard, and operational integrity is independently validated through annual SSAE 18 SOC 1 audits.

By embedding these safeguards across physical, personnel, and digital domains, Gainwell validates that all client data is protected throughout its lifecycle and that the CFO structure delivers secure, compliant, and resilient operations for the WV Birth to Three program.

4.2.1.6.1

Vendor should provide a security and confidentiality plan that addresses the following areas:

Gainwell provides a comprehensive Security and Confidentiality Plan tailored to the specific needs of the WV Birth to Three project. This plan serves as the foundational framework for internal audits and compliance verification, confirming adherence to federal and state regulatory requirements. It integrates applicable security controls and methodologies from NIST SP 800-53, ISO/IEC 27001, HIPAA, SSAE 18 SOC 1, and PCI standards where relevant. The plan addresses a full spectrum of control domains, including physical and environmental security, personnel and role-based access controls, network and endpoint security, configuration and change management, user account provisioning, and identity and authentication management. In addition, Gainwell's plan encompasses data confidentiality, encryption and key management, audit logging and monitoring, secure system maintenance, and controlled media handling. Security awareness training is mandatory for users with access to Covered Gainwell Information and is tracked and audited annually. The plan also outlines a structured risk management program, incident response protocols, and secure acquisition practices for hardware, software, and third-party services. These controls are applied across both system-level and application-

level environments to provide the protection, integrity, and confidentiality of sensitive child and family data throughout its lifecycle.

4.2.1.6.1.1

Family Educational Rights and Privacy Act (FERPA) requirements

Gainwell fully understands and complies with the Family Educational Rights and Privacy Act (FERPA) and integrates its principles into the Early Intervention system operations. FERPA compliance is embedded into Gainwell's system design, data handling protocols, and personnel practices to confirm the privacy and protection of personally identifiable information (PII) related to children and families.

Each Gainwell employee working on the WV Birth to Three program is required to complete mandatory training and sign a HIPAA Compliance Agreement as part of onboarding and annual re-certification. This validates that staff understand their responsibilities regarding the access, use, and disclosure of PII and Private Health Information (PHI) records.

Gainwell enforces strict access controls through its role-based access model, validating that only authorized personnel can access education-related data. Audit logs are maintained to monitor data access, and the systems used for storing or transmitting FERPA-protected data are encrypted and compliant with industry security standards. Any disclosure of educational records occurs only with parental consent or as otherwise permitted under FERPA regulations.

A designated Data Privacy and Compliance Officer oversees FERPA compliance, including policy enforcement, documentation of incidents, and implementation of corrective actions when needed. Gainwell also supports seamless and secure transfers of educational and service data across regional administrative units to provide continuity of care and compliance with FERPA requirements for records portability.

4.2.1.6.1.2

System access and logins

Gainwell implements robust system access and logging controls at both the server and application levels to provide full accountability and compliance with FERPA, HIPAA, and applicable state privacy requirements. Access to systems containing sensitive child data, family data, and protected health information is authenticated, role-restricted, and monitored continuously. System access and logging controls are shown in the following table.

Table 5. System Access and Logging Controls

Task	Success/Failure
Audit account logon events	Success, Failure
Audit account management	Success, Failure
Audit directory service access	Success
Audit logon event	Success, Failure
Audit object access	Failure
Audit policy change	Success, Failure
Audit privilege use	Failure

Task	Success/Failure
Audit system events	Success, Failure

These logs are centrally collected, timestamped, and reviewed per the Gainwell Logging and Monitoring Standard, with retention periods that meet or exceed regulatory requirements.

At the application level, Gainwell's systems generate detailed user access and activity logs to capture relevant actions taken during a session. Upon login, the system records metadata such as browser type, session start time, and the user's unique identifier. As users interact with the application — viewing records, submitting updates, or navigating pages — each action is logged with a timestamp and associated user ID. This detailed activity trail enables comprehensive session reconstruction and supports operational audits and forensic investigations.

Logs are stored securely, access to logs is restricted based on role, and automated monitoring is in place to detect unauthorized access attempts or unusual behavior. This layered approach confirms that access to child-level educational and medical data is monitored, traceable, and defensible in any audit or compliance review.

4.2.1.6.1.3

Strong password functionality

Gainwell enforces strong password functionality at both the system and application levels in accordance with industry standards and federal regulatory requirements such as HIPAA, FERPA, and NIST SP 800-53. Users are required to use unique credentials, and passwords are governed by strict complexity, rotation, and lockout policies.

At the system level, Gainwell utilizes Active Directory to centrally manage user authentication and password policies. These policies enforce minimum password length, required use of alphanumeric and special characters, and prohibit the use of clear-text passwords. Stored and transmitted passwords are encrypted or hashed to prevent unauthorized disclosure. Password complexity is enforced through configuration tools and Group Policy settings across Gainwell-managed systems.

At the application level, including WV Birth to Three Online (WV BTTOOnline), Gainwell requires passwords to meet the following minimum standards:

- Minimum of eight (8) characters
- Must contain at least one uppercase letter, one lowercase letter, one number, and one special character
- Passwords expire every 90 days
- Password history is retained for 24 previous passwords to prevent reuse
- After three failed login attempts, the account is locked for 60 minutes or until reset by an administrator

Additionally, forms-based authentication is used for applications, and authentication data is encrypted in transit and at rest. Password sharing is strictly prohibited, and users are expected to maintain separate passwords for each system.

4.2.1.6.1.4

Monitoring and reporting unauthorized access attempts

Gainwell employs a multi-layered, defense-in-depth security strategy to monitor and report unauthorized access attempts at both the system and application levels. These practices align with industry standards such as NIST SP 800-53 and support compliance with HIPAA, FERPA, and other applicable federal and state data protection regulations.

At the system and server level, Gainwell continuously monitors inbound and outbound network traffic, system resource utilization, and potential threat indicators. Security tools including Splunk and CrowdStrike Falcon Host agent are deployed to detect anomalies, malicious activity, and unauthorized access attempts. Alerts generated by these tools are ingested by Gainwell's centralized Security Information and Event Management (SIEM) platform and reviewed by the Gainwell Security Operations Center (SOC). When an alert is identified as potentially security-sensitive, the assigned Information Security Leader (ISL) is immediately notified. The ISL then coordinates with the IT Lead and account management team, including project leadership, to investigate and initiate appropriate containment and remediation actions.

Gainwell monitors the applications using the Web Application Firewall (WAF) and geo-blocking is enabled to restrict access to United States-based IP addresses only, further reducing the threat surface from foreign actors. Network devices and infrastructure components are monitored for signs of exploitation, excessive utilization, and inefficiencies that could signal a security event.

At the application level, Gainwell's systems track and log unsuccessful login attempts and suspicious access patterns. The number of failed login attempts allowed is configurable to meet WV Birth to Three program requirements. When the failed login threshold is exceeded, the system automatically locks the account. Locked users must contact the Gainwell Help Desk for identity verification and password reset. User login activity is timestamped and stored in a secure, queryable format to enable audit trail reconstruction and compliance audits.

This comprehensive logging and escalation framework validates that an unauthorized access attempt — whether successful or blocked — is identified, assessed, and addressed in accordance with Gainwell's incident response and security governance standards.

4.2.1.6.1.5

User account controls

Gainwell implements a comprehensive user account management framework to provide secure, role-based access to Gainwell systems and applications supporting the WV Birth to Three program. These controls are defined within the Gainwell Security Plan and have been validated through SSAE 18 SOC 1 audits. The framework is aligned with NIST SP 800-53 access control standards and supports HIPAA, FERPA, and IDEA Part C compliance.

User accounts are created, modified, and terminated through a centralized and auditable process. Access is provisioned using a least-privilege model based on job role and project requirements. Each user is assigned a unique ID, and access is gated by authentication mechanisms including strong password policies and system-level identity verification.

Key user account control practices include:

- **Automated Access Management.** Access to Gainwell systems is controlled through a secure, automated access control system integrated with Active Directory and ServiceNow.

- **Role-Based Access Control (RBAC).** Every user is assigned a role that governs system permissions, validating access is limited to only the data and functions required for their responsibilities.
- **Account Approval Workflow.** User access requests are initiated by authorized managers and approved by designated authorities (e.g., IT leads for system access, database managers for DB-level access).
- **Lifecycle Management.** Accounts for terminated users are immediately disabled or deleted upon notification. WV BTOnline, the Online Claims System (OCS), and Practitioner Service Directory user accounts are disabled immediately upon official notification from the State, RAU, Agency, or enrolled practitioners.
- **Access Auditing.** Logging is enabled for account creation, modification, and termination events. Audit records are reviewed regularly to identify potential anomalies or policy violations.
- **Quarterly Review Cycle.** User accounts are reviewed quarterly. Inactive accounts are disabled in accordance with Gainwell's access review policy.
- **Separation of Duties.** Users with elevated (privileged) access are assigned separate accounts for administrative and general functions. Privileged accounts may not be used to perform general user tasks to maintain auditability and prevent misuse.

This structured approach validates user access to sensitive child and family data is appropriately restricted, monitored, and auditable supporting the integrity and confidentiality of WV Birth to Three program operations.

4.2.1.6.1.6

No privileged user for database access

Gainwell enforces strict separation of duties and adheres to the principle of least privilege by confirming that no application-level or general user accounts are granted privileged access to the database. Privileged database access is restricted solely to authorized members of the Database Administration (DBA) team. Each DBA is assigned a unique, individual login credential and must authenticate using secure methods before performing administrative tasks.

Application services and end users interact with the database through service-layer APIs or stored procedures with tightly scoped permissions. Direct access to backend databases is prohibited for application users, validating that sensitive data and system configurations remain protected from unauthorized access or manipulation.

Privileged access activities are logged and reviewed regularly by Gainwell's Information Security and Compliance teams. These controls support compliance with SSAE 18 SOC 1, HIPAA, and FERPA, and are part of Gainwell's broader access governance strategy for safeguarding child and family data under the WV Birth to Three program.

4.2.1.6.1.7

Least privilege for connections

Gainwell enforces the principle of least privilege across systems supporting the WV Birth to Three program to confirm that users are granted only the minimum access necessary to perform their authorized job functions. System access is role-based and tied to unique user credentials.

Permissions are tightly scoped and assigned based on job responsibilities, with access granted only after proper authentication and managerial approval.

Users must authenticate using a valid user ID and password, and access is governed by their assigned role within Active Directory or the application's access control layer. Users without the correct credentials or role assignment are denied access.

For personnel who require both administrative and standard user functionality, Gainwell provisions separate privileged and non-privileged accounts. Users with privileged accounts are prohibited from performing general user tasks with their privileged user account. This separation of duties mitigates the risk of privilege escalation and supports audit trail integrity.

These practices are reviewed on a recurring basis and align with NIST SP 800-53 access control guidelines, as well as HIPAA and FERPA requirements for safeguarding sensitive health and educational records.

4.2.1.6.1.8

No SQL on web pages

As part of Gainwell's secure development standards, direct SQL statements are never embedded in web pages, code-behind files, or business logic layers. To protect against SQL injection and provide proper abstraction of database operations, SQL interactions are handled exclusively through parameterized stored procedures or through secure data access layers encapsulated in dedicated Data Access Layer (DAL) libraries.

This approach validates that no SQL logic is exposed in the client-side HTML or browser-accessible code, significantly reducing the attack surface and aligning with Open Web Application Security Project (OWASP) and NIST SP 800-53 secure coding practices. User input is validated and sanitized at both the user interface and data access levels to further mitigate injection risks.

By isolating the database logic within the backend infrastructure and enforcing strict boundaries between presentation and data layers, Gainwell validates the integrity, confidentiality, and security of child and family data processed through the WV Birth to Three system.

4.2.1.6.1.9

Cleanse data input

Gainwell follows strict input validation and data sanitization protocols as part of its secure software development lifecycle to prevent security threats such as SQL injection, cross-site scripting (XSS), and buffer overflows. User input is never passed directly into SQL statements. Instead, Gainwell utilizes **parameterized stored procedures** and Object-Relational Mapping (ORM) frameworks to handle input data securely.

User-supplied data is validated at both the client and server levels for expected **length, type, format, and character encoding**. Inputs that include special characters, markup, or scripting syntax are sanitized and encoded to neutralize potentially malicious behavior. This verifies that data received via web forms, API requests, or service endpoints cannot alter database queries or execute unauthorized commands in the application or browser.

Additionally, Gainwell actively avoids architectural patterns that rely on **dynamic SQL generation**, especially those involving user-supplied data, regardless of whether the data has been sanitized. By isolating user input from execution logic and applying consistent input

cleansing practices across the layers of the system, Gainwell provides the secure handling of child and family data in compliance with OWASP, HIPAA, and FERPA requirements.

4.2.1.6.1.10

Reference standards on How to Mitigate the Top 10 Dangerous Programming Errors

Gainwell's secure software development standards incorporate protections against the CWE Top 25 Most Dangerous Software Weaknesses, including the Top 10 programming errors identified in the November 2024 CWE list. These protections are further supported by ongoing code scanning, static analysis, and remediation procedures. Findings from security scans are prioritized by severity (Very High to Low) and tracked through the project plan for timely resolution.

Item #1 Improper Neutralization of Input During Web Page Generation (Cross-site Scripting) CWE-79, Item #4 Cross-Site Request Forgery (CSRF) CWE-352

Gainwell protects against XSS and CSRF by verifying input validation, output encoding, and secure session management. Externally facing websites use only HTTPS and redirect non-secure requests automatically to the secure version at the server level. Third-party integrations occur via secure static links or protected APIs. Additionally, access tokens and anti-forgery tokens are implemented to validate session integrity and data authenticity on every postback.

Item #2 Out-of-bounds write CWE-787, Item #6 Out-of-Bounds Read CWE-125

Gainwell's development languages — C#, VB.NET, and JavaScript — use managed memory models, which mitigate the risk of out-of-bounds memory access. While this error type is inherently minimized, a potential instance is automatically flagged through regular application security scans and promptly remediated.

Item #3 SQL Injection CWE-89

SQL Injection is mitigated through using parameterized stored procedures, ORM frameworks, and strict input validation. Gainwell avoids dynamic SQL generation entirely, and database interaction is encapsulated in Data Access Layers (DALs). SQL accounts operate with the least privilege necessary, and no SQL logic is exposed in client-facing code.

Item #5 Improper Limitation of a Pathname to a Restricted Directory ('Path Traversal') CWE-22

User input is never used to generate file paths within Gainwell systems. When file access is required, strict validation confirms all file paths are within permitted directories. Directory access is locked down at the server level to prevent users from viewing or navigating server file structures.

Item #7 Improper Neutralization of Special Elements used in an OS Command ('OS Command Injection') CWE-78

The WV BTOnline system operates within a secure, tightly restricted web environment. Application users are not granted access to execute any OS-level commands. Additionally, input is filtered through network firewalls and inspected to confirm no command injection attempts are passed through to the web server.

Item #8 Use After Free CWE-416

Gainwell uses managed code environments (C#, VB.NET, JavaScript), which handle memory allocation and garbage collection automatically. As a result, Use After Free errors are highly unlikely. Nevertheless, Gainwell's application security scans are capable of identifying such issues should they occur and flagging them for resolution.

Item #9 Missing Authorization CWE-862

Authorization checks are enforced on data requests through using access tokens and anti-forgery validation. Each service call in Gainwell's Service-Oriented Architecture (SOA) is verified against user permissions, confirming that only authorized users can access protected data or business logic.

Item #10 Unrestricted Upload of File with Dangerous Type CWE-434

To mitigate CWE-434 risks, the system implements file type whitelisting — only approved document types may be uploaded. Executable and script files are blocked at upload. Furthermore, uploaded files are scanned using CrowdStrike Falcon Host agent, which detects and quarantines files with malicious content. Gainwell's security standards and coding practices are designed to align with CWE, OWASP Top 10, and NIST secure coding guidelines. These practices, combined with automated code scanning, static analysis, and defense-in-depth architecture, provide comprehensive protection against the most dangerous software vulnerabilities in support of the WV Birth to Three program.

4.2.2 Mandatory Project Requirements

The following mandatory requirements relate to the goals and objectives and must be met by the Vendor as a part of its submitted proposal. Vendor should describe how it will comply with the mandatory requirements and include any areas where its proposed solution exceeds the mandatory requirement. Failure to comply with mandatory requirements will lead to disqualification, but the approach/methodology that the vendor uses to comply, and areas where the mandatory requirements are exceeded, will be included in technical scores where appropriate. The mandatory project requirements are listed below.

Gainwell accepts the mandatory project requirements listed in this section as written. The following sections describe Gainwell's acceptance of WV Birth to Three's goals and objectives and, where appropriate, detail Gainwell's proposed solution. In addition, information is added where mandatory requirements are exceeded.

4.2.2.1 Project Plan

Vendor will include a project plan using a formal and documented project management approach based on Project Management Institute (PMI) industry standards and guidelines. Microsoft Project or comparable software tools will be used to develop the work plan and will include tasks, milestones, and deliverables. The project management approach and work plan will provide the Agency with a means of determining if the statement of work is being accomplished as scheduled with acceptable deliverables.



Gainwell accepts this requirement.

Proposed Plan for Gainwell's Investment in WV Birth to Three (WVBTT) Systems and Technology

As the incumbent vendor, the current staff, including the CFO, will be available and current software systems will be operational Day One. Transition activities to implement a new system and complete data conversion, system testing, training, procedure updates, and other related

tasks that are time-consuming and add risk to the project will not be required. This will be a seamless transition with zero disruptions.

As part of our response to this RFP, Gainwell proposes several key upgrades for WV Birth to Three. The upgrades described in this section exceed the mandatory project requirements and will be completed by Gainwell staff at no cost to West Virginia. These upgrades will offer substantial benefits to the WVBTT program, its children, and the system users. Gainwell will collaborate with WV Birth to Three to review and prioritize an implementation schedule based on the WVBTT program needs. Gainwell understands that software enhancements require updates to policies and training, which take time to implement. Gainwell will collaborate with WVBTT to implement these enhancements on a schedule that aligns with the Program's priorities.

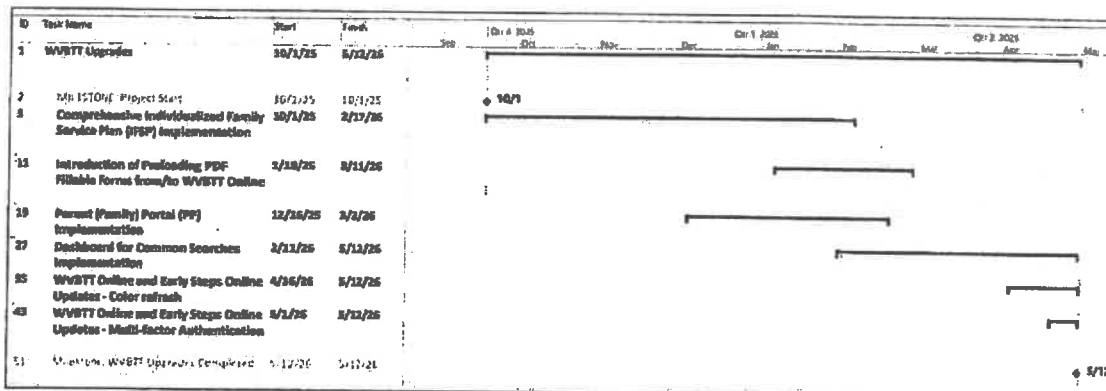
In addition to the proposed upgrades, standard regulatory updates will continue to be completed. An update from ICD-10 to ICD-11 is one example. The ICD-11 upgrade has been planned by the AMA for several years and became available for global use on January 1, 2022. Currently, an implementation date has not been established in the U.S.

Gainwell has provided a proposed schedule to complete the system enhancements listed below over a period of eight months, beginning on Day One of the new contract. The plan start date is October 1, 2025. The delivery dates will be adjusted accordingly if the start date changes. The proposed upgrades fall into five areas:

- The introduction of a comprehensive IFSP in WV BTTOOnline, tailored to reflect West Virginia's current IFSP form
- The introduction of preloading PDF Fillable forms with information from WV BTTOOnline and importing information from PDF Fillable forms into WV BTTOOnline
- The availability of a Parent (Family) Portal, allowing the WV Birth to Three program to offer parents/guardians a range of functionality including access to review information about their child, complete online surveys, access and sign State forms, allow secure communication with WV BTT team members, as well as other options
- Addition of a Dashboard for Common Searches to serve as a visual depiction of the search results
- WV BTTOOnline and Online Claims System (OCS) updates to include a color refresh and multi-factor authentication

The five components above are reflected in the high-level work-plan view shown below:

Figure 35. High-Level Work-Plan View



In addition to these enhancements, Gainwell maintains a product roadmap and is committed to continually improving our EI products. As new features become available in the future, we will present them to the Program for potential adoption into WV Birth to Three.

Comprehensive IFSP in WV BTTOOnline

Gainwell proposes implementing the WV Birth to Three IFSP into the existing WV BTTOOnline application. The online IFSP will significantly expand the quantity of reportable information available within the application and enable enhanced reporting and analysis options for the WV Birth to Three program. Gainwell intends for the WV BTTOOnline IFSP functionality to reflect the current WV Birth to Three IFSP, rather than a generic IFSP format. This tailored approach will provide significant value to the program by aligning closely with current processes. It will reduce the learning curve, prevent confusion among the program and providers, and provide a seamless integration that supports the program's unique needs. Gainwell will work with the WV Birth to Three program during requirements gathering to review the new pages and to update the IFSP document. Gainwell is confident the results will serve the WV Birth to Three Community far better than a generic IFSP implementation. Work on the IFSP component has already begun, and the Gainwell team will be ready to engage WV Birth to Three program staff on Day One of the new contract. Gainwell anticipates the online IFSP will be ready for training and deployment by February 2026.

In addition, please review the PDF Fillable Forms enhancement described below. This will allow capturing and importing selected IFSP data.

PDF Fillable Forms

Gainwell is excited to share our vision regarding writable PDF documents. One of the tenants of the Early Intervention program is service in the child's home. To accommodate those areas where internet service is not reliable, the practitioner or service coordinator will download PDF fillable forms onto their computer prior to visiting the family. When the form is downloaded, it will be prefilled with the information available in WV BTTOOnline. The practitioner will complete the form at the child's home and then upload it into WV BTTOOnline when they reach a location where secure internet service is available. As a result of this enhancement, information will be captured once and uploaded to the system, providing enhanced data integrity and minimizing redundant tasks for the service coordinators. Gainwell anticipates the first PDF Fillable Forms will be available for training and deployment by March 2026.

The PDF fillable form that Gainwell will implement will be the IFSP. Listed below are the two PDF Fillable Forms processes that will be completed:

- **Load Information into a fillable PDF before downloading/exporting the document.** For example, the child's name, address, DOB, and family member names are stored in WV BTTOOnline. This process will import that information into a PDF document. This will save the service coordinator time entering the information when at the child's home and allow more time to be spent working with the family and the child.
- **Import PDF fillable forms information into the WV Birth to Three data system.** For example, the service coordinator enters additional information into a PDF fillable document while at the child's home. The additional information entered while at the child's home will be imported into WV BTTOOnline.

Parent (Family) Portal

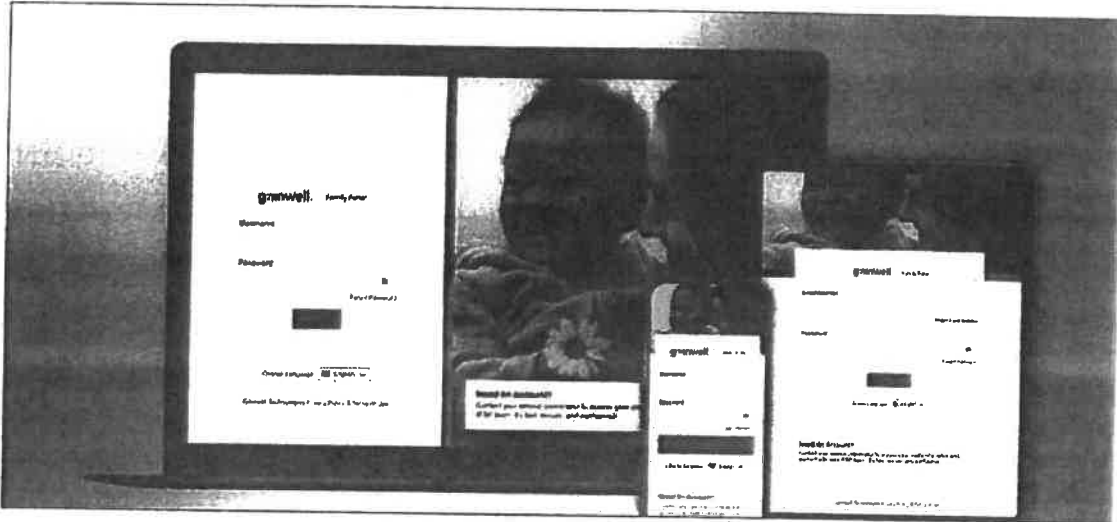


Parent (Family) Portal is a fully functioning, robust application that was built specifically for families and will be available to WV Birth to Three on Day One of the contract. Parent (Family) Portal provides secure access for parents/guardians to review information about their child. It also allows them to send and receive secure notes, complete surveys, and download, print, and sign State forms without using a third-party tool such as DocuSign. Parent (Family) Portal was built with the understanding that each state is unique and, as such, it includes configuration options allowing WV Birth to Three to tailor Parent (Family) Portal to meet the specific needs of WV Birth to Three. Gainwell is committed to the continued enhancement of Parent (Family) Portal, and suggestions from WV Birth to Three are appreciated.

Parent (Family) Portal was constructed with the families/guardians as the center of focus. It is based on Human-Centered design. As new functionality is designed, the team asks the following questions:

- What is the easiest way for the family member to complete each action?
- What kind of information does the family need?
- What is the best experience for the family member?
- Is this the most intuitive way for the family member to complete the action?
- What is the best option for the user's device size?

Figure 36. Parent (Family) Portal

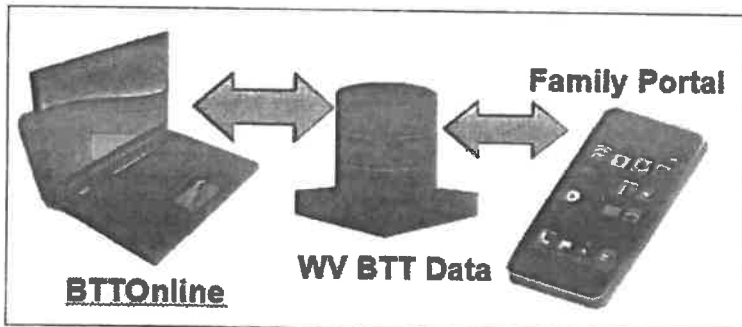


Gainwell invested in this product because we understand families with Early Intervention–eligible children are very busy and experience many challenges. Gainwell feels it is important to provide a customized user experience to the parents/guardians rather than reuse a system built for a different group of users.

Parent (Family) Portal will be connected to West Virginia's BTTOOnline:

- The same data source is used for both BTTOOnline and Parent (Family) Portal.
- Documents and notes added in Parent (Family) Portal can display in BTTOOnline.
- Documents and notes added in BTTOOnline can display in Parent (Family) Portal.

Figure 37. Parent (Family) Portal's Connection to BTTOOnline



- **Highly Secure.** Security of the child's data is a top priority in Parent (Family) Portal. Access must be limited to parents and legal guardians and the information available is subject to FERPA and HIPAA regulations.
 - Parent/Guardian access is completed within Parent (Family) Portal. Gainwell will work with WV Birth to Three to determine the most secure processes to use.
 - Two-factor authentication is available:

- The parent/guardian can choose to receive the authentication code via text message or email.
- Two-factor authentication is the default; however, WV Birth to Three can choose to not use this feature.
- **Configurable.** Parent (Family) Portal was built with the understanding that each state is unique and, as such, it includes configuration options that allow WV Birth to Three to tailor Parent (Family) Portal to meet the specific needs of the program:
 - WVBTT can set up its own surveys including the number of survey questions, question text, response options, date the survey will display for parent/guardians, length of time child has been in program, and age of child.
 - WVBTT can upload state forms to Parent (Family) Portal for parents to use.
 - WVBTT can configure the type(s) of notes to display and the date on which the notes will begin displaying. This will allow time for notification and training of anyone entering notes that may be viewed by a parent/guardian.
 - WVBTT can configure the document types available in WVBTT that will display for parents/guardians.
 - WVBTT can turn on and off functionality, such as viewing appointments, allowing FCP to be paid, viewing notes and documents.
 - WVBTT can enter links to websites that would be of benefit to families.
- **Family features.** Parent (Family) Portal provides many benefits to the parent/guardian and allows an easy way for families to review information relevant to their child. It includes the following features:
 - **Child Library** provides the parent/guardian the ability to review State-approved document types that have been added to WV BTTOOnline. In addition, the parent/guardian can upload documents to the Parent (Family) Portal that will display in WV BTTOOnline.
 - State approved document types available in WV BTTOOnline can display in Parent (Family) Portal.
 - Examples include the IFSP, EOB, or forms the family has completed.
 - Parents can sign documents within Parent (Family) Portal without the need for a third-party application such as DocuSign.
 - **Notes** are a secure method of communication and are a replacement for using email or text, which may not be secure.
 - Notes added in WV BTTOOnline can be configured to display in Parent (Family) Portal.
 - Parent/Guardians can enter notes in Parent (Family) Portal, and the notes will display in WV BTTOOnline.
 - **Language Choice** is available to the parent/guardian. The family can choose their native language. Currently, English and Spanish are available; however, Gainwell anticipates adding additional languages.
 - **Family Surveys** are required for APR reporting, although it is sometimes difficult for parents/guardians to complete these surveys. Parent (Family) Portal provides families an easy way to complete the APR survey. In addition, WV Birth to Three can set up family surveys for a wide variety of topics.

- **Services** will include a list of claims (services) that have been completed for a child by service coordinators and practitioners. It is important for families to review and verify services that have been completed.
- **My Team** will provide information regarding families' specific service coordinator and practitioners. Contact information will be at the family's fingertips and easy to locate.
 - Drill-down capabilities will be available for the family to review authorized services for the service coordinator and practitioners.
- **Family Cost Participation (FCP) Fees.** If WV Birth to Three determines that FCP fees will be required, collecting these fees should be as easy as possible.
 - The ability for the parent/guardian to pay FCP fees using a credit card
 - Please note that this feature employs a state credit card process. The state process must be available for this feature.
- **Appointment Reminders.** If WV Birth to Three chooses to incorporate the appointment processes into WV BTTOOnline, Parent (Family) Portal will display appointments for the family.

Gainwell anticipates that Parent (Family) Portal will be available for training and deployment by March 2026.

Dashboards for Common Searches in WV BTTOOnline



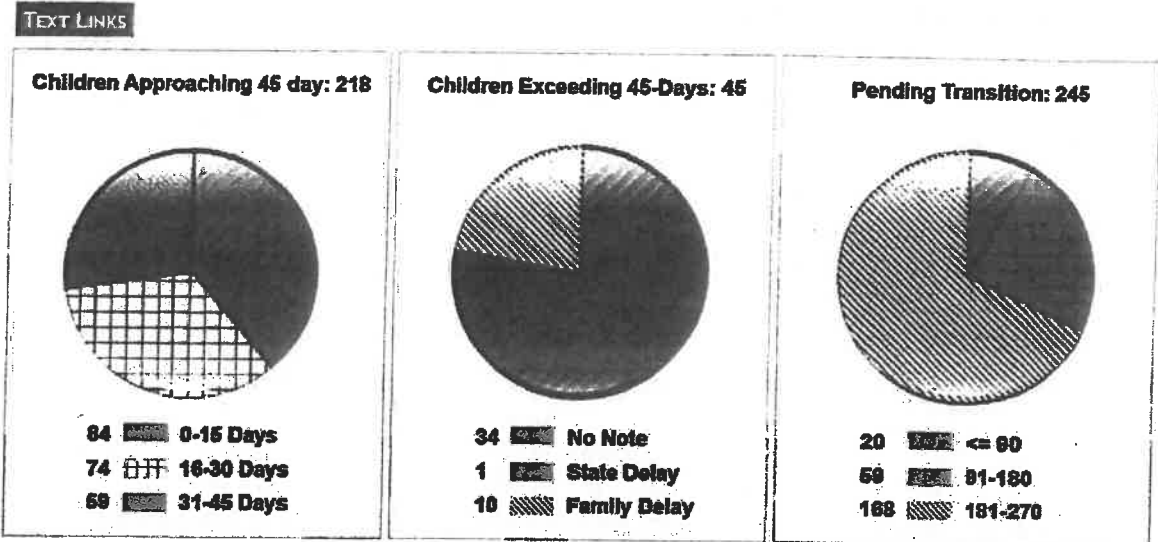
A dashboard in graphic form will be added to display summary information found on the Common Search page within WV BTTOOnline. The Common Search Dashboard provides the ability for the end user to visually identify problem areas needing quick

resolution or provide end users peace of mind that an issue does not exist. The ability to rectify issues early will lead to better overall Annual Performance Reporting (APR) scores. These graphics will be based on several of the Common Searches. Gainwell will work with WV Birth to Three to design the graphics and labels to be meaningful for WV BTTOOnline users. These searches are currently accessible on the Common Searches screen, and including these searches on a dashboard will enable State staff and service coordinators to quickly view statuses and metrics. This functionality will allow them to prioritize tasks and make informed decisions. Gainwell anticipates the Dashboard will be available for training and deployment by May 2026.

Figure 38. Common Searches In WV BTTOOnline

Common Searches	
<u>Most Recently Selected Children</u>	<u>Children Approaching 45 day Timeline</u>
<u>Children Exceeding 45 day Timeline</u>	<u>Pending Transition</u>
<u>Transferred Children</u>	<u>Expiring IFSP</u>
<u>Age 3 Not Terminated</u>	<u>< Age 3 Expired IFSP</u>

Figure 39. Example Graphics for WV BTTOOnline



The graphics will display summary information found in Common Searches. The legend will be tailored to WV Birth to Three. The graphics will display based on User Role. For example, a State user will see overall state metrics and can drill down to the RAU level. The RAU user will see metrics associated with the RAU. A service coordinator or practitioner will see graphics applicable to their User Role such as their caseload. A "Text Links" button will be available to take the end user to the Common Searches page, which can access the individual child records for update.

WV BTTOOnline and Online Claims System (OCS) Updates

Gainwell plans to make the following updates to WV BTTOOnline and OCS. These changes are designed to enhance the user's system experience while also strengthening security. Gainwell anticipates these will be available for training and deployment by May 2026.

- **Color Refresh.** Gainwell will work with WV Birth to Three staff to review color choices available for the application and make overall color updates that are compatible with Section 508C of the Rehabilitation Act.

Figure 40. Refreshed Color Scheme

Summary	Child Summary	
Child Profile	Born 7/6/2024, Female	Active
Family	Referred 8/2/2024	
Diagnosis	IFSP 10/3/2024 - 10/2/2025	Primary Contact
Assessments	Eldest	Copper Band
Planned	Dev. Delay - 2 Areas	1005 NW Lee Cir, MORGANTOWN, WV 26508
Transition	Transition	Mobile (444) 444-4444
Child History	Transition 150 Days: 2/6/2027	Interim Service Coordinator
CDSI	Transition 90 Days: 4/10/2027	Sole Picture
Learn More		Brilliant-rose Things (800) 999-9998
		Ongoing Service Coordinator
		Caret-orange Flag
		Bright-pink Boot

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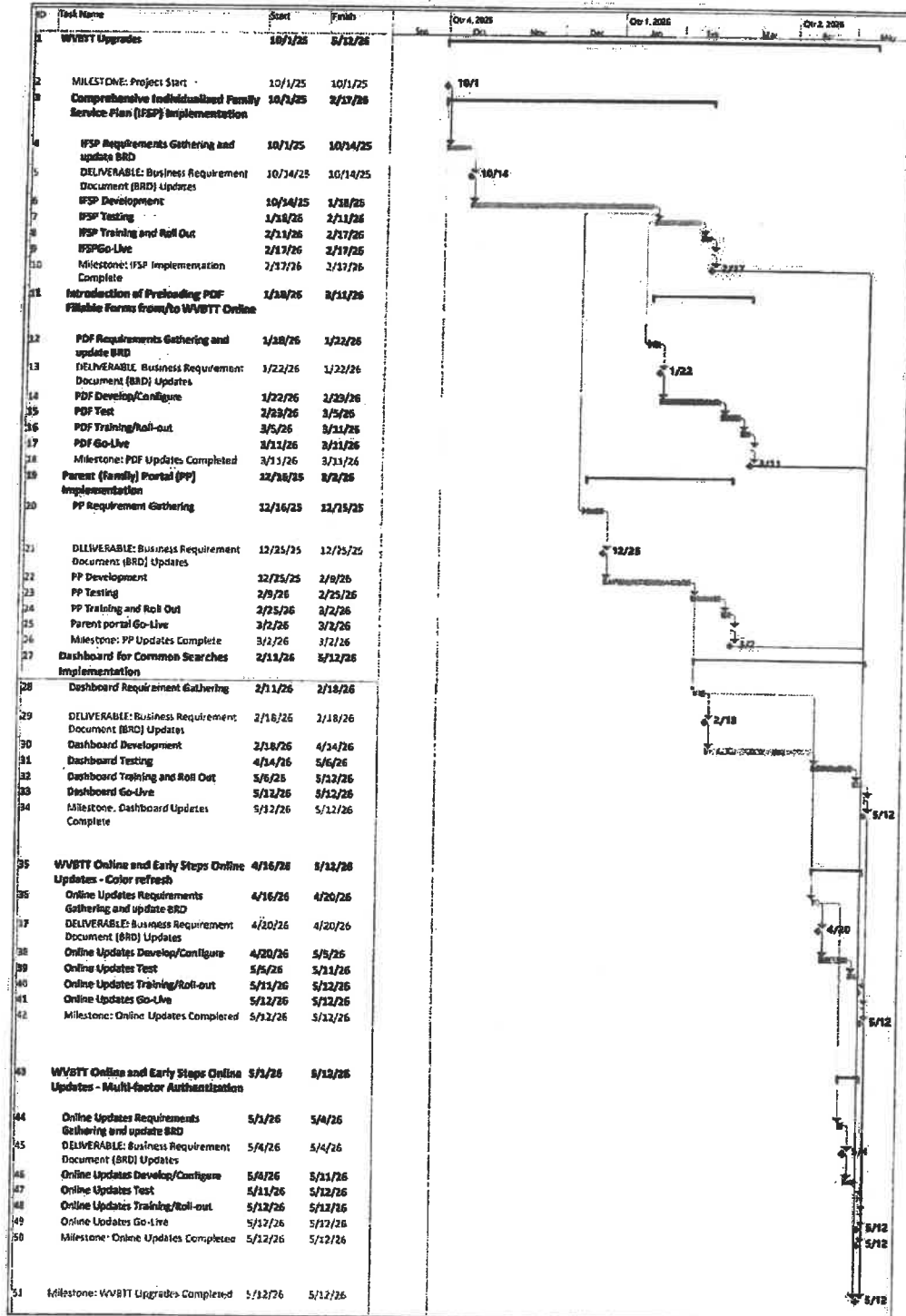
- **Multifactor Authentication.** Multi-Factor Authentication (MFA) is an additional security layer that requires users to enter a unique code when logging into the system. This prevents unauthorized access by adding another level of authentication, even if someone has obtained the login credentials. Gainwell will work with WVBIT to include multi-factor authentication for end users.

Gainwell expects to review this project plan with WV Birth to Three program staff early in the new contract, and then frequently throughout the system enhancement process. WV Birth to Three input to the schedule and priorities will be incorporated before finalizing and approving the project plan.

A more detailed view of the schedule is included below:

Gainwell Response to the State of West Virginia Birth to Three Early Intervention System, CRFP 0506
MCH250000001
April 29, 2025

Figure 41. Detailed Project Schedule



Additional project plan schedule details can be added as the Gainwell and WV Birth to Three program teams conduct planning around specific upgrade components. For example, training activities can be outlined and defined within the plan once appropriate training sessions are scheduled.

The project plan detailed above creates enhancement opportunities that will benefit WV BTTOOnline users and families participating in the WV Birth to Three program. Gainwell is looking forward to reviewing the project plan with WV Birth to Three State staff and tailoring implementation dates to meet the needs of the program.

Gainwell Technology Roadmap

Gainwell maintains a product roadmap and is continually improving our EI products. Gainwell is committed to the continued enhancements of products and suggestions from WV Birth to Three are appreciated. Gainwell evaluates roadmap enhancements regularly and updates the priority of the features as needed. As new features become available in the future, we will present them to the Program for potential adoption into WV Birth to Three. WV BTT will benefit from these product enhancements.

Parent (Family) Portal Roadmap

The following are upcoming items that Gainwell will complete.

- The ability for a family to create an appointment with a service coordinator or practitioner through Parent (Family) Portal
 - The service coordinator or practitioner would need to approve the date and time
- Allow the family to document a complaint or issue that will be sent to WV Birth to Three
- Allow the family to update limited demographic data depending on WV Birth to Three preference

Telehealth

Telehealth will be added to Family Portal and can be added to WV BTTOOnline. Telehealth is a secure communication method between service coordinator/practitioner and families. Telehealth offers flexibility for receiving services, especially for families in remote areas that have a reliable internet connection. The WV Birth to Three may incur changes based on the use of telehealth. The service coordinator and practitioner will access telehealth through BTTOOnline, and the family will access telehealth through Parent (Family) Portal. While we understand that most programs prioritize in-home services, telehealth offers a valuable alternative when in-home services are not feasible for various reasons. This approach provides a means for children to receive timely support and continue to make progress.

Practitioner Service Directory

As part of our roadmap, we are planning to develop a new Practitioner Service Directory, which will include an enhanced user experience when searching for practitioners. This will allow users to enjoy a more modern online experience while researching practitioner options. Practitioners may benefit from enhanced information features allowing them to document their specialties and experience.

Practitioner Enrollment

The new Practitioner Enrollment functionality will allow new and existing practitioners to upload documents and enter limited information. This will eliminate the process of requiring practitioners to email documents to the Practitioner Enrollment team. The new features will allow the Practitioner Enrollment team to track the progress of an enrollment, send out reminders, and provide reports. Gainwell has started the design of this enhancement and is working to develop a solution that supports the existing practitioner enrollment procedures. In addition, Gainwell will work with the WV Birth to Three program staff to explore additional Practitioner enrollment system upgrades and modifications that may accompany new functionality. This upgrade will offer WV Birth to Three staff enhanced visibility into Practitioner Enrollment activities.

Single Sign-On

A single sign-on process will be implemented which will allow WV BTT team members to sign on once and access WV BTOnline, OCS, Family Portal, and other Gainwell products using Gainwell infrastructure. This will simplify the end users access to Gainwell products and appear seamless to the end user.

The Gainwell Project Management Framework (PMF)

Gainwell employs Project Management principles and best practices based on the Project Management Institute's (PMI's) best practices and Body of Knowledge (Poko). Gainwell utilizes Microsoft Project to document and record work plans. The work plan will be maintained in accordance with these best practices and will depict appropriate tasks, milestones, and deliverables involved in the project. Gainwell proposes to review the work plan periodically with the WV Birth to Three program to demonstrate progress and resolve open questions and issues. These processes are incorporated into the day-to-day management for WV Birth to Three and are scaled based on the current enhancements underway.

Gainwell's Project Management Framework (PMF) is aligned to PMBOK Sixth Edition, while considering PMI's more recent introduction of a principle-based delivery model in PMBOK Seventh Edition.

We use project management principles that drive effective project results while allowing flexibility to modify priorities and use principles appropriate for project objectives. Our approach to project management covers the entire lifecycle of the project, with special focus on transparency, communication, collaboration, and coordination. This approach enables the following:

- Consistent use of repeatable, industry-leading processes and documentation
- A common understanding of project responsibilities in the organization
- Consistent monitoring and control of critical tasks
- Effective project management communication and reporting
- Adherence to the project work plan and schedule
- Predictable project performance

By enabling these practices, we address the primary project constraints — cost, scope, schedule, and quality — the constraints that set project limits. These parameters are used to monitor, measure, and achieve success. We define and manage these interdependent constraints together, a concept that we address throughout our project management life cycle and is the governing methodology for our System Development Life Cycle (SDLC).

Time Management

The project plan is the key vehicle by which progress is measured. The specific tasks assigned to each team member and their progress toward completing these activities are objective measures of project status compared to schedule and budget. To capture this information, every member of the project team will record and report the time spent on project activities against time budgeted. In addition, each team member works closely with the Project Manager and provides estimates of the effort remaining on activities not yet completed.

Scope Management/Change Control

The change control procedure is an essential mechanism that can affect the success or failure of a project. This process is the primary vehicle for containing scope and allowing management to make timely tradeoffs between the three key project variables of cost, time, and scope. It is imperative that potential changes are identified early, documented carefully, and resolved at the appropriate levels of responsibility.

Changes are broadly defined as work activities or work products not originally included in the baseline project plan are identified. More specifically, changes will include the following:

- All scope items not listed in the project plan
- Participation in activities not previously included in the project plan
- Provision or development of deliverables not included in the project plan
- Rework of completed activities or previously accepted deliverables
- Investigative work to determine the impact of major changes

To manage change properly, a change control process will be followed to record, assess, and approve changes to the project. The Gainwell Project team and WV Birth to Three will follow this process to classify, approve or reject, and prioritize changes. Change requests must be clearly defined, as to cost and schedule implications, to allow our project team and WV Birth to Three to make appropriate decisions. Our project team will require prior authorization and approval of expenditures by the appropriate WV Birth to Three staff members before work commences on change requests.

In the event of requests for additional deliverables or changes to agreed-upon deliverables, Gainwell will determine where the request falls in the scope of the project plan. For requests outside the scope of the original plan, we will determine the priority of the request in conjunction with WV Birth to Three. Once an agreement is reached between the Gainwell Project team and WV Birth to Three, the request will be added to the scope of the project, and the related effort will be estimated and deliverable dates adjusted as necessary. We are confident in the change control procedures that are in place as they have been successfully utilized over several years and benefit both Gainwell and WV Birth to Three by providing clear communication and responsibilities.

Cost Management

Gainwell uses project management tools, including the project work plan, for establishing the deliverables and milestones to be achieved throughout the course of the project. Activities that lead up to the deliverables/milestones are identified and estimates are made of the time, resources, and costs associated with each of the activities. The activities are sequenced in time order, considering activity dependencies, to form a schedule that predicts when the deliverables will be ready and when the milestones will occur. The PMF methodology, as described within this section of the RFP response, assists our team in adhering to the schedule as it is defined and determines if the project is on time and within budget.

As described in the Scope Management/Change Control process section, it is critical to follow the change control process in place to manage the cost of the proposed system enhancements. This methodology supports the Project Manager and WV Birth to Three in making appropriate decisions to keep the project within scope and budget. Cost management of the project will be controlled and accomplished by identifying changes early, documenting them carefully, and resolving them within the allocated time.

Quality Management

Gainwell understands the importance of internal quality control. In keeping with our uncompromising commitment to quality, Gainwell employs unbiased peer and supervisory reviews of all deliverables. The Project Manager, Database Design Specialist, Lead Programmer, and Quality Assurance Manager conduct structured walkthroughs with the Development team responsible for the completion of the work. The benefits of the structured walkthrough include:

- Avoidance of logic or design problems
- Increased sharing of knowledge among team members
- An enhanced sense of teamwork and ownership

Prior to delivering code to the Quality Assurance team, the development team performs a complete unit test and peer review of the code.

The Quality Assurance team conducts an independent review of all work prior to implementation. Familiarity with the system, both as a whole and at the component level, allows Quality Assurance team members to create insightful test scenarios and verifiable quality plans. The Gainwell team uses an online issue-tracking system, Jira, into which all work effort is logged. Issues uncovered during quality testing are documented in Jira. Following evaluation by the Project Manager, the issue is given a priority status and assigned to one or more team members for resolution. The Project Manager can readily track issues resolved and open by querying Jira by status.

Communication



Communication is an important part of project success and finding the right level of communication that meets the needs of WV Birth to Three and Gainwell is important. Communication must be timely and appropriate. Gainwell understands that the right balance of communication is working well and will remain in place unless WV Birth to Three would like to change this process. This balance respects the busy WV Birth to Three team and allows Gainwell to gather information to continue to serve WV Birth to Three. Gainwell provides a Project/Account Manager who is the focal point for all communication between WV Birth to Three and Gainwell. The team assigned to the WVBTT project, led by Nadine Tyler, has been supporting WV Birth to Three for 21 years and has extensive experience with WV BTOnline and the OCS application. This provides an easy method for project communication. In addition, if escalation is needed, WV Birth to Three has contact information for Gainwell's Account General Manager.

These are the following communication touchpoints:

- **Quarterly Touch Point.** A quarterly touch point meeting is conducted with the WVBTT Contact, Gainwell's Account General Manager, and the Gainwell Project/Account Manager.
 - Items discussed are client satisfaction, changes to any current plans, and upcoming items.

- **Weekly Status Meeting.** A weekly status meeting is conducted that includes the WV Birth to Three team consisting of the Part C Coordinator, Data Manager, CQI Coordinator, Comprehensive System of Personnel Development (CSPD) Policy Specialist, and sometimes Regional TAs. The Gainwell team consists of the Gainwell AM/PM and the Gainwell software engineer assigned to the WVBTT project. Other Gainwell team members are included as needed.
 - Items discussed are the status of current system update items, and any upcoming system updates or operational issues or changes.
- **Daily Communication via Email and Phone.** If any issues arise, WVBTT contacts the Gainwell Project/Account Manager via email and phone. Conversely, the Gainwell Project/Account Manager will contact WVBTT if there is anything that cannot wait until the next scheduled status meeting.
 - Project communication within Gainwell occurs via weekly release meetings and daily standup meetings.
 - The weekly release meeting is held on Monday and includes the Gainwell PM/AM, the Development Manager, the QA Manager, developers, and the Production Support team. During this meeting, any current issues are discussed and either a resolution is determined or a plan for next steps for issue resolution is outlined. Releases are planned during this meeting. Issues are documented in Jira, and tickets for the current and upcoming releases are reviewed. Jira is a tool that tracks issues related to the WVBTT systems from inception to production release.
 - The daily stand-up meeting includes anyone working on deliverables for the WVBTT project. Typically, this would include the Gainwell PM/AM, the development manager, developers, and the quality assurance team. This meeting is held to verify work effort and that all deliverables are on track to be delivered as agreed to with WVBTT.

Project Schedule and Business Requirements Document

The Project Schedule and Business Requirements Document (BRD) will be the primary components Gainwell uses to manage the day-to-day activities of the proposed enhancements. The Project Schedule includes project implementation tasks, milestones, and time frames.

Gainwell will create a BRD for new enhancements detailing the background, objectives, scope, solution approach, constraints, assumptions, business rules, and project completion criteria. The BRD also serves as a traceability document for the development and quality assurance testing of new functionality. Gainwell will request approval of the BRD from WV Birth to Three.

The proposed Project Schedule is shown in Figure 41 above. The schedule is based on a target project start date of October 1, 2025, and details the individual tasks and time frames required to successfully complete the implementation. Also, included in the detailed schedule are milestones to clearly define the completion of project key activities. The proposed Project Schedule will be reviewed during the Project Kick-Off meeting. The schedule will be updated based on discussions and decisions made between WV Birth to Three and Gainwell during the Project Kick-Off meeting.

4.2.2.2 1099s for Practitioners, Service Coordinators, and Payees

Vendor will be responsible for preparing and filing 1099s for enrolled Practitioners, Service Coordinators, and Payees.

Yes, Gainwell accepts this requirement.

Gainwell has been producing and filing Internal Revenue Service (IRS) Form 1099 documents for Early Intervention clients for more than 20 years. Gainwell has established an annual process that begins in the fall when the IRS releases an updated Publication 1220. Gainwell reviews the publication for any changes from the prior tax year and implements required system modifications. These system modifications are completed and tested in a quality assurance environment. The electronic file is then tested with the IRS by the end of December. Beginning in January, Gainwell calculates the payment amounts made to applicable WV Birth to Three payees for the prior tax year.

These payment amounts are included in the Form 1099 document that is produced for all WV Birth to Three payees who were paid more than \$600. The 1099 forms are mailed by the last business day in January. Gainwell creates an electronic file containing the 1099 data for the IRS that adheres to the requirements in Publication 1220. The electronic file is sent to the IRS within the required filing timeline for the tax year.

4.2.2.3 Audit Report

Vendor will provide Agency with an annual Statement of Standards for Attestation Engagements (SSAE) 16 SOC 1 audit report completed by an Independent Certified Public Accounting firm within 60 days of the end of the fiscal year.

Yes, Gainwell accepts this requirement.

Gainwell currently works with an outside audit firm to conduct an annual Statement of Standards Attestation Engagement (SSAE) 18 SOC 1 audit report deliverable to WV Birth to Three within 60 days of the end of the fiscal year. The audit covers Practitioner Enrollment, Claims Processing, Fund Recovery Processing, and Reporting. In addition, Gainwell provides WV Birth to Three with a System and Organization Controls 2 (SOC2) audit report covering the IT Infrastructure Services for the NTT Global Data Centers Americas, Inc. Gainwell is committed to following the rigorous standards tested by the controls within these audits and to provide the information to WV Birth to Three annually.

At a high level, the audit examines:

- **Practitioner Enrollment** – verifies that formal policies and procedures for practitioner enrollment were followed.
- **Claims Entry** – verifies WV Birth to Three defined adjudication rules for claims entered into the system are followed.
- **Claims Processing and Practitioner Payment** – verifies that processes authorized by the director of WV Birth to Three program are followed.
- **Application Changes** – verifies formal policies and procedures for application and system development and maintenance process were followed and the required approvals were documented.
- **User Provisioning** – verifies reviews of external users' access to the secure FTP site and the WV BTOnline application were conducted with the Director of WV Birth to Three program.
- **Fund Recovery Processing** – verifies documented processes regarding eligibility and review of the criteria by which claims are eligible for Medicaid or CHIP reimbursement, including eligible procedures for both submission and re-submission, were followed.
- **Reporting** – verifies required reports were provided to the WV Birth to Three program.

4.2.2.4 Previous Experience Documentation

Vendor will provide documentation of previous experience with complex modular systems such as the ERP

Yes, Gainwell accepts this requirement.

Gainwell has extensive experience designing, implementing, and maintaining complex modular systems. We consider our Early Intervention Solution to be a complex modular system as it contains many separate components that work separately or in a configuration to meet the program's needs. We support the following components for our Early Intervention Solution:

- **Child Case Management** – Collects data associated with the child's enrollment in Early Intervention from referral to transition
- **Practitioner Enrollment** – Collects data related to payee, practitioner, and service coordinator enrollment and credentialing
- **Provider Account Module** – Allows practitioners to view authorization information, enter claims for payment, and adjudicate claims against a set of WV Birth to Three defined rules
- **Practitioner Payment** – Processes adjudicated claims for scheduled payments
- **Fund Recovery** – Evaluates practitioner claims for eligibility and creates HIPAA compliant submission files for Medicaid and CHIP. Functionality includes the ability to import HIPAA compliant remittance advice files
- **Service Directory** – A searchable web application to display information for enrolled practitioners
- **Parent (Family) Portal** – A web application built specifically to help parents securely receive information from WV Birth to Three, provide information to WV Birth to Three, and access information relevant to their child

Gainwell currently supports systems for four State Early Intervention programs. Each program utilizes a different combination of available components to meet the individual program's Early Intervention System needs. WV Birth to Three's current configuration includes Child Case Management, Practitioner Enrollment, Fund Recovery, Service Directory, and the Online Claim Module components. With this solicitation, we are proposing to add the Parent (Family) Portal component to allow enhanced functionality for families to access information and provide information related to their child. We are proposing to enhance components in the current WV Birth to Three solution as part of this proposal. IFSP functionality will be added to the Child Case Management component, WV BTOnline.

In addition to the Gainwell suite of Early Intervention components, Gainwell also knows it is important for states to have the ability to share early intervention data with other state systems, such as an ERP. Our experience includes creating data extract files for states to import specified early intervention data into a separate state system. We currently provide WV Birth to Three a file that includes pertinent practitioner payment information allowing the State to produce practitioner payments. We will continue providing this file as part of the new contract. We understand that the wvOASIS system is currently utilized by West Virginia. Gainwell welcomes discussions with WV Birth to Three to determine if there are opportunities to create additional data extracts that will assist the State in streamlining or creating efficiencies in current processes.

4.2.2.5 Maintenance of Documentation

Vendor will comply with all applicable Federal and State rules, regulations, and requirements governing the maintenance of documentation to verify any cost of services or commodities rendered under this contract by Vendor. Vendor will maintain such records for a minimum of five years and make such records available to Agency personnel at Vendor's location during normal business hours upon written request by Agency within ten days after receipt of request.

Yes, Gainwell accepts this requirement.

Gainwell will maintain documentation regarding cost of services rendered under this contract and will make these records available to Agency personnel at a Gainwell location during normal business hours upon written request by the Agency within ten days after receipt of the request.

4.2.2.6 Private and Confidential Data

Vendor will have access to private and confidential data maintained by the Agency to the extent required for Vendor to carry out the duties and responsibilities defined under this Request for Proposal. Vendor will maintain confidentiality and security of information and data made available and will indemnify and hold harmless the State and Agency against all claims brought by any party attributed to actions of breach of confidentiality by the Vendor, the Vendor's subcontractors, or individuals permitted access by the Vendor. In the event of a non-Vendor breach by non-Vendor employees, non-Vendor subcontractors, or individuals not permitted access by the Vendor, the Vendor shall indemnify and hold harmless the State and Agency only if the Vendor failed to follow its internal security policies and protocol.

Yes, Gainwell accepts this requirement.

Gainwell has demonstrated a longstanding commitment to maintaining the confidentiality and security of private data. The methods Gainwell employs to provide this requirement are discussed in detail in our response to Section 4.2.1.6 - Security and Internal Controls.

4.2.2.7 Continuity of Services

Upon expiration, termination, or cancellation of the contract, Vendor will assist Agency to ensure an orderly transfer of responsibility and/or continuity of services required under the terms of the contract to Agency, or an organization designated by the Agency, if requested in writing. All data, technical information, materials gathered, originated, developed, prepared, used or obtained in the performance of the contract, including but not limited to, all reports, surveys, plans, charts, literature, brochures, mailings, recordings (video and/or audio), pictures, drawings, analyses, graphic representations, software computer programs and accompanying documentation and print-outs, notes and memoranda, written procedures and documents, regardless of state completion, which are prepared for or are a result of the services under the contract, will be and remain the property of the Agency, subject to the terms of any existing contract, memorandum of understanding, or other written agreement to which the Agency or State is a party and which governs the ownership, title, or interest in any software programs or source code relevant to the pre-existing agreements; and will be delivered to Agency or its designee within 30 days' notice by the Agency. With respect to software computer programs and/or source codes developed for the Agency, the work will be considered 'work for hire'. The Agency, not the Vendor or subcontractor, will have full and complete ownership of all software computer programs and/or source codes developed, subject to any limitations set forth in any pre-existing software agreement. However, the Agency and State will grant the Vendor a perpetual, non-exclusive, worldwide, royalty-free license to re-license the work-for-hire to other governmental entities or agencies. To the extent that any such materials may not, by operation of the law, be a work made for hire in right, title, and interest in and to any such material, and the Agency will have the right to obtain and hold its own name and copyrights, registrations, and any other proprietary rights that may be available. Should the Vendor anticipate bringing pre-existing intellectual property to perform any of the services required under the contract into the project, the intellectual property must be identified in the bid proposal or identified in writing to the Agency within 10 days after the bid award. Otherwise, the language in the first paragraph of this section shall prevail. If the Vendor identifies such intellectual property in its bid proposal, then the property owned by the Vendor on the date of the contract, as well as any modifications or adaptations thereto, shall remain the property of the Vendor. Upon contract award, the Vendor shall grant the Agency a perpetual non-exclusive, royalty free license to use any of the Vendor's intellectual

properly delivered to the Agency for the purposes contemplated by the Contract. The Vendor shall continue to provide any part or all of the services in accordance with the terms and conditions, requirements, and specifications of the contract for the period not to exceed 120 calendar days after the expiration, termination, or cancellation date of the contract for a price not to exceed those prices set forth in the contract.

Yes, Gainwell accepts this requirement. Gainwell will collaborate with WV Birth to Three to provide an orderly transfer of responsibility and/or continuity of services required under the terms of the contract to the Agency, or an organization designated by the Agency, if requested in writing.

4.2.2.8 CFO Structure

Vendor will have a fully functional CFO structure within 30 working days following contract award.

Yes, Gainwell accepts this requirement.



As the incumbent vendor, this will be a seamless transition with zero disruptions, and transition activities to implement a new CFO will not be required. Gainwell has the unique opportunity to continue all CFO operations with no interruption in services with the award of

this contract. Gainwell currently has the system and processes in place allowing us to meet WV Birth to Three's requirements for a fully functional CFO structure on Day One. We will continue hosting and maintaining WV BTOnline, allowing WV Birth to Three users to process referrals and eligibilities, issue authorizations for services and evaluations, monitor timelines, and produce reports. The Online Claims System (OCS) will remain in place allowing agencies, practitioners, and service coordinators to enter claims, view their Explanation of Payment (EOP), and produce reports. The Practitioner Service Directory will remain in place to allow practitioners access to important forms and documents, allow State users to send email communication messages, and allow families to search for a practitioner. Additionally, we will continue our operational processes for practitioner enrollment and credentialing, mailing authorizations, claims entry and adjudication, Medicaid and CHIP eligibility and billing, Call Center support, and other fiscal and operational activities. All the listed services will remain live and fully operational on Day One of the new contract.

In addition to the ongoing system and services, Gainwell is prepared to implement additional functionality as outlined in the Proposed Plan for Gainwell's Investment in WV Birth to Three (WVBTT) Systems and Technology section found in Section 4.2.2 Mandatory Project Requirements.

4.2.2.9 Employee Qualifications

Agency will retain the right to reject any of the Vendor's employees whose qualifications, in the Agency's judgment, do not meet the expectations established by the Agency as necessary for the performance of services. In considering Vendor's employees' qualifications, Agency will act reasonably and in good faith.

Yes, Gainwell accepts this requirement.

As the Incumbent vendor, this will be a seamless transition with zero disruptions. Gainwell staff currently servicing WVBTT will continue. In addition, Gainwell employs a cross-training program to provide continuous support in the event a current staff member is not available. In the unlikely event that a replacement is not acceptable to the Agency, additional resource choices will be provided.

4.2.2.10 Cost Sheet Preparation

Cost Sheet Preparation: To establish methodology and documentation requirements for reimbursement of vendor activities.

Yes, Gainwell has complied with this requirement by providing a fixed startup cost.

4.2.2.10.1 Fixed Cost

Vendor will provide a fixed cost associated with start-up of the current SPOE, service matrix directory, and CFO functions.

Yes, Gainwell has complied with this requirement by providing a fixed startup cost. Please refer to our cost proposal for details.

4.2.2.10.2 Yearly Operating Costs

Vendor will calculate total yearly operating costs for maintenance operation of all CFO functions and submit a fixed per paid claim line amount by which Agency will reimburse vendor. Paid claim lines are those claims that the Vendor processes on behalf of the Agency as payable to enrolled Payees. An estimate of annual paid claim lines based on past history is provided on the Cost Sheet. Postage may be invoiced as a pass-through cost with supporting documentation.

Yes, Gainwell has complied with this requirement by proposing a fixed cost per claim line. Please refer to our cost proposal for details.

4.2.2.10.3 Per Hour Cost

Vendor will provide a per hour cost for ongoing system modification work. An estimated pool of 8,000 hours will be available for ongoing system modifications.

Yes, Gainwell has complied with this requirement by proposing an hourly cost for system modifications. Please refer to our cost proposal for details.

4.2.2.10.4 All-Inclusive Hourly Cost

Vendor will provide an all-inclusive hourly cost for training.

Yes, Gainwell has complied with this requirement by proposing an all-inclusive hourly cost for training. Please refer to our cost proposal for details.

4.3 Qualifications and Experience

RFP Reference: 4.3

Vendor should provide information and documentation regarding its qualifications and experience in providing services or solving problems similar to those requested in this RFP. Information and documentation should include, but is not limited to, copies of any staff certifications or degrees applicable to this project, proposed staffing plans, descriptions of past projects completed (descriptions should include the location of the project, project manager name and contact information, type of project, and what the project goals and objectives were and how they were met.), references for prior projects, and any other information that vendor deems relevant to the items identified as desirable or mandatory below.

Gainwell is pleased to have served WV Birth to Three (WVBTT) for 21 years and is committed to providing an experienced and committed team to serve the program, its families, practitioners, and staff. In the following subsections, we describe the experience and skills our proposed team continues to bring to WVBTT.

4.3.1 Qualification and Experience Information

4.3.1 Vendor should describe in its proposal how it meets the desirable qualification and experience requirements listed below.



Gainwell proposes a **proven team** of highly qualified individuals to provide services to WVBTT. These individuals understand the current environment, processes, and direction West Virginia would like to move toward, as well as some of the challenges the program

faces. Gainwell has a well-established professional business services team. The Gainwell team has extensive experience in supporting Early Intervention (EI) automated systems. Gainwell uses this expertise to provide project management, along with a team of developers, quality assurance analysts, and production support staff to train and support the WV Birth to Three program. Gainwell also has a robust Central Finance Office staff comprising customer service representatives and practitioner enrollment and help desk technicians servicing the WVBTT program.

4.3.1.2 Key Personnel Job Responsibilities

Vendor should provide key personnel job responsibilities including workload and lines of supervision.

The following table lists our proposed management team including the key personnel: As portrayed in the table below, Gainwell has an experienced and knowledgeable key personnel staff with an average 16 years' experience in Early Intervention solutions, an average of 34 years' experience in information technology (IT) solutions, and an average 21 years in web-based implementations. This team, along with the rest of the staff, has been supporting WV Birth to Three for more than 20 years. The table lists staff experience, project role, and the percentage of time allocated to this project. The organization chart in Section 4.3.1.4 indicates the lines of supervision.

Experience and continuity

On average, our team has...

- **16 years** in EI and CFO
- **34 years** in IT
- **21 years** in web-based solutions

...and has served WV Birth to Three for **more than 20 years**.

Table 6. Details of Project Team

Experience in Number of Years						
Staff (* denotes key personnel)	% of Time Allocated to This Project	Project Role	IT Solutions	EI Solutions	Web-based Implementations	CFO
Nadine M. Tyler*	100%	Project Manager	38	24	20	24
Wayne McGuire*	20%	Database Design Specialist	38	25	22	26
Vasudevan Sethumadhavan*	10%	Hardware Specialist	25	16	20	5
Maurice (Mo) Fanty*	25%	Lead Programmer	32	22	28	22
Stewart Mallett*	50%	Medicaid/Fund Recovery Specialist	37	8	15	8
Sapthagiri Chakravarthy	15%	Quality Assurance Manager	15	12	15	12
Karen Ratterree	20%	Operations Manager	28	17	15	15
Victoria Green	90%	Senior Associate, Practitioner Enrollment	11	11	9	8
Suzanne Page	25%	Help Desk Technician	40	24	24	24

4.3.1.3 Staff Job Descriptions

Vendor should provide job descriptions of all staff allocated to this project that includes:

- 4.3.1.3.1 Percentage of time allocated to this project
- 4.3.1.3.2 Specific duties allocated to this project
- 4.3.1.3.3 Educational level
- 4.3.1.3.4 Training
- 4.3.1.3.5 Experience
- 4.3.1.3.6 Specialized skills

As the RFP indicates in Section 4.1, WVBT uses a CFO structure to meet federal requirements and State oversight responsibilities, where the CFO maintains the servers housing the child/family data system, practitioner enrollment, payee claims adjudication, and submission

of WVBTT fund recovery. WV BTOnline, OCS, and the Service Directory are integral to this CFO structure. The CFO carries out a variety of responsibilities:

- Posting electronic authorizations for practitioners and service coordinators in the OCS
- Providing WVBTT with a backup of child/family website data for upload to a WVBTT server
- Reviewing and approving enrollment for qualified service coordinators and practitioners and their payees per Agency/WV Birth to Three policies and procedures
- Processing claims for delivered services, notifying payees of status, and submitting weekly payment file to the Agency; we processed approximately 287,000 claim lines in 2023
- Matching eligibility files; preparing and submitting fund recovery on behalf of WVBTT to Medicaid and CHIP as well as other Agency-required fund recovery activities, and regular reporting
- Maintaining online Service Directory of enrolled service coordinators and practitioners, and a statewide email system for enrolled practitioners, service coordinators, and payees

Unmatched CFO experience

Gainwell is the **only vendor** that has as much WVBTT-specific CFO knowledge and experience among its key personnel and CFO staff.

No other vendor can offer anything close to the level of CFO experience and knowledge — much of it related specifically to WVBTT — that our Gainwell key personnel and CFO staff continue to bring to the Agency and WV Birth to Three.



Deep Knowledge
of WV EI-Specific
Processes

- Our proposed key personnel have an average of **16 years** of CFO experience, with several members having **24 to 26 years**.
- Our CFO operational staff members have an average of **more than 11 years** of EI solutions experience.
- Gainwell operates as the CFO for most of its EI clients' programs.

The table below lists our proposed CFO Operational staff. The table lists staff experience in EI, project role, and the percentage of time allocated to this project.

Table 7. Details of CFO Operational Staff

Staff	Percentage of Time Allocated to this Project	Project Role	Early Intervention Solutions
Michael Osborne	5%	Practitioner Payment/Reports	15
Richard Wojnarowski	2%	Practitioner Payment/Reports	11
Heather Mains	5%/15%	Practitioner Enrollment/ Customer Service Representative	15
Victoria Green	85%/15%	Practitioner Enrollment/ Customer Service Representative	8

Staff	Percentage of Time Allocated to this Project	Project Role	Early Intervention Solutions
Christina Jones	10%/25%	Practitioner Enrollment/ Customer Service Representative	10
Suzanne Page	25%/15%	Help Desk Technician/ Customer Service Representative	24
Kaileen Wilson	25%/15%	Help Desk Technician/ Customer Service Representative	16
Ebone Moore	20%/15%	Help Desk Technician/ Customer Service Representative	8
Suzette Yonker	13%	Help Desk Technician	7
Sheila Harris	5%	Help Desk Technician	6
John Davis	12%	Help Desk Technician	7
Malinda Beasley	17%	Financial Operator – Medicaid/CHIP	13

Gainwell has provided the requested information for Sections 4.3.1.3.2 to 4.3.1.3.6 and applicable staff certifications in Attachment A – Detailed Response to Section 4.3.1.3 of this proposal. This attachment section contains the details for each Gainwell team member we propose to support the WVBTT project. Details include the individual's specific job duties, education, training, experience, EI experience, and specialized skills.

4.3.1.4 Organization Chart

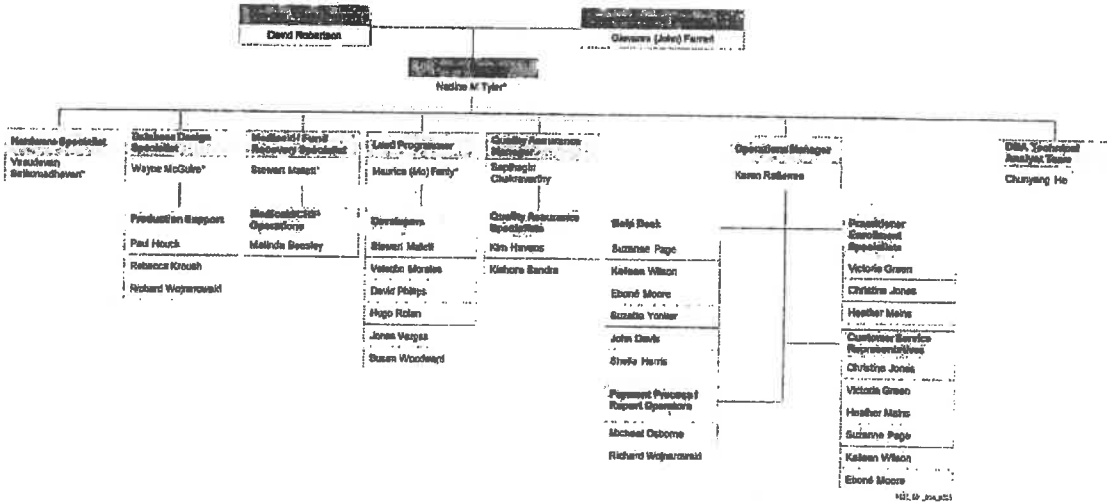
Vendor should provide an organization chart identifying all staff, job titles, and job duties.



Our delivery team for WVBTT is organized for maximum collaboration, responsiveness, and efficiency, taking advantage of lessons learned over our years of serving the WVBTT program. The Agency benefits from our leadership team's clear lines of reporting and responsibility, and executive oversight stays closely in touch with the team's daily work as well as when escalation is needed to resolve issues. Project Manager Nadine Tyler is the Agency's single point of contact and the liaison between our executive leaders, appropriate Agency counterparts, and her direct-report team leaders — so that we continually keep the Agency well informed through both formal and informal communication.

Gainwell has provided its organization chart in the following figure. Details including the individual's specific job duties, education, training, experience, EI experience, and specialized skills are provided in Attachment A – Detailed Response to Section 4.3.1.3 of this proposal.

Figure 42. Organization Chart



4.3.1.5 Customer References

Vendor should provide a minimum of two customer references for similar projects within the past two years. References should include organization name, contact person, email address, and telephone number.



Gainwell's references meet the RFP requirement for similar projects within the past two years, and like WVBT, our referenced projects reflect a long-standing commitment and record of success with these EI clients. They also show how we have journeyed with these

clients to modernize and equip their EI solutions for changing needs and increasing demand. We have provided these clients with continuity, stability, and low-risk service while looking ahead for appropriate opportunities for innovation and optimization — as we continue to do for West Virginia.

Table 8. State of Louisiana, Louisiana EarlySteps

Reference #1 – State of Louisiana, Louisiana EarlySteps	
Organization Name	State of Louisiana, Louisiana EarlySteps
Contact Person Name and Title	Caroline Nailor-Oglesby, Director, EarlySteps
Email Address	caroline.oglesby@la.gov
Telephone Number	225.342.8853
Project Dates	2003 to Present
Description of Services Provided	Since 2003, Gainwell's software and services have helped Louisiana serve a caseload of more than 6,000 children and their families in the EI program. In 2017, the legacy system in Louisiana migrated to the web-based Case Management application, EarlySteps Online.

Reference #1 – State of Louisiana, Louisiana EarlySteps

Gainwell currently accepts LA EarlySteps provider claims on paper, online through the Provider Service module, or via HIPAA-compliant EDI claiming. Gainwell adjudicates provider claims based on program-specific adjudication edits. Gainwell performs a payment process that generates payments to providers via checks or EFT for the claims submitted and paid during the statement period.

Gainwell calculates, generates, and mails IRS Form 1099 to payees receiving reportable income during the tax year based on IRS guidelines. Gainwell also submits an electronic tax file to the IRS for payees with reportable income during the tax year.

Gainwell provides LA EarlySteps with a broad range of fiscal and operational services that meet the full spectrum of the program's needs. These additional services include provider enrollment and credentialing, Medicaid eligibility request and response processing, prior authorization processing, reporting and data analysis, call-center support, and other fiscal and operational activities.

Table 9. Missouri Department of Elementary and Secondary Education, First Steps

Reference #2 – Missouri Department of Elementary and Secondary Education, First Steps

Organization Name	Missouri Department of Elementary and Secondary Education, First Steps
Contact Person Name and Title	Sara Ruediger, First Steps Program Manager
Email Address	Sara.Ruediger@dese.mo.gov
Telephone Number	573.751.3559
Project Dates	2001 to Present
Description of Services Provided	<p>Since 2001, Gainwell has been engaged with the Missouri Department of Elementary and Secondary Education (DESE) First Steps program, providing comprehensive business process outsourcing for the program. During those 24 years, the program's data system and fiscal management have evolved from a standalone software application to the current comprehensive web-based application, WebSPOE.</p> <p>WebSPOE houses a child's information from referral to transition, documenting important EI milestones including eligibility, evaluations/assessments, IFSP, service authorizations, and transition activities. WebSPOE enables authorized Missouri First Steps service providers to perform multiple tasks online. Providers may view authorization details, including method, intensity, and location. In addition, practitioners can submit claims for authorized services. When the practitioner enters claims, they can view the claim processing adjudication detail before the submission of the claim. Gainwell submits eligible claims to Medicaid and private insurance in an 837 file, and remittance advices are received from Medicaid via an 835 file. Medicaid payments are directly routed to the state program. Private insurance remittance advices are also received via an 835 file.</p> <p>Gainwell performs CFO activities such as the administration of practitioner enrollment in accordance with the Missouri First Steps State Plan requirements and personnel standards, Family Cost Participation statements and remittance processing, and operation of the help desk for SPOEs, practitioners, and families.</p>

4.3.2 Mandatory Qualification/Experience Requirements

The following mandatory qualification/experience requirements must be met by the Vendor as a part of its submitted proposal. Vendor should describe how it meets the mandatory requirements and include any areas where it exceeds the mandatory requirements. Failure to comply with mandatory requirements will lead to disqualification, but areas where the mandatory requirements are exceeded will be included in technical scores where appropriate. The mandatory qualifications/experience requirements are listed below.

Gainwell is pleased to have served WVBTT for 21 years and is committed to providing a familiar, experienced, and committed team to serve the program, its families, practitioners, and staff. In the following sections, we detail how we meet or exceed each mandatory qualification and experience requirement.

4.3.2.1. Key Personnel Qualifications

Vendor shall commit a dedicated, high-skilled core team of key personnel to conduct the functions and duties of the CFO. Key personnel should include the following, all of which should have a minimum of two years' experience working in their respective positions and a minimum of two years' experience working with early intervention systems.



The Agency will notice many familiar names among our proposed Key Personnel, but as important as this continuity is, the core value this team provides is its **wealth of familiarity with WVBTT's needs, objectives, processes, and people**. Selecting the Gainwell

WVBTT team means **no transition risk, no disruptions, and no transition cost** for West Virginia. And as Section 4.1 of our proposal demonstrates, along with this valuable continuity comes a **distinct advantage that exceeds requirements** — a robust roadmap of potential enhancements to meet changing technological and workload factors, all with the goal of delivering excellent EI processing and service to WVBTT and the families it serves — without learning curves, added expenses, or interruptions. The team you know and depend on continues to work with you on meeting both current and future objectives.

4.3.2.1.1 Project Manager

An experienced Project Manager oversees all aspects of the Gainwell relationship with the WVBTT program. Gainwell proposes Nadine M. Tyler to continue as the WVBTT Project Manager. As the current Project Manager, Ms. Tyler has intimate knowledge of the WV BTOnline system and has 20 years' experience managing and directing the WV BTOnline system efforts. The Project Manager serves as the primary client contact, and continues to conduct regularly scheduled phone meetings, and is available for an annual site visit as requested by the Agency.

Continuing to leverage Ms. Tyler's experience will provide WVBTT with program continuity. Ms. Tyler is extremely knowledgeable regarding WVBTT procedures, CFO operations, SSAE 18 SOC 1 audit standards, and WVBTT program nuances, such as Medicaid/CHIP billing activities. She is also well versed in insurance submissions and claims should WVBTT decide to incorporate that function into the program. There is no need to re-familiarize a new Project Manager with the details of the WVBTT program.

The Project Manager also:

- Collaborates with team members and stakeholders to anticipate and manage changes to projects, such as technical requirements, business requirements, and schedules

- Determines when additional resources are needed
- Identifies or gathers information regarding possible solutions that may create additional, different, or unique project objectives or results
- Manages Gainwell internal and WVBTT expectations and balances the needs of each to achieve satisfactory solutions for all parties
- Oversees day-to-day CFO activities
- Supervises delivery of the SSAE 18 SOC 1 audit report and verifies that audited processes are complied with throughout the organization
- Coordinates with technical staff planning and solutions preparation
- Manages the delivery of enhancements and fixes for on-time and within-budget delivery
- PM also works closely with the Product team to provide input on the roadmap for future product enhancements

4.3.2.1.2 Database Design Specialist

Gainwell proposes Wayne McGuire as the Database Design Specialist. Mr. McGuire is an IT professional with more than 35 years' experience with the entire project development process, from writing project specifications through design, programming, testing, implementation, and final user documentation and training. Mr. McGuire works directly with the WV Birth to Three staff to understand their business processes and analyze and advise them on all aspects of WVBTT's effort to recover funds for the program. Mr. McGuire has performed multiple roles during his 25-year career with Gainwell including Senior Technical/Data Analyst, Senior Business Analyst, Conversion Lead, Senior Programmer/Analyst, and Lead Programmer. He specializes in Visual Basic, SQL Server, Universe Basic, QicBasic, and MTB Basic, and has experience with VB .Net. Mr. McGuire has substantial experience in HIPAA EDI X12 transactions, health care claims processing systems, banking systems, billing systems, order processing, inventory control systems, and report generation processes. As a developer and analyst, he is experienced in all aspects of the Gainwell Early Intervention software systems, including both user interfaces and back-end processes.

As the Database Design Specialist, Mr. McGuire will apply data analysis/data modeling techniques to establish, modify, or maintain data structures and associated components (entity descriptions, relationship descriptions, and attribute definitions). He will validate processes, monitor the database components, and provide logical and physical database design support to other members of the WVBTT project team.

Mr. McGuire was the lead designer and developer for the initial Gainwell Fund Recovery systems and will continue to analyze claims data and advise both developers and management on all aspects of the Gainwell Fund Recovery systems. WVBTT will continue to benefit from Mr. McGuire's extensive experience in Medicaid and CHIP.

4.3.2.1.3 Hardware Specialist

Gainwell proposes Vasudevan Sethumadhavan as the Hardware Specialist. Mr. Sethumadhavan has more than 25 years of experience in IT infrastructure management and support, and 16 years of experience providing IT infrastructure support for the EI programs. He has extensive knowledge of Microsoft operating systems, database servers, and application software. He currently oversees the day-to-day technical infrastructure responsibilities for Gainwell's projects administered for EI and WIC and leads a team of highly skilled IT system

administrators. He oversees the support and implementation of the development, testing, User Acceptance Testing (UAT), and production systems.

Mr. Sethumadhavan has overseen the implementation of the entire WV Birth to Three hosted environment at the Gainwell hosting facility, as well as the implementation of the current disaster recovery (DR) environment. His familiarity with these installations makes him invaluable to Gainwell and to the WVBTT program. This value is evidenced by the strong track record of system availability enjoyed by the WV BTTOOnline application.

As the Hardware Specialist, Mr. Sethumadhavan will provide hardware recommendations and assist in identifying software and operating systems required for new deployments. He will assist with planning for both system needs and networking requirements, and configuring and optimizing servers. Mr. Sethumadhavan will also lead and coordinate the maintenance of complex data hardware systems and investigate and resolve complex network and hardware matters.

As the main architect of all of our technical infrastructure supporting multiple clients, Mr. Sethumadhavan was key to a successful migration to the new data center environments. These new environments have had a complete hardware refresh (servers, network, storage, and backup technologies) as well as hypervisor management. These new environments have been architected with industry-leading components and built-in redundancy — providing high levels of performance and security.

4.3.2.1.4 Medicaid/Fund Recovery Specialist

Gainwell is proposing Stewart Mallett as the Medicaid/Fund Recovery Specialist. Mr. Mallett has more than 35 years of experience designing and developing databases and software solutions. He has performed multiple roles during his career including technical team lead, senior programmer/analyst, and senior software engineer. Mr. Mallett is a full-stack Web-based systems developer and has spent the last nine years working on the WV Birth to Three project.

Mr. Mallett currently serves as a Senior Professional Programmer Analyst and is the proposed Medicaid/Fund Recovery Specialist. As part of his current position, he was responsible for the following:

- Developed front end application for automating the WV Birth to Three fund recovery process
- Developed and maintained software for all the state web-based EI data systems. Work has included the development of user application web pages and back-office automated functionality
- Data reporting and analysis: created and enhanced numerous SQL Server Reporting Service reports for several state EI clients

The technical environment he has worked in includes Visual Basic 6, Visual Studio 2003 – 2022 (ASP.NET, VB.NET, .NET Core, C#), SQL Server, COM, COM+, ADO, VB Scripting, JAVA Script, SSIS, SSRS, and BizTalk.

As the Medicaid/Fund Recovery Specialist, Mr. Mallett possesses knowledge of funding sources, such as Medicaid, CHIP, and private insurance, for Early Intervention services. In this role, he advises database and application program developers on fund recovery requirements necessary to properly and efficiently construct and submit healthcare claims to the various funding sources. Mr. Mallett's experience allows him to identify where deeper analysis of claims is necessary to rectify claims being unnecessarily denied by the various funding sources.

By utilizing Mr. Mallett in the position of Medicaid/Fund Recovery Specialist, Gainwell is providing continuity of knowledge gained from many years of EI application and Fund Recovery support.

4.3.2.1.5 Lead Programmer

Gainwell proposes Maurice (Mo) Fenty as the Lead Programmer. Mr. Fenty has more than 30 years of programming experience and has been a member of the Gainwell Early Intervention team for the past 21 years. He oversees Early Intervention projects and supervises the work of his direct reports, having overall responsibility and accountability for the development efforts for Early Intervention projects from inception to completion. He is responsible for project estimation and plan activities, reviewing and tracking application performance, and integrity of the system. Mr. Fenty audits system activities to make sure the performance meets current standards and procedures. He has performed multiple roles during his career including software development manager, development lead, product architect, product analyst, advisory programmer/analyst, senior software engineer, software engineer, and programmer/analyst. Mr. Fenty specializes in client/server and Web-based systems with substantial experience with Early Intervention and WIC.

Mr. Fenty has been a key contributor to many initiatives in West Virginia, including the implementation of WV BTOnline and the development of the new Fund Recovery application. He is also a subject-matter expert on the Provider Account Module that Gainwell proposes to implement early in the new contract cycle. Leveraging Mr. Fenty's experience in this area offers clear benefits to the WVBTT program and its stakeholders.

As the Lead Programmer, Mr. Fenty:

- Reviews software and data issues reported by the client and operations staff
- Codes, tests, debugs, implements application code, and creates appropriate technical documentation
- Designs systems to meet business needs and prepares detailed specifications from which projects are developed and coded
- Meets required project standards and technical specifications
- Performs technical analysis and component delivery
- Gathers information from existing systems and assists the Project Manager in preparing time estimates and justifications for assigned tasks
- Supervises direct reports, assigns tasks, manages workload, and monitors day-to-day activity to provide direction to team members and supporting organizations
- Works closely with the EI Project Managers and leadership to develop roadmap for future product enhancements

4.3.2.2 Years of Experience

Vendor shall have at least five years of experience working with early intervention systems and similar Central Finance Office operations.

For more than two decades, Gainwell has been fortunate to collaborate with six different states and one major city/municipality's EI/Birth to Three program to implement a comprehensive solution and operate as the CFO for most of these programs. **No other vendor brings the level**

of knowledge Gainwell offers regarding Birth to Three regulations, experience in early intervention data system design and implementation, effective management of claims payment, proven practitioner enrollment and credentialing processes, and collaborative work with other programs, such as Medicaid, to perform fund recovery activities. Gainwell also brings to this engagement **15 years of flawless SSAE 18 SOC 1 audits, with no exceptions or findings.**

Case Management

Gainwell provides our current online EI Case Management system, WV BTTOOnline, to West Virginia. Two other EI clients use a similar Case Management system. The EI Case Management system is a modern, secure, web-based application that supports real-time access and record maintenance by system users. Supporting a variety of user roles and automating the full life cycle of child activity from Referral to Transition, WV BTTOOnline supports the technical requirements for the WVBTT program. Gainwell's solution offers functionality and reliability in the online system that has been proven in production for more than 11 years. Monitoring and compliance features use real-time data and actively manage federal and state requirements.

Gainwell has added a bulk load document option to BTTOOnline at the request of WV Birth to Three. This new capability allows the user to upload several documents (bulk upload) into different child records based on specific information in the document. This function also saves the documents to the appropriate child library folders making it easy for the State, service coordinators, and practitioners to access documents when providing a service to or compliance reporting for a child.

Gainwell knows from experience that there can be subtle differences between EI programs across State Lead Agencies and as such developed the Case Management component of WVBTT Online with the flexibility to accommodate those differences. Our systems are built to fully support program operations, uphold the principles of IDEA, and incorporate compliance with Part C.

Billing and Claims



Gainwell has current and relevant billing and claims experience for WV Birth to Three using the Online Claims System (OCS). This system makes it convenient for practitioners and service coordinators to enter real-time claims for each service provided to

their children. Users entering claims in OCS can see real-time adjudication of their claims allowing them to make any changes to their claims, if needed, whether it be number of units, amount billed, or date of service, prior to the payment process. Gainwell also provides a means for electronic claims (electronic data interchange, or EDI) to be uploaded into the system to be paid during the weekly payment cycle. We also perform this function in each of the other four EI states we serve. Gainwell has performed financial reimbursement activities for several state Part C programs for more than 20 years and continues to design and develop systems that are optimized to recover revenue efficiently from the program's various funding sources. We have financial reimbursement experience with multiple types of potential Part C revenue sources, including:

- Medicaid
- CHIP
- TANF
- CSHCN – Title V
- Private Insurance
- State General Funds

The Gainwell EI system contains a financial component for processing eligibility requests and responses, submitting claims to funding sources, and processing the resulting remittance advice data. The Fund Recovery component interfaces with BizTalk Server to create and/or read HIPAA compliant X12 EDI files. BizTalk Server includes native functionality providing support for HIPAA file formats. It includes the EDI components and capabilities that are required to comply with the HIPAA mandates.

Practitioner Enrollment and Credentialing

Gainwell has current and relevant practitioner enrollment and credentialing experience in West Virginia. Since 2003, we have assisted each practitioner on a personal level to complete the enrollment process. We have an experienced enrollment department with more than 15 years' experience specifically trained to know the requirements for each specialty providing services for WV Birth to three children. Monthly reports are created to assist with annual credentialing of these practitioners. Our experienced enrollment team is able to review the enrollment documents, check for accuracy, QA the process, and enter the practitioners in advance of the SLA timeline. In addition, practitioners, service coordinators, and families have access to our help desk technicians who respond to calls immediately. The members of the help desk team have been with Gainwell an average of eleven years (ranging from 6 years to 24 years) providing WV Birth to Three knowledgeable and personalized support. We conduct practitioner enrollment and credentialing activities for many Part C programs including Missouri, Louisiana, and Georgia. We utilize a back-end tool to accept and manage practitioner data that is stored in the EI database. Gainwell is working to complete a new online Practitioner Enrollment application to assist new practitioners and re-credentialing practitioners with the ability to upload documents directly to the provider enrollment team. Practitioner data is used to authorize services to practitioners, validate actual services delivered for invoicing purposes, and evaluate regional coverage of practitioner specialties.

Fund Recovery Experience



Unmatched Expertise
in Compliance &
Reporting

Gainwell has extensive experience in recovering funds for EI programs. Duties include the analysis of fund recovery claims, remittance advice data, resubmission activities, and problems encountered in the fund recovery process. We are also responsible for designing and implementing analysis reports. Our current Fund Recovery component is being successfully used in Missouri, Louisiana, and West Virginia EI programs.

Gainwell submits eligible claims to Medicaid and private insurance in an 837 file, and remittance advices are received from Medicaid via an 835 file. Medicaid payments are directly routed to each state program. Private insurance remittance advices are received via an 835 file or on paper, which is entered into the fund recovery system. We are well versed in the 837/835 processes and perform them successfully.

Gainwell calculates family cost share fees based on the specific guidelines for each individual state program. Family cost-share statements are calculated and mailed monthly. Gainwell accepts and processes cost participation payments.

Since 2004, we have helped WVBTT submit more than 2.5 million Medicaid claims representing more than \$263 million in services provided to West Virginia children.

Related to West Virginia CHIP, since early 2011, we have submitted more than 107,000 claims representing more than \$11 million in services.

Based on an EI-determined schedule, the Fund Recovery component evaluates potentially eligible practitioner claims to determine which claims can be billed for reimbursement to each funding source — Medicaid and/or CHIP. The funding source evaluation order is configured within the system. Potentially eligible practitioner claims are evaluated by a series of “rules,” or data edits, that are specific to the given funding source. The rules evaluate many factors including the EI program’s business rules for the funding source, family consent, child eligibility, service definitions, and service practitioner eligibility, credentials, and National Provider Identifier (NPI). Similar rules and database tables are used to control the flow of each practitioner’s claim through the Fund Recovery system, and to determine the point at which the practitioner’s claim will be evaluated for the next funding source. Practitioner claims that fail a rule are noted in a database table and will be available for reporting and analysis. For practitioner claims that pass the evaluation rules, the Fund Recovery component retrieves from the database the data necessary to create HIPAA-compliant 837P Health Care Claim transactions. The individual 837P transactions are consolidated into one or more files, and the files are submitted to the appropriate funding source via their EDI interface.

Gainwell has more than 15 years of experience in exchanging HIPAA-compliant X12 EDI files for private insurance claims for multiple state clients.

The Fund Recovery component of EI completely supports the automated processing of X12N 835 Electronic Remittance Advice (RA) files. The 835 RA files selected for processing are passed through BizTalk Server to verify each file is syntactically accurate and correctly formatted. Each file is then balanced at both the claim level and the file level. Errors or unbalanced files encountered are immediately reported to the system operator for issue resolution. Valid and balanced files are then parsed into individual claim payment transactions. Additional validations occur during this process to verify that the received RA data is appropriate for the submitted claim before posting the RA data to the database.

Payer adjustments (denials) to the claim are also saved to the database and are available for reporting and analysis. Practitioner claims that are paid in full by the funding source are moved to the end of the Fund Recovery cycle. Claims that are denied or partially paid are made available for evaluation by the next funding source if one exists. Under certain conditions, changes in child data or practitioner claim data may cause the claim to be “restarted” through the Fund Recovery system once the current RA data has been posted to the database.



Gainwell has more than 15 years of experience in exchanging HIPAA compliant X12 EDI files for private insurance claims, and for multiple state clients. Due to a large variance in claim format and parameter requirements across the many private insurance carriers,

Gainwell has developed a relationship with an Insurance claim clearing house. Private insurance claims are formatted into HIPAA-compliant 837P files with each file containing claims for multiple private insurance carriers. The file is then passed to the clearing house where the claims are submitted to the individual private insurance carriers. The private insurance carriers send their remittance advice data to the clearing house when they have adjudicated the claims.

The clearing house then formats the RA data into an 835 Electronic RA file. Gainwell processes each 835 Electronic RA file as described above. This methodology offers the benefits of not having to create and maintain a relationship with every private insurance carrier, as well as not having to configure the Fund Recovery system for each carrier’s specific requirements.

The Fund Recovery component also supports the Coordination of Benefits (COB) between both public and private funding sources. When a practitioner claim is eligible for multiple funding sources, it is initially submitted to the primary source. When the primary source has reported

their adjudication and has denied any portion of the billed amount, the practitioner claim will then be submitted to the next eligible funding source. The 837P transactions for the subsequent billing include the adjudication information from the previous funding source(s). This allows all subsequent funding sources to determine their liability for the claim by evaluating how all previous payers have adjudicated.

4.3.2.3 Extent of Responsibility

Vendor shall specify the extent of responsibility on present or prior similar projects, including:



Gainwell's Public Health Services industry solutions enable collaboration across the entire ecosystem and mining value from market players and information, leading to better business outcomes and patient service. We employ a dedicated EI team

consisting of approximately 50 staff members whose experience enables us to deliver a wide spectrum of services:

- Hosted IDEA Part C Data Systems
- Outcome Data Collection and Reporting
- Customized Federal and other Data Reporting
- Technical Help Desk
- Practitioner Enrollment, Credentialing, and Workforce Tracking
- Fiscal Agent and Finance Office Services
- Practitioner Claims (Service) Systems
- Claims Processing and Payments
- Family Cost Participation (FCP) Billing and Management
- Fund Recovery and Management
- Practitioner and Family Call Center Support

This blend of experience enables the Gainwell team to understand the broader picture of EI and CFO programs' needs. We bring to each engagement a rich set of experience-based best practices that are based on solutions specifically crafted to meet the requirements of each customer.

Gainwell is currently hosting five comprehensive web-based EI data systems. In fact, we have implemented EI data systems for state and local programs at least 10 times since 1996. Gainwell also hosts web-based practitioner claims (service) management systems for five state Part C programs and one state-run substance abuse program.



By selecting Gainwell, you gain confidence in knowing the work will be completed to meet Part C and State Plan regulations and delivered within the agreed-upon time period. Our approach provides a stable framework to effectively manage and administer

the EI program while providing a solid foundation for growth and change as the program expands or develops.

Gainwell is proud to have worked with many Early Intervention programs over the years. Our experience is outlined in the following client specific summaries.

State of West Virginia Birth to Three



Deep Knowledge
of WV EI-Specific
Processes

Gainwell has supported the WVBTT program since 2003. In 2015, the WVBTT legacy application was migrated to a web-based Case Management application, WV BTOnline, which is based on the Gainwell EI platform. This online application accomplishes point of entry data collection for WVBTT EI Services, child and family information, program eligibility determination, and health and medical assessments. Evaluations and assessments, Individualized Family Service Plan (IFSP), and service authorizations are entered by the Regional Administrative Unit.

Gainwell accepts WVBTT practitioner claims on paper, via HIPAA-compliant EDI claim files, and through the Online Claims System (OCS). Gainwell continues to enter paper claims upon request, processes EDI files, and in an effort to comply with the WV Birth to three "Go Green" effort, deployed the OCS system for agencies and practitioners to enter claims online. Claims are adjudicated based on WVBTT program-specific rules, and a payment file is created every Thursday and made available to WVBTT. Practitioners can view their Explanation of Payments (EOP) in OCS upon completion of the payment process. Since 2004, Gainwell has processed 8,887,421 WVBTT practitioner claims. The total payment amount for these claims is more than \$599,879,400.

Gainwell submits eligible claims to Medicaid and CHIP in an 837 file on behalf of WVBTT and receives remittance advices from Medicaid and CHIP via an 835 file. Medicaid and CHIP payments are routed directly to the State program. Since 2004, we have helped WV Birth to Three submit more than 2.5 million Medicaid claims representing more than \$263 million of services provided to West Virginia children. Since early 2011, we have submitted more than 107,000 claims representing more than \$11 million in services to West Virginia CHIP.



Unmatched Expertise
in Compliance &
Reporting

WVBTT uses a report server to produce child reports, services reports, practitioner reports, financial reimbursement reports, and fiscal reports. WVBTT recently enhanced online reporting to include Federal Indicator Reports. A data analytics server empowers key WVBTT staff to analyze and present data in powerful visual dashboards. These visualizations create visibility to monitor ongoing compliance activity and provide decision makers with timely and insightful information.

Gainwell administers enrollment and verification of annual credentialing activities for West Virginia practitioners. Gainwell reviews the initial and annual enrollment packets and approves or denies them based on the criteria established by WVBTT.

Gainwell has 15 years of successful SSAE 18 SOC 1 audits with no exceptions. Gainwell provides help desk support and other administrative services.

State of Louisiana EarlySteps

Since 2003, Gainwell software and services have helped Louisiana serve more than 6,000 children and their families in the EI program. In 2017, the legacy system in Louisiana was migrated to the web-based Case Management application, EarlySteps Online, which is also based on the Gainwell EI platform.



Seamless Claims
Processing &
Provider Payments

Gainwell currently accepts LA EarlySteps provider claims on paper, online through the Provider Account Management module, or via HIPAA-compliant EDI claiming. We adjudicate provider claims based on program-specific adjudication edits. Gainwell performs a

payment process that generates payments to providers via checks or EFT for the claims submitted and paid during the statement period.

Gainwell calculates, generates, and mails IRS Form 1099 to payees receiving reportable income during the tax year based on IRS guidelines. We also submit an electronic tax file to the IRS for payees with reportable income during the tax year.

Gainwell provides LA EarlySteps with a broad range of fiscal and operational services that meet the full spectrum of the program's needs. These additional services include provider enrollment and credentialing, Medicaid eligibility request and response processing, prior authorization processing, call-center support, and other fiscal and operational activities.

Gainwell recently implemented the Data Analytics capability for Louisiana EarlySteps. Early focus has been on creating visibility to APR compliance. Gainwell believes that going forward EarlySteps will benefit greatly from enhanced access to data needed for decision-making.

State of Missouri First Steps



Since 2001, Gainwell has been engaged with the Missouri Department of Elementary and Secondary Education's EI program, providing comprehensive business process outsourcing for its First Steps program. Over those 24 years, the program's data system

and fiscal management have evolved from a standalone software application to the current comprehensive web-based application, WebSPOE.

The WebSPOE application has a child case management component that contains information regarding the child's enrollment in the Missouri First Steps program. The data system allows online child referrals. Referrals are received, reviewed, and accepted by the appropriate regional SPOE office. The child record contains child demographic information, family information, and child health information including vision and hearing screenings. The child's evaluation and assessments are scheduled, and assessment reports are uploaded and reviewed in the WebSPOE application. WebSPOE also contains information regarding the child's Individualized Family Service Plan (IFSP). IFSP meetings are scheduled within the application, and meeting notices are sent to IFSP meeting participants. IFSP information including routines and activities, outcomes, parental consent, and authorizations are captured within the data system.

The WebSPOE application also enables authorized Missouri First Steps service providers to perform multiple tasks online. Providers may view authorization details, including method, intensity, and location. In addition, providers can enter and submit claims for authorized services. When the provider enters a claim, they can view the claim processing adjudication detail before the submission of the claim. WebSPOE also has functionality that allows providers to report mileage for payment, and state users may enter and approve payment transactions for activities such as training. Gainwell runs the payment process on a schedule agreed upon by Missouri First Steps, and providers are paid via check or EFT. Once a year, Form 1099 documents are calculated and mailed to applicable providers, and an electronic file is submitted to the IRS.

Our 24 years of serving Missouri's EI program include not only effective implementation and operation but also a set of significant enhancements to meet evolving program requirements and user expectations.

Gainwell submits eligible claims to Medicaid and private insurance in an 837 file, and remittance advices are received from Medicaid via an 835 file. Medicaid payments are directly routed to the state program. Private insurance remittance advices are received via an 835 file. Gainwell

processes the remittance advices and generates monthly reports for the State to detail the Medicaid and private insurance data.

The Gainwell Customer Service department assists providers and Missouri First Steps staff with questions concerning provider enrollment, authorizations for services, and claims payments. In addition, they provide support and information to families as it relates to service authorizations, the Explanation of Benefits, and Family Cost Participation statements.

Since 2020, Gainwell has made the following enhancements to the data system:

- **Introduced Provider Enrollment capabilities into the Provider Account Management (PAM) application.** This gives State and provider users increased visibility into the provider enrollment process and allows enrolled providers to submit updated documents to the CFO within the application.
- **Transitioned the provider search functionality from the legacy Service Matrix to WebSPOE.** This enhancement also transitioned the Matrix's provider functionality to PAM. Providers now update the information they wish to display in the provider search in the PAM application.
- **Added a Child Library to WebSPOE.** This Child Library is similar to the Child Library used in WV BTOnline where documents are separated by document type.
- **Enhanced WebSPOE** to include functionality where providers can submit billing corrections online.
- **Implemented the Family Portal in October 2024.** Currently, the Family Portal is in the pilot phase with a select group of service coordinators signing up families. Plans are in place to expand the family portal statewide by the end of summer.

Gainwell continues to work with the Missouri First Steps program in ongoing maintenance and enhancements for its data and financial systems. Gainwell supports State initiatives by meeting regularly with WebSPOE's user community to keep the system aligned with evolving state processes.

State of Georgia Babies Can't Wait

The Georgia Babies Can't Wait (BCW) EI data system, known as BIBS, and hosted by Gainwell is a full-featured case management system that was originally based on the Missouri First Steps platform but has undergone transformation to align with Georgia's processes and initiatives.



In 2010, the Georgia Department of Community Health issued an RFP for a comprehensive web-based data system that was tailored to meet the reporting and administrative requirements for Part C of IDEA. As the successful bidder, Gainwell began working in late

2010 with the Part C coordinator of the Georgia EI program and other administrative personnel to create a new data system modeled on the Missouri First Steps WebSPOE system.

Georgia's primary goal for the new data system was to improve the efficiency and accuracy of data collection for reporting on Federal Indicators associated with the program's Annual Performance Report (APR). Prior to contracting with Gainwell for a new data system, Georgia's Annual Performance Reporting determinations slipped from "Needs Improvement" to three consecutive years of "Needs Intervention."

One of the corrective actions Georgia proposed to improve their performance on the APR indicators was the development of a new data system. Gainwell and Georgia administrative staff worked closely to implement a data system that provided consistent and accurate data on all

aspects of their EI system, and additional APR reports were added and tailored to the specific needs of Georgia. In the reporting year following the implementation of the BIBS data system, Georgia received an APR determination of "Meets Requirements." In their letter to Georgia, the Office of Special Education Programs commended Georgia on their efforts related to the correction of long-standing noncompliance and the submission of reliable and valid data.

In 2017, the governor of Georgia prioritized autism intervention as a collaborative multi-agency initiative. To support this initiative, the Georgia BCW program worked with Gainwell to enhance the BIBS system for the collection and storage of Autism Spectrum Disorder (ASD) data. This includes ASD screening and diagnostic evaluation data. As part of the IFSP, data is now collected for 18-month and 24-month ASD screenings when autism is suspected. In addition, data for ASD diagnostic evaluations can be collected and a digital copy of the diagnostic evaluation report can be uploaded to the database for viewing on-demand.

Georgia's EI program benefits from Gainwell's help with CMS compliance and important State requirements focusing on autism intervention and user ease of access.

A dashboard was added to visualize APR indicators and enable the end user to identify problem areas quickly that need to be rectified or provide end users peace of mind that there are no issues.

A Family Outcome Survey packet is produced. The packet includes a QR code to take the family directly to the survey. In addition, reminder text messages are sent to families, which take the family directly to the survey.

Pages were added to BIBS to allow easy access for BCW guidance documents, state forms, release notes, training manuals, and training videos.

State of Delaware Birth to Three

Gainwell implemented the Delaware Early Childhood Records System (DECRS) for DE Birth to Three in late 2023. The system provides comprehensive case management and IDEA tracking for an active caseload of about 1,500 children statewide. DECRS has helped Birth to Three modernize, including adding a fully online IFSP and enhancing compliance and tracking capabilities. DECRS is based on the same system used by WVBTT and Louisiana EarlySteps.

DECRS provides online case management from referral through transition, a fully online IFSP, support for eligibility determination, Child Outcome Summary tracking, and many other functions. Online reporting is available as well as dashboards and analytics.

Birth to Three is in the process of implementing the Gainwell Parent Portal, which will help it engage families and drive enhanced communication among families and the teams supporting them.

State of New Jersey Division of Mental Health and Addiction Services

The New Jersey Division of Mental Health and Addiction Services (DMHAS) program has been contracted by Gainwell since 2009. Gainwell acts as an intermediary to collect service utilization client data, process claim authorizations, process and adjudicate service claims, and generate reports. As a Fiscal Agent for NJ DMHAS, Gainwell also makes electronic payments and issues 1099's to the agencies and providers. DMHAS processes more than 1 million claims annually.

Gainwell also accepts data transmission from DMHAS through their Provider Management Information System. This transmission contains relevant provider agency data to validate approvals for network participation based on Agency-specific and Site-specific contract

approval. Gainwell designed, implemented, and now maintains the web application, serving more than 442 provider sites associated with an active agency. The web application also provides reports for use by State staff and providers. Additionally, Gainwell offers call center services to support providers.

As of February 1, 2024, 142 licensed SUD treatment Provider Agencies operating across 260 separate licensed sites served individuals in New Jersey through the SUD FFS Initiatives. There are currently approximately 1075 active users using the SUD FFS System.

Claim volume in the State's fiscal year (SFY) is as follows:

- SFY 2020 – 315,433 with 6.3% denied
- SFY 2021 – 455,606 with 6.20% denied
- SFY 2022 – 527,846 with 10.98% denied
- SFY 2023 – 556,054 with 8.56% denied

Lower Claim volume for both SFY 2020 and SFY 2021 were due to COVID-19 State of Emergency because individual claims were processed during only nine months (rather than 12) during these two SFY periods.

Gainwell continues to enjoy a productive collaboration with NJ Division of Mental Health and Addiction Services, and they have just renewed their contract with us.

4.3.2.3.1 Similar Projects' Scope of Work

Similar projects' scope of work



Gainwell's similar EI projects, over the past 25 years, for other clients consistently demonstrate a successful long-view partnership between the respective state agencies and our EI delivery teams — both to meet current needs and to advise our clients on appropriate innovations to meet future requirements and volumes. The following table describes Gainwell's EI projects with similar scopes of work.

Table 10. Projects with Similar Scope of Work

State	Program	Description of Services	Begin Date	End Date
MO	First Steps/Early Intervention	Help Desk, Provider Enrollment and Credentialing, Online Provider Claims, Fiscal Agent Services/Provider Payments, Online Case Management and Provider Claims, Private Insurance, Medicaid Fund Recovery, Family Cost Participation, Training, Hosting	2001	Present
WV	Birth To Three/Early Intervention	Help Desk, Online Case Management, Medicaid and CHIP Fund Recovery, Practitioner Enrollment and Credentialing, Online Practitioner Claims, Fiscal Agent Services/Practitioner Payment Processing, Training, Hosting, Online Practitioner Service Directory	2003	Present
LA	EarlySteps/Early Intervention	Help Desk, Online Case Management, Medicaid Fund Recovery, Provider Enrollment and Credentialing, Online Provider Claims, Fiscal Agent Services/Provider Payment, Training, Hosting	2003	Present

State	Program	Description of Services	Begin Date	End Date
NJ	Early Intervention	Help Desk, Medicaid Fund Recovery, Provider Enrollment and Credentialing, Provider Claims, Fiscal Agent Services/Provider Payment, Training, Hosting, Online Provider Claims, Family Cost Participation, Online Provider Matrix	2004	2018
New York City	Early Intervention	Help Desk, Medicaid Fund Recovery, Provider Claims, Fiscal Agent Services/Provider Payment, Training, Hosting, Online Provider Claiming	2007	2014
NJ	Division of Addiction Services	Online Claiming, Help Desk, Provider Claims, Fiscal Agent Services/Provider Payments, Training, Hosting	2008	Present
IN	First Steps/Early Intervention	Help Desk, Online Case Management, Provider Enrollment and Credentialing, Provider Claims, Fiscal Agent Services/Provider Payment, Training, Hosting, Online Provider Claims, Private Insurance Claims, Medicaid and TANF Fund Recovery, Family Cost Participation	1995 2008	2006 2023
GA	Babies Can't Wait/Early Intervention	Online Case Management, Online Claiming including Private Insurance and Medicaid/CMO, Family Cost Participation, Help Desk, Provider Enrollment, Fiscal Agent Services/Provider Payment, Training, Hosting	2010	Present
DE	Birth to Three/Early Intervention	Online Case Management, Training, Hosting	2022	Present

4.3.2.3.2 Similarity to This Project

Similarity to this project



Gainwell's depth of experience, both in West Virginia and in other states, offers unparalleled value for the WVBTT program. Gainwell's deep knowledge and EI-specific processes and experience meeting the needs of WVBTT for many years means that it is prepared to offer these services with exceptional quality. Gainwell proposes the continuance of the WV BTOnline, OCS, and CFO operations as described in this solicitation. This provides for a **seamless no-risk transition, no data conversion** or additional State resources or costs required for implementation. WV BTOnline, OCS, and CFO components are the core of the services we have provided for WVBTT, and other EI clients, for many years. These services include processing payments, family cost participation, insurance, and 1099's. Gainwell has extensive practitioner enrollment, help desk, and customer service experience.

Gainwell proposes to continue providing these services with its current staff, avoiding the risks associated with a disruptive transition, not only by the WVBTT program but also by families, practitioners, and Regional Administrative Unit (RAU) staff throughout the State.



Gainwell seeks to exceed expectations and understands that vendors must sometimes take the initiative to offer additional value to clients. Gainwell proposes to offer this additional value by completing **significant upgrades** to WV BTOnline at no

additional cost. In this way, we believe we are offering value that exceeds the expectations of the RFP.

In addition to the current services, Gainwell proposes to enhance the WV BTOnline web-based system functionality to include an **online Individualized Family Service Plan (IFSP)**. This enhancement is a part of the proposed project plan, and Gainwell has a tremendous amount of experience delivering similar projects for WVBTT and other EI clients.

The second phase of the proposed project enhances WV BTOnline to **include the child's IFSP**. Gainwell currently supports full IFSP functionality in both the Missouri and Georgia child case management systems and drew on this experience when working on requirements and design of the WV IFSP, which was based on the WV Birth to Three current IFSP document. The IFSP functionality in Missouri and Georgia allows for the data entry of all aspects of the IFSP from scheduling the meeting, documenting routines, establishing child and family outcomes, to obtaining parental consent for services and creating authorizations. In Gainwell's vision for the enhanced WV Birth to Three IFSP functionality in BTOnline, Gainwell imports the information from the fillable PDF of the WVBTT IFSP Form. WV BTOnline performs edits on the imported data, and the user can make updates as necessary. We understand that each state has differences in the requirements for its program's IFSP. We look forward to leveraging our knowledge of the WVBTT IFSP and our experience creating online IFSP functionality for other state programs to implement this feature into WV BTOnline. This process includes discussions with WVBTT program staff to confirm that the new IFSP functionality supports existing State processes.

4.3.2.3.4 Responsibilities on Similar Projects

Vendor responsibilities on similar projects

Gainwell provides services similar to those outlined in this RFP to programs in state and local governments across the country. This section summarizes our experience with Early Intervention (EI) projects and describes other lines of business. We describe the similarities between engagements in these other lines of business and EI engagements.

Early Intervention Projects

The following table describes Gainwell's responsibilities on similar EI projects. Our work with these states — providing services that meet or exceed their differing requirements — demonstrates the breadth of our EI offering and commitment to each client and the families they serve.

Table 11. Similar Contract Work in Early Intervention

Early Intervention/Part C					
State:	Missouri	Georgia	West Virginia	Louisiana	Delaware
Program:	First Steps	Babies Can't Wait	Birth to Three	EarlySteps	Birth to Three

Early Intervention/Part C

State:	Missouri	Georgia	West Virginia	Louisiana	Delaware
Start Date	2001	2010	2003	2003	2022
End Date	Ongoing	Ongoing	Ongoing	Ongoing	Ongoing
Years of Experience	24	15	22	22	3
Providers					
Provider Payments	X	X		X	
Provider Claims	X	X	X	X	X
Online Claims	X	X		X	X
Help Desk	X	X	X		
Provider Enrollment	X	X	X	X	
Provider Credentialing/Annual Enrollments	X		X	X	
Program/Fund Recovery					
HIPAA	X	X	X	X	X
FERPA	X	X	X	X	X
Medicaid	X		X	X	X
Private Insurance/TPL	X				
Children's Health Insurance Program(CHIP)			X		
Cost Participation	X	X		X	
Online Individualized Family ServicePlan (IFSP)	X	X			X
Federal Reporting	X	X	X	X	X
Program Data	X	X	X	X	X
Training	X	X	X	X	X
Miscellaneous					
Online Reporting	X	X	X	X	X
Database Transfer	X	X	X	X	X
Hosted Data System(s)	X	X	X	X	X

Who we serve

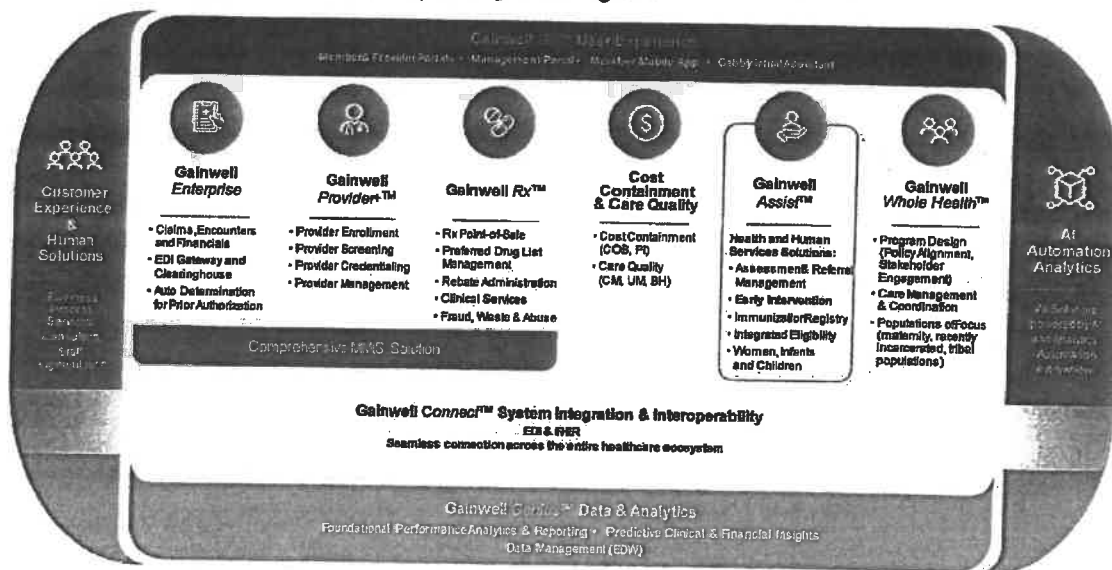
- Gainwell also provides market-leading solutions for WIC programs and Immunization Information Systems (IISs). We support WIC programs in four states and 10 Indian Tribal Organizations (ITOs), IISs in 14 states, and our EI healthcare programs in five states support the health and well-being of children and families through integrated early childhood systems, data warehouses, Medicaid, and third-party payers.

Figure 43. Gainwell's Solutions by State

Gainwell's Focused Portfolio

Gainwell offers a focused portfolio of leading solutions for Medicaid and related health and human services programs, centered on our comprehensive enterprise, provider, and pharmacy solutions:

Figure 44. Gainwell's Solutions and How They Work Together



Our portfolio offers these allied and related services that include our EI solution:

- **Gainwell Assist™** – A suite of health and human services solutions that includes assessment and referral management, **early intervention**, immunization registry, integrated eligibility, and WIC systems and services. Enables better outcomes for individuals, families, and communities. We help agencies strategically build or modernize existing systems to elevate experiences, reduce participation gaps, and integrate data through a whole person approach:
 - Create a unified experience for recipients, case workers, providers, and community partners
 - Increase process efficiencies through automation
 - Leverage centralized data and advanced analytics for actionable insights
- **Gainwell Whole Health™** – Services related to program design, populations of focus, behavioral health, care management and coordination, and utilization management. Improving the holistic health and well-being of populations begins by identifying and addressing health disparities through an integrated, data-driven, and proactive approach. Our interdisciplinary population health management (PHM) model of transformation supports states in both the incremental and widespread changes needed to build and sustain person-centered care.
 - Utilize powerful tools to gain insights into health equity, quality, and condition prevalence statewide, regionally, and by managed care organizations (MCOs)

- Support states with a holistic PHM approach and focus on key populations, such as maternity, justice-involved, and tribal
- Better understand critical domains including behavioral and social drivers of health and enable new models of care delivery
- **Coordination of Benefits and Payment Integrity** – Industry-leading services to maintain Medicaid as the payer of last resort, including case management, clinical claim reviews, eligibility verification, FraudCapture®, payment analytics, pharmacy payment integrity, post payment recovery, and pre-payment solutions.

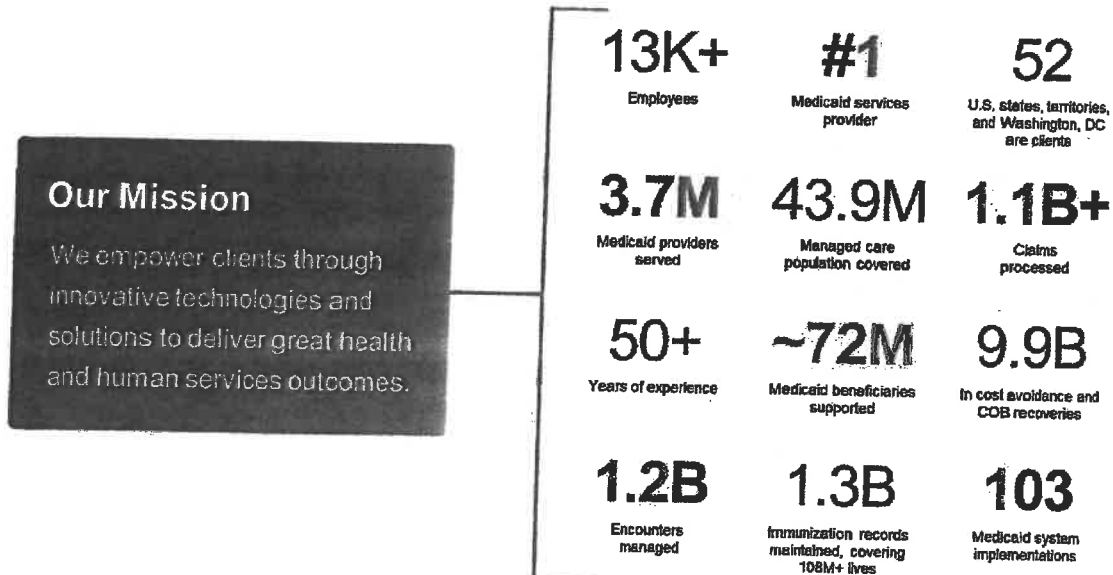
These allied and related services interact with and complement our comprehensive Medicaid solution suite:

- **Gainwell Enterprise™** – The central component of a Medicaid management system consisting of our Claims, Encounters and Financials (CEF) core, our electronic data interchange (EDI) gateway and clearinghouse, and auto-determination facility for prior authorization.
- **Gainwell Provider+™** – The enrollment, screening, credentialing, and management center for the Medicaid program's authorized providers.
- **Gainwell Rx™** – Providing pharmacy point-of-sale claims adjudication and processing, preferred drug list (PDL) management, rebate administration, clinical services, and fraud, waste, and abuse (FWA) detection and prevention.

Wrapped around this suite of Gainwell solutions is our strong set of user and advanced system support services and offerings:

- **Gainwell Genius™ Data and Analytics** – Foundational performance analytics and reporting, predictive clinical and financial insights, and data management with electronic data warehouse (EDW) technology.
- **Gainwell Go™ User Experience** – Member and provider portals, management portal, member mobile app, and our Gabby™ virtual assistant.
- **Gainwell Connect™ System Integration and Interoperability** – Incorporating EDI and Fast Healthcare Interoperability Resources (FHIR) technology and providing seamless connectivity across the entire healthcare ecosystem.
- **AI Automation Analytics** – All solutions powered by artificial intelligence (AI) and analytics: automation everywhere.
- **Customer Experience and Human Solutions** – Business process services, consulting, and staff augmentation.

Figure 45. Gainwell's Mission and Results



Gainwell Enterprise™ and State Medicaid Experience

Gainwell supports clients with Medicaid Management Information System (MMIS) modernization and our modular **Gainwell Enterprise™** Claims, Encounters, and Financial, (CEF) solution, enabling them to adapt to ongoing Medicaid changes while remaining compliant with state and federal policies.

With one of the most comprehensive suites of scalable services and solutions on the market, Gainwell is moving the next generation of healthcare forward one state, one program, and one member at a time. We do so by providing our four pillars of modernization:

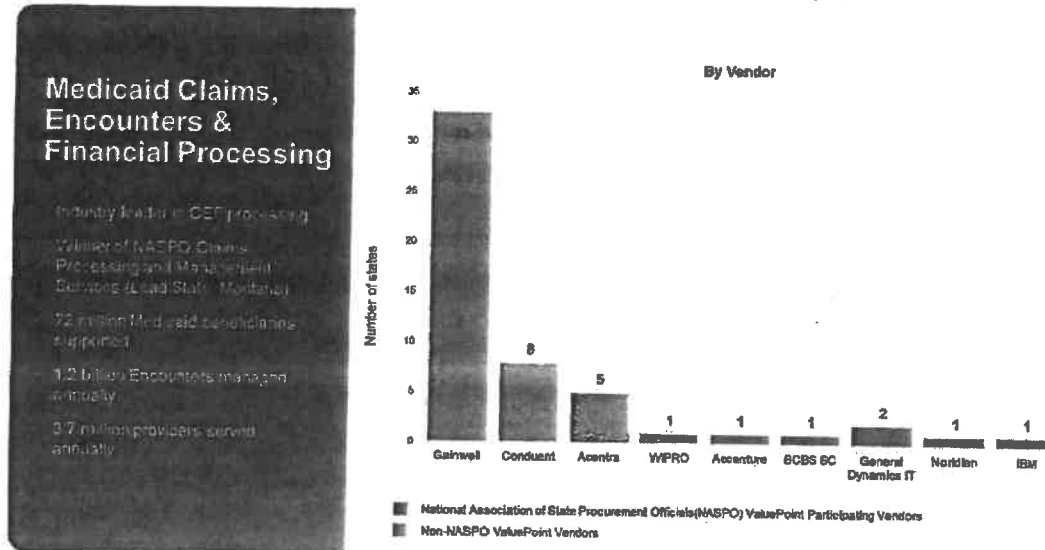
- **Artificial Intelligence (AI) and Advantaged Tech.** AI, cloud-enabled, and automation powering all solutions to unlock more business value.
- **Advantaged Service.** Customer-centric, efficient, and outcomes-focused service experience.
- **Capability and Functionality.** Modular, modern, and comprehensive suite that solves clients' needs.
- **Competitive Cost.** Most risk-averse and price-competitive solutions in the market.

Our focus in the Medicaid program space is built on the foundation of delivering transformational services, best practices, and service excellence, driving improved outcomes. **We have completed more large-scale Medicaid implementations than all other vendors combined, which translates to less risk for new clients.** The following figure demonstrates that no other vendor has our experience working with state Medicaid solutions that enable operational success.

Medicaid Management

Gainwell has completed **more large-scale Medicaid implementations than all other vendors combined.** No other vendor has our experience working with state Medicaid solutions that enable operational success.

Figure 46. Experience Providing Medicaid Solutions Far Surpasses Our Competitors



Our combined years and breadth of Medicaid experience have helped us develop deep knowledge of the challenges of the Medicaid Enterprise System. We leverage that experience, putting our systems on a roadmap to free up critical personnel to address the challenges that computers cannot. An implementation with Gainwell is not simply a changeover to a new system. It is the start of a journey where the systems and processes continuously improve throughout the contract term.

Gainwell Assist Women, Infants and Children (WIC) Solution

Gainwell's commitment to helping states build stronger, healthier communities is steadfast, and we will continue to bring this dedication and commitment to our WIC clients. Through more than 40 years of comprehensive WIC experience, we have hands-on, tangible expertise developing, maintaining, operating, and enhancing WIC systems. We have expert knowledge of United States Department of Agriculture (USDA) Food and Nutrition Services (FNS) WIC federal regulations and the policies encompassing the mission of serving eligible women, infants, and children. Our big-picture understanding means we provide valuable insight and support for clients when applying federal and state directed changes. We are proud to be a continuing part of these successful and cost-effective nutrition intervention programs. By maintaining and optimizing WIC systems, Gainwell supports state agencies in delivering timely and efficient services including supplemental nutritious foods, nutrition education and counseling, screening, and referrals to other health, welfare, and social services. Our experience and knowledge are highlighted in the following table.

Women, Infants and Children

Empower families with healthy habits, improve nutrition, and facilitate access to care through state WIC programs and systems approved by the Food and Nutrition Service (FNS), such as Crossroads and SPIRIT.

Table 12. Gainwell WIC Projects

Duration of Relationship	Client	WIC MIS Services Provided
43 years	Minnesota	SPIRIT implementation, maintenance and operations, hosting services, help desk services, technical support, hardware support, mobile app development and support, and legacy MIS services
18 years	Rhode Island	Crossroads transfer and implementation, training, system maintenance, operational services, hosting services, technical help desk services, and legacy MIS services
16 years	Arkansas	SPIRIT implementation, maintenance, electronic benefit transfer (EBT)-MIS implementation, technical support, and mobile app development and support
14 years	Alabama	Crossroads design, development, testing, technical help desk, and enhancement services
14 years	Virginia	Crossroads design, development, technical help desk services, and enhancement services
14 years	West Virginia	Crossroads design, development, technical help desk services, and enhancement services
12 years	Mississippi	SPIRIT implementation, development, and support services
12 years	Wichita, Caddo, Delaware (WCD)	SPIRIT partners (includes 10 American Indian tribal organizations) system maintenance and operations, help desk services, technical support, hosting services, and mobile app development and support
10 years	North Carolina	Crossroads design, development, testing, training, and implementation
9 years	Washington	Crossroads to Cascades transformation, implementation, operations and maintenance, hosting, and technical help desk services

Gainwell's commitment to WIC led to the creation of an internal WIC Focus group. The purpose of the focus group is to identify potential intersections between multiple areas that will improve the health outcome of participants. Group members consist of executive leadership, the Chief Medical Officer, WIC experts, and members of programs related to WIC, such as EI. The team discusses WIC trends and topics such as maternal health and immunizations.

Gainwell is committed to providing WIC clients with personalized support, consistent technical guidance, and reliable solutions. We offer unmatched experience and a comprehensive understanding of both the WIC program and the unique needs of each state's WIC system. Our team comprises seasoned professionals with specialized knowledge of the WIC ecosystem. Gainwell's deep expertise enables us to effectively navigate complexities, implement best practices, and deliver exceptional results — solidifying our position as the trusted partner for achieving excellence in WIC services.

Gainwell Assist Immunization Registry (IR) Solution

Gainwell has supported immunization information systems (IISs), also called immunization registries (IRs) since 1995, when we began work on our first IIS, Texas ImmTrac. We have supported Wisconsin Immunization Registry (WIR)-based systems since 1999.

Our IIS Center of Excellence team continually engages with our customers, members, providers, and jurisdictional staff to improve our application, delivery, and ongoing services. The Center of Excellence employs more than 120 full-time equivalent (FTE) employees, each with an average of 10 years of specific IIS experience — essential knowledge and insight that cannot be matched or replaced.

Immunization

Make data-driven decisions and increase the effectiveness of public healthcare management with a holistic solution that includes population management, forecasting, interoperability, and vaccine management.

- **Development Expertise.** Many of the developers on our team have more than 10 years of IIS experience and know the intricacies of how immunization program needs differ from state to state. Our most experienced developers, deeply familiar with CDC guidelines, have supported the development of our **Gainwell Assist Immunization Solution**.
- **Deployment and Transition Experience.** From our experience supporting 13 IISs nationwide, we have a broad understanding of the varying needs of states and a proven playbook for successful transitions. Our in-depth knowledge of those states' IISs and their data elements enables the smoothest transition possible in migrating legacy data and implementing the new solution.
- **Advisory Support.** On an ongoing basis, our industry expert staff listen to our customers about their challenges and successes and participate in two-way conversations about industry developments and new solutions to address industry challenges. Additionally, multiple employees on our product team have prior experience serving in state positions within IIS programs for other states. This means the Gainwell Immunization Solution has been developed by experienced industry professionals from a perspective similar to that of our IIS client agencies. These professionals apply working "inside" knowledge of IIS programs successfully implemented in other states.

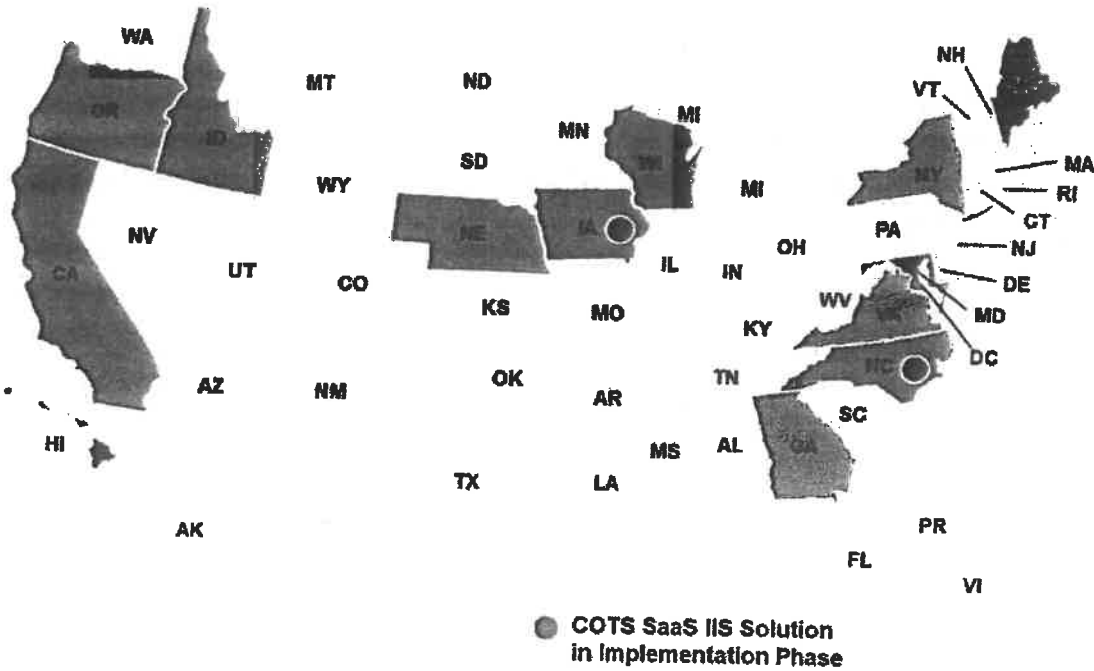
The strength of our offering comes from providing experienced team members and a leading-edge solution that supports jurisdiction-specific immunization policies and geographically diverse complex localities and populations. We put our industry experts and best IT professionals to work focusing on understanding business needs, not simply building software. By using world-class tools and repeatable methodologies, Gainwell creates and refines applications to improve IIS support.

In recent years we have moved several clients' data center-based IISs to the Amazon Web Services (AWS) cloud. For Iowa and North Carolina, we are in the process of implementing the innovative commercial off-the-shelf (COTS) SaaS IIS solution, the **Gainwell Assist Immunization Solution**.

As a leading provider of IIS systems and services, we have been successfully developing, operating, and maintaining IIS software for states for 29 years. We currently support 13 IISs nationwide. From this experience, we have developed a broad understanding of states' varying IIS needs and a proven playbook for successful transitions. Our in-depth knowledge of IISs and their data elements enables a smooth transition when migrating legacy data and implementing the new **Gainwell Assist Solution**. The map below depicts our current IIS customer base across

April 29, 2025

Figure 47. Gainwell's Current IIS Customer Base



Gainwell IIS manages 1.7 billion immunization records for 163 million lives and supports 323,000 active users. The following table lists our IIS deployments that we provide to other governmental entities.

Table 13. Gainwell IIS Deployments

Customer	Contract Dates	Solution Overview
California Department of Public Health	10/2016 to Present	We implemented and supported the maintenance and operations of the immunization system in California, CAIR2. CAIR2 is a system integrated within the California Department of Public Health (CDPH) technology environment. The CAIR2 IIS supports collaboration between vaccination providers and public health agencies and coordination of population-based interventions. At the clinical care level, CAIR2 provides consolidated immunization histories to assist vaccination providers in determining appropriate client vaccinations. At the population level, the IIS provides aggregate data on vaccinations for use in assessments of coverage and program operations and in guiding public health action to improve vaccination rates.
Georgia Department of Public Health	10/2002 to Present	Since the inception of the Immunization Registry in Georgia, the Gainwell team has worked together with the State. Gainwell is considered a trusted partner for matters relating to the IIS in Georgia and is fully integrated into the daily operations of the

Customer	Contract Dates	Solution Overview
		Department of Public Health Immunization Program. The current solution, GRITS 2.0, operates as a CDC-compliant IIS for the State of Georgia. It provides public and private providers access necessary to transmit data in a variety of formats and comply with federal, state, and local immunization best practices.
Hawaii State Department of Health	8/2008 to Present	The Hawaii Immunization Registry (HIR) is operated and maintained by Gainwell and hosted on a Gainwell-provided AWS cloud instance. Gainwell led HIR's migration from on-prem to an AWS-hosted cloud instance.
Idaho Department of Health and Welfare	1/2011 to Present	Gainwell migrated Idaho's IIS to a cloud-based database environment. The current contract includes application maintenance, hosting, and third-party software development (enhancements) for Idaho's Immunization Reminder Information System. Maintenance and Operations (M&O) and Enhancement activities include the coordination with the Department for prioritizing and scheduling system configuration changes, the addition of new vaccines, testing in the development and staging regions, with updates to appropriate technical and user documentation, as necessary, based on customer-approved additions/changes.
Iowa Department of Public Health	6/2011 to Present	We successfully implemented Iowa's Immunization Registry Information System (IRIS) in June 2012, including data migration, system rollout to users, and Iowa-specific customizations. We currently provide application maintenance, database management, hosting, and additional support and enhancement services. We worked with the Agency to enhance the system with functions such as the CDC Vaccine Tracking System (VTrckS), Web Services for electronic data exchange, and Pandemic Vaccine Allocation to enable the Agency and Local Public Health Agencies (LPHAs) to distribute vaccines efficiently and equitably. Iowa selected Gainwell to implement the new Gainwell Assist Immunization Solution, and the Iowa implementation is currently in process.
Maine Department of Health and Human Services	5/2018 to Present	Gainwell upgraded Maine to the California version of the Wisconsin Immunization Registry (WIR) with Maine-specific enhancements in 2018 and more recently migrated Maine's IIS to a cloud-based database environment. In addition to M&O and IIS support, we support Maine's integrated blood lead registry.
Maryland Department of Health	7/2010 to Present	We designed and implemented the architectural components of AWS to host the Maryland ImmuNet IIS application and services. We also migrated the ImmuNet code to support the new JBoss Enterprise Application Platform (EAP) and Linux environment. ImmuNet can now process three times more volume than before the migration to AWS and is more stable with fewer outages. Additional migrations included an Oracle database migration and an operating system migration.
Nebraska Department of Health and Human	7/2008 to Present	The Nebraska State Immunization Information System (NESIIS) is a secure, statewide, web-based system that connects and shares immunization information among public clinics, private provider

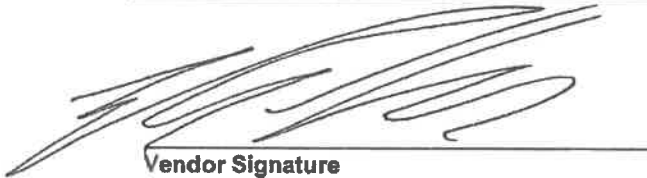
Customer	Contract Dates	Solution Overview
Services Division of Public Health Epidemiology & Informatics Unit		offices, local health departments, schools, hospitals, and other healthcare facilities that administer immunizations and provide medical care to Nebraska residents. We provide maintenance, operations, and support of NESIIS. Additionally, we developed and supported Nebraska's Parkinson's Disease Registry, their Strategic National Stockpile system, Refugee Health Assessment Screening system, and maternal and child health Hepatitis B module.
New York State Department of Health Bureau of Immunization	1/2008 to Present	We provide a 24x7x365 system that tracks 178 million immunizations, 16.5 million patients, and 128 digital transformation organizations. The system supports nearly 54,000 users.
North Carolina Department of Health and Human Services	6/2006 to Present	<p>The North Carolina Immunization Registry (NCIR) is a secure, web-based clinical tool that records immunizations administered within the State. It provides complete and accurate immunization data to meet federal and state reporting requirements and assists users in evaluating a client's immunization status. Additionally, users can assess their community's immunization coverage. NCIR tracks and reports on 183.4 million immunizations and 14.9 million clients, supporting more than 46,000 active users. Gainwell also supports maintenance and operations support, including Tier 3 Help Desk assistance.</p> <p>On May 29, 2024, North Carolina selected Gainwell to implement the new Gainwell Assist Immunization Solution. We are currently conducting the implementation activities for North Carolina.</p>
Oregon Health Authority	11/2010 to Present	We provide the State of Oregon with M&O services for Oregon's Immunization Information System (ALERT IIS) and its associated hardware, applications, and databases. Gainwell migrated Oregon's IIS to a cloud-based database environment. This service also includes modifications and maintenance to keep current with State and/or federal guidelines and legislation. ALERT IIS increases the utility of public health data by using enterprise standards and technology to enable efficient use and consumption by legacy immunization surveillance and other downstream systems.
Virginia Department of Health	1/2009 to Present	Virginia's IIS serves approximately 13.4 million immunization recipients, processing nearly 139 million total immunizations, and has nearly 24,000 active users. In 2021, Gainwell migrated Virginia's IIS to a cloud-based database environment.
Wisconsin Department of Health Services	10/1999 to Present	We assisted with development and implementation of the original WIR in partnership with the State of Wisconsin. We are the leading provider of implementation, customization, and ongoing support for WIR-based systems in active use by 13 jurisdictions nationally.

5.3.2 Title Page

RFP Reference: 5.3.2

State the RFP subject, number, Vendor's name, business address, telephone number, fax number, name of contact person, e-mail address, and Vendor signature and date.

RFP Subject	West Virginia Birth to Three Early Intervention System
Solicitation Number	CRFP 0506 MCH2500000001
Vendor's Name	Gainwell Technologies LLC
Business Address	5615 High Point Drive, Irving, Texas 75038 As of May 1, 2025, Gainwell's new business address will be 225 East John Carpenter Freeway, Suite 500, Irving, Texas 75062
Name of Contact Person	Giovanni Ferreri, Account General Manager – State and Local Government Healthcare
Email Address	john.ferreri@gainwelltechnologies.com
Telephone Number	949.445.5963
Fax Number	913.469.5814


Vendor Signature

April 29, 2025

Date

Mark Knickrehm
Authorized Representative Name

President and Chief Executive Officer
Authorized Representative Title

REQUEST FOR PROPOSAL

(Office of Maternal, Child and Family Health CRFP MCH2500000001)

- 6.8. Availability of Information:** Proposal submissions become public and are available for review immediately after opening pursuant to West Virginia Code §5A-3-11(h). All other information associated with the RFP, including but not limited to technical scores and reasons for disqualification, will not be available until after the contract has been awarded pursuant to West Virginia Code of State Rules §148-1-6.3.d.

By signing below, I certify that I have reviewed this Request for Proposal in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship; and that, to the best of my knowledge, the bidder has properly registered with any State agency that may require registration.

Gainwell Technologies LLC

(Company)

Mark Knickrehm, President and Chief Executive Officer

(Representative Name, Title)

703.245.4600 / 469.320.5153

(Contact Phone/Fax Number)

April 29, 2025

(Date)

Attachment A – Detailed Response to Section 4.3.1.3

RFP Reference: 4.3.1.3

We provide Section 4.3.1.3 of our response in this Attachment A because of its length and format.

Job Descriptions of All Project Staff

4.3.1.3 Vendor should provide job descriptions of all staff allocated to this project that includes:

4.3.1.3.1 Percentage of time allocated to this project

4.3.1.3.2 Specific duties allocated to this project

4.3.1.3.3 Educational level

4.3.1.3.4 Training

4.3.1.3.5 Experience

4.3.1.3.6 Specialized skills

Key Personnel

Nadine M. Tyler – Project Manager

Location/Specific Section Reference	Nadine M. Tyler*	Project Manager
4.3.1.3.2	Specific Duties Allocated to this Project	<p>The Project Manager is responsible for effective and timely communication between the client and Gainwell staff. This includes customer inquiries regarding information, enhancements, processes, and data issues. The Project Manager responds to these items daily, sees tasks related to the day-to-day operations are being completed, and issues are communicated to the client. The Project Manager also informs the project team of client issues and verifies that the Service Level Agreements are reported in the format agreed to by the client.</p> <p>The Project Manager participates in the annual Disaster Recovery Exercise and is responsible for reviewing, delivering, and discussing the final DR report.</p> <p>The Project Manager is also responsible for overseeing the SSAE 18 SOC 1 Audit is completed for the WVBTT project annually.</p> <p>The Project Manager will also:</p> <ul style="list-style-type: none"> • Work in conjunction with team members and stakeholders to anticipate and manage changes to projects, such as, but not limited to, technical requirements, business requirements, and schedules • Determine when additional resources are needed and implement the same

Location/Specific Section Reference	Nadine M. Tyler*	Project Manager
		<ul style="list-style-type: none"> Identify or gather information regarding possible solutions which may create additional, different, or unique project objectives or results Manage client expectations and balance the needs of each Oversee day-to-day operational support Coordinate with technical staff planning and solutions preparation, and coordinate and manage technical activities Manage the delivery of all enhancements and fixes on-time and within budget delivery
4.3.1.3.3.	Educational Level	Bachelor of Science in Business Administration – Minor in Education.
4.3.1.3.4	Training	<p>Continued Education/Certifications</p> <ul style="list-style-type: none"> Management Skillport Course HIPAA Privacy Skillport Course Customer Service Course <p>Five-Component Approach to Early Intervention in Natural Environments, Robin McWilliam, Ph.D.</p>
4.3.1.3.5	Experience Summary	Gainwell proposes Nadine M. Tyler as the Project Manager. Ms. Tyler has more than 18 years of experience in the healthcare industry, specifically Early Intervention. She has performed many roles and has worked in all phases of the software development lifecycle for the past 38 years.
	Early Intervention Related Experience	Ms. Tyler has served as the Account Manager for the WV Birth to Three Program for the past 15 years. Prior to her role as Account Manager on the Early Intervention projects, she served as the Quality Assurance Lead for all the Early Intervention Programs hosted by Gainwell.
4.3.1.3.6	Specialized Skills	Ms. Tyler has strong communication skills, analytical skills, training skills, and great organizational skills.

Wayne McGuire – Database Design Specialist

Location/Specific Section Reference	Wayne McGuire*	Database Design Specialist
4.3.1.3.2	Specific Duties Allocated to this Project	The Database Design Specialist is responsible for investigating present and future database requirements, documenting them according to the required standards, and utilizing the prescribed methods and tools. The Database Design Specialist creates databases and objects within the database, and designs and fine-tunes database components. This person provides logical and physical database design support for relational database management systems. The Database Design Specialist applies data analysis/data modeling techniques to

Location/Specific Section Reference	Wayne McGuire*	Database Design Specialist
		<p>establish, modify, or maintain data structures and their associated components (e.g., entity descriptions, relationship descriptions, attribute definitions). This person determines the data modeling strategy and selects tools and techniques to devise the solution.</p> <p>The Database Design Specialist analyzes, validates, and designs database models, structures, and processes. The Database Design Specialist may be responsible for one or more components of the overall architecture.</p>
4.3.1.3.3	Educational Level	Bachelor of Business Administration in Information Systems.
4.3.1.3.4	Training	Background experience, in-house, and on-the-job training.
4.3.1.3.5	Experience Summary	<p>Gainwell proposes Wayne McGuire as the Database design Specialist. Wayne is an IT professional with more than 35 years' experience in the entire project development process, from writing project specifications through design, programming, testing, implementation, and final user documentation and training. Wayne has performed multiple roles during his career including Senior Technical/Data Analyst, Senior Business Analyst, Conversion Lead, Senior Programmer/Analyst, and Lead Programmer. He specializes in SQL Server, Visual Basic, Universe Basic, QicBasic, and MTB Basic, and has some rudimentary experience with VB .Net. Wayne has substantial experience in HIPAA X12 transactions, health care claims processing systems, banking systems, billing systems, order processing, and inventory control systems, and report generation processes. Wayne was the co-lead database designer for the initial Gainwell Early Intervention system and the lead database designer and developer for the initial Gainwell Fund Recovery systems. He continues to analyze Medicaid, CHIP, and private insurance claims data and advise both developers and management on all aspects of the Gainwell Fund Recovery systems.</p>
	Early Intervention Related Experience	<p>Mr. McGuire was one of the original developers of Gainwell's Early Intervention System. He plays an active role in the design and development of the case management database, practitioner enrollment database, and several of the back-end processing applications. Mr. McGuire is one of the key developers of Gainwell's first Fund Recovery system, contributing to the overall design, and the database and application software development. As a Senior Data Analyst, Business Analyst, and subject-matter expert, Mr. McGuire continues to assist with the design, development, and day-to-day operations of the Early Intervention systems for several states including Missouri, Georgia, Louisiana, West Virginia, and Indiana.</p>

Location/Specific Section Reference	Wayne McGuire*	Database Design Specialist
4.3.1.3.6	Specialized Skills	Mr. McGuire possesses in-depth knowledge of HIPAA X12 file formats for healthcare (both 4010 and 5010 versions as well as advanced data analysis skills). He is also a subject-matter expert for Gainwell's Early Intervention Fund Recovery Solution.

Maurice (Mo) Fanty – Lead Programmer

Location/Specific Section Reference	Maurice (Mo) Fanty*	Lead Programmer
4.3.1.3.2	Specific Duties Allocated to this Project	<ul style="list-style-type: none"> • Overseeing the programming team's productivity, training, and educational opportunities • Troubleshooting problems (software, system setup, processing errors) • Fund recovery business issues (submission and reconciliation) • System architecture • Ad hoc query design • Payment processing issues • Technical design
4.3.1.3.3	Educational Level	University of Kansas, Lawrence, Kansas Bachelor of Science, Computer Science
4.3.1.3.4	Training	Continued Education/Certifications <ul style="list-style-type: none"> • Oracle Database • SQL Training • Microsoft ASP.NET MVC • HTML5 and CSS3 • Entity Framework • Remote Data Objects • Data Access Objects • ActiveX Data Objects • BizTalk • Conflict Resolution • Team Building
4.3.1.3.5	Experience Summary	Mr. Fanty is a .NET developer with more than 30 years dedicated to the development of client-server and Web-based systems. He has performed multiple roles during his career, including software development manager, development lead, product architect, product analyst, advisory programmer/analyst, senior software engineer, software engineer, and programmer/analyst. Mr. Fanty specializes in client/server and Web-based systems with substantial experience with Early Intervention and WIC.

Location/Specific Section Reference	Maurice (Mo) Fanty*	Lead Programmer
	Early Intervention Related Experience	<p>Mr. Fanty is currently the Lead Programmer/Manager for the system development team for Early Intervention in the following: West Virginia, Missouri, Louisiana, Georgia, Indiana, and EDI systems. As the Lead Programmer/Development Manager Maurice (Mo) serves as head of all development for the Early Intervention programs. This responsibility includes the management of the development team in distributing tasks, reviewing and critiquing code, developing and training in current/new technologies, system optimization, and system building and distributing. He is also involved with personnel career development using bi-weekly individual meetings with each developer. Mr. Fanty is heavily involved in staffing plans for each project and overseeing each project's progress. He is also involved in overseeing the development, modification, testing, and implementation of the Early Intervention software to become compliant with the rules and regulations of HIPAA and FERPA.</p> <p>Previous experience includes development lead/.NET developer for West Virginia, New Jersey, Missouri, Indiana, Louisiana, Georgia, and New York City. Mr. Fanty was also the software development/technical lead/analyst for the Indiana WISE Project, product architect for the South Carolina Project, and product architect/technical lead for the New Jersey WIC Project.</p>
4.3.1.3.6	Specialized Skills	Mr. Fanty specializes in ASP.NET, VB.NET, HTML, CSS, ADO.NET, SQL, SQL Reporting Services, VB6, and Biztalk 2010.

Vasudevan Sethumadhavan – Hardware Specialist

Location/Specific Section Reference	Vasudevan Sethumadhavan*	Hardware Specialist
4.3.1.3.2	Specific Duties Allocated to this Project	The Hardware Specialist provides IT infrastructure recommendations and assists in identifying software and operating systems required for new deployments. This person assists with planning for system needs, networking requirements, and configuring systems to run at optimal performance at all times. The Hardware Specialist leads and coordinates the maintenance of complex data hardware systems, investigates and resolves complex network and hardware matters of significance, and researches, analyzes, and resolves errors.
4.3.1.3.3	Educational Level	Bachelor of Science in IT
4.3.1.3.4	Training	Continued Educations/Certifications <ul style="list-style-type: none"> • Diploma in Electrical and Electronics Engineering

Location/Specific Section Reference	Vasudevan Sethumadhavan*	Hardware Specialist
		<ul style="list-style-type: none"> • Cisco Certified Network Associate (CCNA) • ITIL Foundation Certificate In IT Service Management • Microsoft Certified Information Technology Professional (MCITP) • EMC Information Storage Associate • Oracle 8i Database Administration Training • Six-month post-graduate diploma in computer hardware and advanced computer troubleshooting.
4.3.1.3.5	Experience Summary	Gainwell proposes Vasudevan (Vasu) Sethumadhavan as the Hardware Specialist. Mr. Sethumadhavan has more than 25 years of experience in information technology (IT) infrastructure management and support, and 16 years of experience providing IT infrastructure support for the Early Intervention programs. He has extensive knowledge in Microsoft operating systems, database servers, and application software. He received his Bachelor of Science Degree in IT, completed a three-year diploma in electrical and electronics engineering, and various IT certifications.
	Early Intervention Related Experience	Mr. Sethumadhavan oversees the day-to-day technical infrastructure responsibilities for Gainwell's projects administered from Kansas, and leads a team of highly skilled IT system administrators. He oversees the support and implementation of the development, testing, UAT, and production systems. Mr. Sethumadhavan has 16 years of experience providing IT infrastructure support for the Early Intervention programs. Mr. Sethumadhavan is a strong leader of the IT support staff and has an excellent working relationship with all departments.
4.3.1.3.6	Specialized Skills	Mr. Sethumadhavan has Microsoft operating systems, database servers, and application software expertise.

Stewart Mallett – Senior Medicaid/Fund Recovery Specialist

Location/Specific Section Reference	Stewart Mallett*	Medicaid/Fund Recovery Specialist
4.3.1.3.2	Specific Duties Allocated to this Project	The Medicaid/Fund Recovery Specialist for Early Intervention possesses extensive knowledge of billing funding sources, such as Medicaid, for Early Intervention services. The Specialist advises database and application program developers on fund recovery requirements necessary to properly and efficiently construct and submit healthcare claims to various funding sources. This person also analyzes the resulting Remittance Advice (RA) data and advises developers on the best methods of dealing with typical and atypical payer adjudication results. This person also conducts

Location/Specific Section Reference	Stewart Mallett*	Medicaid/Fund Recovery Specialist
		further analysis of claims denied by the funding sources to identify necessary corrections to the initial claiming process. The Specialist also advises and assists developers in constructing reports related to fund recovery.
4.3.1.3.3	Educational Level	Bachelor of Science, Business Administration – Information Technology
4.3.1.3.4	Training	<ul style="list-style-type: none"> • Languages: COBOL, C, C++, Visual Basic, Visual Studio.NET, ASP • Software: Microsoft Office Suite, Crystal Reports, SQL Server Reports, BizTalk • Tools: SourceSafe, Source Mountain • Operating Systems: Windows • Technologies: Main Frame, Client/Server, Citrix, Web development • Databases: Oracle, SQL Server, DB2/2
4.3.1.3.5	Experience Summary	Gainwell proposes Stewart Mallett as the Medicaid/Fund Recovery specialist. Mr. Mallett is a senior developer with more than 35 years dedicated to information technology on various systems. He was the major developer on a nearly two-year project to modernize the WVBTT Medicaid Claiming System. He also spearheaded the implementation of the new NPI guidelines set for WV Medicaid Management Information Systems (MMIS) and the Centers for Medicare & Medicaid Services (CMS). He has performed consulting roles in various applications during his career. He specializes in Visual Basic .NET and has substantial experience in Early Intervention, WIC, and insurance industry business processes. Mr. Mallett is responsible for supporting all the WV Birth to Three web sites and applications.
	Early Intervention Related Experience	Mr. Mallett has nine years of experience working on Early Intervention projects in Development and Support roles.
4.3.1.3.6	Specialized Skills	Designed, developed, and maintained software over wide-ranging projects, for many clients and industries.

Production Support Team

Susan Woodward – Developer

Location/Specific Section Reference	Susan Woodward*	Developer
4.3.1.3.2	Specific Duties Allocated to this Project	Develops and maintains software for all WVBTT websites and applications.

Location/Specific Section Reference	Susan Woodward*	Developer
4.3.1.3.3	Educational Level	University of Kansas, Lawrence, Kansas Bachelor of Science, Sociology
4.3.1.3.4	Training	Ms. Woodward has received specialized training in the following environments, along with Gainwell-led training, including HIPAA Privacy and Security: <ul style="list-style-type: none"> • Visual Basic 6 • .Net 2003 – 2010 (ASP.NET, VB.NET) • SQL Server 2000 – 2008 R2 • COM • COM+ • ADO • VB Scripting • SSIS • SSRS • BizTalk and EDI
4.3.1.3.5	Experience Summary	Ms. Woodward has been a .NET developer with more than 40 years dedicated to the development of client-server and web-based systems. She has performed multiple roles during her career including software development lead, programmer/analyst, senior software engineer, software engineer, and programmer/analyst. Ms. Woodward specializes in client/server and web-based systems with substantial experience with Early Intervention.
	Early Intervention Related Experience	Ms. Woodward currently serves as a Senior Professional Software Engineer and is the proposed Medicaid/Fund Recovery Specialist. As part of her current position she: <ul style="list-style-type: none"> • Developed and maintained software for the various state web-based EI data systems. Work has included the development of user application web pages and back-office automated functionality. Her back-office work includes extensive experience in automating data transformations using the SSIS features of Microsoft SQL Server. • Served as contributor on a nearly two-year project to modernize the WVBTT Medicaid Claiming System. Worked closely with Gainwell and State subject-matter experts to transfer an existing rules-based billing system and transition WV Birth to Three billing rules into it. The project resulted in a new, state-of-the-art, billing system that delivered enhanced key features, such as adjustment billing, for WV Birth to Three. The project led to enhanced revenue for WV Birth to Three through improved handling of participants with multiple Medicaid IDs. • Related to data reporting and analysis, created and enhanced numerous SSRS reports for several state EI clients. Susan developed extensive experience

Location/Specific Section Reference	Susan Woodward*	Developer
		<p>reporting on participant and financial system data. She works closely with clients to understand client needs and accomplish data reporting that addresses those needs.</p> <ul style="list-style-type: none"> The technical environment includes Visual Basic 6, Net 2003 – 2010 (ASP.NET, VB.NET), SQL Server 2000 – 2008 R2, COM, COM+, ADO, VB Scripting, SSIS, SSRS, and BizTalk.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> Software Development and Architecture Data Reporting and Analysis System Design and Analysis Complex Problem Resolution Systems Migrating and Conversion

Development Team

Paul Houck – Production Support

Location/Specific Section Reference	Paul Houck	Production Support
4.3.1.3.2	Specific Duties Allocated to this Project	<ul style="list-style-type: none"> Deploys all aspects of WVBTT website and applications modules and all database scripts Assists in Fund Recovery operations Level 3 Help Desk support and troubleshoots all issues reported Develops and provides all client-requested ad hoc queries and reports
4.3.1.3.3	Educational Level	Bachelor of Science – Human Resources Management
4.3.1.3.4	Training	<ul style="list-style-type: none"> Hardware: PCs, Web, Mainframe Software: Microsoft Office Suite, Visio, Oracle, MS Project, SQL Plus Technologies: Client/Server, Web-based Operating Systems: Microsoft Windows Databases: Oracle, MS SQL Server Industries: Logistics, Public Health, State and Local Government, Telecommunications
4.3.1.3.5	Experience Summary	<p>Paul Houck is a Production Support professional with more than 45 years of IT experience in various industries including the healthcare industry. He has designed, developed, implemented, and maintained IT solutions over wide-ranging projects, for many clients and industries. Mr. Houck is responsible for supporting the WV Birth to Three applications with emphasis on the fund recovery and WVBTT Online systems. He spearheads</p>

Location/Specific Section Reference	Paul Houck	Production Support
		the deployment of Birth to Three software application enhancements and assists the IT department with Microsoft monthly upgrades to the operating systems on the hosting servers.
	Early Intervention Related Experience	Mr. Houck has 15 years working on Early Intervention projects in Quality Assurance and Production Support roles. He oversees the Fund Recovery processes for Birth to Three and is responsible for troubleshooting any issues that may occur. He deploys the monthly software enhancements and assists with monthly Microsoft releases to the WV Birth to Three servers.
4.3.1.3.6	Specialized Skills	Designed, developed, implemented, and maintained IT solutions over wide-ranging projects, for many clients and industries.

Rebecca Kroush – Production Support

Location/Specific Section Reference	Rebecca Kroush	Production Support
4.3.1.3.2	Specific Duties Allocated to this Project	Ms. Kroush is a member of the Production Support Team, which deploys Monthly Production Releases. She is a Liaison/Second level customer service for the Help Desk/Customer Service Representatives which includes Claim Research, Online Application assistance, and Practitioner Enrollment. She tests the web sites after Microsoft Monthly upgrades. Creates ad hoc queries or performs data fixes for the Account Manager upon request. Ms. Kroush assists the QA Team, Development Team, and Account Managers. She also creates training documents for and assists with client training for the Early Intervention Web applications. She assists the QA Team in testing monthly releases/hot fixes on one of the Early Intervention Web applications. She creates write-ups/change requests for one of the Early Intervention Web applications.
4.3.1.3.3	Educational Level	High School Diploma
4.3.1.3.4	Training	<ul style="list-style-type: none"> • State Early Intervention Training • HIPAA Training • FERPA Training • Early Intervention Training
4.3.1.3.5	Experience Summary	Ms. Kroush is a Production Support professional with 34 years of experience in Early Intervention which includes backend processes and client websites.
	Early Intervention Related Experience	34 years with the Early Intervention Team in various positions from Customer Service Representative to

Location/Specific Section Reference	Rebecca Kroush	Production Support
		practitioner enrollment to claims entry to Quality Assurance and Production Support.
4.3.1.3.6	Specific Duties Allocated to this Project	Ms. Kroush is a member of the Production Support Team, which deploys Monthly Production Releases. She is a Liaison/Second level customer service for the Help Desk/Customer Service Reps which includes Claim Research, Online Application assistance, and Practitioner Enrollment. She tests the web sites after Microsoft Monthly upgrades. Creates ad hoc queries or performs data fixes for the Account Manager upon request. Ms. Kroush assists the QA Team, Development Team, and Account Managers. She also creates training documents for and assists with client training for the Early Intervention Web applications. She assists the QA Team in testing monthly releases/hot fixes on one of the Early Intervention Web applications. She creates write-ups/change requests for one of the Early Intervention Web applications.

Richard Wojnarowski – Production Support

Location/Specific Section Reference	Richard Wojnarowski	Production Support
4.3.1.3.2	Specific Duties Allocated to this Project	<p>Assists with deployment of WVBTT web site and applications modules and database scripts</p> <p>WV Daily Archive Files:</p> <ul style="list-style-type: none"> • Assure WV daily files are created and sent to Pinnacle • Archive WV daily files on the designated server for Project Manager <p>WV weekly check processing:</p> <ul style="list-style-type: none"> • Run update to generate payments • Process the Generate payment file • Create any and all check processing reports • Prepare and send EOP to Pinnacle for distribution • Send confirmation email to Project Manager, upon completion • On rare occasion, a WV EFT file may have to be reissued <p>WV monthly reports and EOB processing:</p> <ul style="list-style-type: none"> • Prepare and distribute WV monthly reports for Project Manager • Prepare and send EOB files to Pinnacle for distribution <p>WV 1099 files:</p> <ul style="list-style-type: none"> • Once WV 1099 files have been created by the EI Production support, the files are prepared and sent to Pinnacle for distribution

Location/Specific Section Reference	Richard Wojnarowski	Production Support
4.3.1.3.3	Educational Level	Bachelor's Degree in Business Administration
4.3.1.3.4	Training	<ul style="list-style-type: none"> • HIPAA training • Business administration training • Management courses • Databases: Oracle, MS SQL Server
4.3.1.3.5	Experience Summary	Mr. Wojnarowski has 6 years' experience on the WV Birth to Three team.
	Early Intervention Related Experience	<p>Mr. Wojnarowski is responsible for the following:</p> <ul style="list-style-type: none"> • Processing and archiving daily files • Practitioner payment processing • Monthly, quarterly, and annual reports • EOB processing and distribution • 1099 file preparation for mailing
4.3.1.3.6	Specific Duties Allocated to this Project	Ability to work independently and in a timely manner to meet all deadlines as defined by WVBTT processes.

Quality Assurance Team

Sapthagiri Chakravarthy – Quality Assurance Manager

Location/Specific Section Reference	Sapthagiri Chakravarthy	Quality Assurance Manager
4.3.1.3.2	Specific Duties Allocated to this Project	<ul style="list-style-type: none"> • Quality Leader for WV EI System (Early Intervention) • Create and maintain the QA Testing documents for West Virginia EI System • Execute test scripts. • Track defects using Jira
4.3.1.3.3	Educational Level	Computer Science Engineering, University of Madras, Chennai, India, 2003
4.3.1.3.4	Training	<ul style="list-style-type: none"> • ITIL Foundation Certificate • Six Sigma Yellow belt
4.3.1.3.5	Experience Summary	<p>Mr. Chakravarthy is a QA Specialist with 22 years of quality control and quality assurance experience. He has planned and led integration, performance, automated, functional, regression, and user acceptance testing. He has an in-depth understanding of SQA techniques, SDLC methodologies, and Software Testing Life Cycle (STLC). Mr. Chakravarthy creates test plans for SIT, UAT, Requirement Traceability Matrix, Implementation Plan, Release Notes for help desk and external users, and training plans for system users. He leads the QA team to maintain WV BTTOnline's compliance with specifications and requirements.</p>

Location/Specific Section Reference	Sapthagiri Chakravarthy	Quality Assurance Manager
	Early Intervention Related Experience	As a Quality Leader with 13 years of experience with Early Intervention (EI) systems, Mr. Chakravarthy performed quality assurance functions to support the Early Intervention Part C program. Mr. Chakravarthy led a team of five QA Analysts. He developed and reviewed documentation including Quality Test plan, Implementation Plan, Release Notes, and Training Plan for projects and verified compliance with EI QA policies and procedures.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Languages: C, C++, VB Script, SQL, XML, Java • Operating Systems: Windows, UNIX, iOS • Tools: Selenium, SOAP UI, Load Runner, Zephyr, TestNG, Postman • Databases: Oracle, DB2, MS SQL Server

Kimberley Havens – Senior Quality Assurance Analyst

Location/Specific Section Reference	Kimberley Havens	Senior Quality Assurance Analyst
4.3.1.3.2	Specific Duties Allocated to this Project	<ul style="list-style-type: none"> • Testing all aspects of West Virginia EI System (Early Intervention) • Creating and maintaining the QA Testing documents for West Virginia set forth by DXC Life Cycle • Tracking defects using JIRA • Executing test scripts using Microsoft SQL
4.3.1.3.3	Educational Level	Associate Degree
4.3.1.3.4	Training	Ms. Havens has received extensive on-the-job training and specialized training courses.
4.3.1.3.5	Experience Summary	Ms. Havens has more than 20 years' experience in Software Quality Assurance, Programming, and Analysis. She works closely with software engineers, technical leads, release engineers, database developers, service providers, and key clients to diagnose product issues, identify potential software limitations, resolve defects, and verify corrective actions. Ms. Havens has in-depth experience with the software development life cycle (SDLC). She has experience in detecting, recording, reporting, and tracking defects, also reporting progress status, and analyzing, documenting, and reporting trends, as well as having skills in performing manual functional smoke, system, end-to-end, and regression testing using black box testing techniques. She is knowledgeable in SQL and applying it to test data harvesting, creation, and back-end data inspection. Her focus on meeting deadlines to deliver quality projects utilizing strong organizational and communication skills makes her a value-added asset to the team.

Location/Specific Section Reference	Kimberley Havens	Senior Quality Assurance Analyst
	Early Intervention Related Experience	<ul style="list-style-type: none"> • Dedicated two years on testing all aspects of Indiana and West Virginia EI System (Early Intervention) • Dedicated seven years on testing all aspects of Missouri EI System (Early Intervention) • Worked on the testing projects for all states (Georgia, Indiana, Louisiana, Missouri, New Jersey, West Virginia, and New York) in the EI system • Responsible for the QA Team status for the projects for all states in the EI system • Responsible for creating Test Plans for the Industry change of a 4010 to 5010 files that use Biztalk to send files to Medicaid and insurance companies • Maintain the QA Testing documents for the team to adhere to best practices set forth by Gainwell Life Cycle • Mentored and coached several QA team members • Tested software functionality against business requirements • Created, modified, and implemented manual test cases using Microsoft Excel • Tracked defects using JIRA • Executed test scripts using Microsoft SQL
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Ms. Havens' experience in quality assurance and her focus on meeting deadlines to deliver quality projects utilizing strong organizational and communication skills makes her a value-added asset to the Early Intervention Team. • Quality Assurance • Written and Verbal Communication • Project Planning • Risk Management • Application Team Leadership and Development • Production Support and Maintenance • Status Reporting • Relationship Management • MS Office Suite – Word, Excel

Kishore Sandra – Senior Quality Assurance Analyst

Location/Specific Section Reference	Kishore Sandra	Senior Quality Assurance Analyst
4.3.1.3.2	Specific Duties Allocated to this Project	<ul style="list-style-type: none"> • Testing all aspects of West Virginia Early Intervention system

Location/Specific Section Reference	Kishore Sandra	Senior Quality Assurance Analyst
		<ul style="list-style-type: none"> • Creating and maintaining the QA Testing documents for West Virginia set forth by Gainwell Life Cycle • Tracking defects using Jira • Executing test scripts using Microsoft SQL
4.3.1.3.3	Educational Level	Bachelor of Engineering In Electronics
4.3.1.3.4	Training	<p>Mr. Sandra has received training in the following:</p> <ul style="list-style-type: none"> • HIPAA – Privacy Rule for Business Associates • Performing Advanced Query Techniques in SQL Server 2017 • SQL Server 2017: Running Queries and Manipulating Data • Agile Software Testing: Methodologies and Testing Approaches • Automated Software Testing • Selenium-WebDriver • Dashboard Designers Seminar
4.3.1.3.5	Experience Summary	<p>Mr. Sandra has 17 years' experience in IT with a primary focus on healthcare testing. He is involved in the testing and implementation stages of web-based and client-server applications developed using various tools and technologies. As part of his assignments, he has worked as a Quality Assurance Analyst. Mr. Sandra also works with different teams such as business, development, and management in various activities of the software development life cycle. His roles and responsibilities include requirements gathering, effort estimation, test planning, requirement analysis, test management, quality reviews, and testing with manual and automation tools.</p>
	Early Intervention Related Experience	<p>Mr. Sandra has more than 12 years' experience in Early Intervention as a Quality Assurance Analyst. His responsibilities include understanding the business requirements and functional specifications and preparation of test artifacts such as estimation, metrics, test scenarios, test scope, test cases, test execution documents, defect logs, and closure documents or summary reports. He has worked in different applications including WVBTT Online, eixWV, WVAutoDRC (278 Outbound files), WVccgProviderChecks (Payment Processing, Outbound 835 files), WVccgReports, WVProviderPass, EI OperationsCore (Medicaid and CHIP Claim submission), 835 Inbound Process and Reconciliation, Eligibility Request (270 files), Service Matrix, and Analytics Platform dashboards. He is actively involved in ICD-9 to ICD-10 conversion projects and performed comparative analysis and gap analysis to identify variations in the process as per HIPAA X12 4010 and 5010 guidelines to incorporate updates as per 5010 guidelines. Mr. Sandra has performed EDI mapping</p>

Location/Specific Section Reference	Kishore Sandra	Senior Quality Assurance Analyst
		activities for inbound and outbound transactions sets 270/271, 278 Outbound, 837 Inbound and Outbound, 835 837 Inbound and Outbound, as well as manipulating the data in the database tables using SQL queries to create various testing conditions. He is responsible for writing the Production Deployment Worksheets documents and Release Documents for every release and performs WVBTT quarterly edit review.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • HIPAA EDI Transaction Sets 837 P, 835, 270/271, 278. • SQL Server 2017, Java, Eclipse, Jira Administration, Microsoft Teams, VSS, SharePoint, Selenium WebDriver, TestNG Framework, Microsoft BizTalk Server, and Analytics Platform Dashboard Design/Testing. • He has worked on projects in different domains such as healthcare, finance, and telecom. He has worked on projects for clients such as Penson Financial Services Inc, and Tata Communications. His technical and communication skills are an asset to any project team. • Possesses good management skills, analytical skills, and learning capabilities on the job.

Operations Team

Karen Ratterree – Operations Manager

Location/Specific Section Reference	Karen Ratterree	CFO Operations Manager
4.3.1.3.2	Specific Duties Allocated to this Project	With 27 years' experience on the Early Intervention team, Karen oversees the operational functions of the WV Birth to Three Project. These responsibilities include Customer Service Representative, claims data entry, practitioner enrollment/credentialing, help desk, and practitioner payment. Her years as Operations Manager make her the ideal candidate for this position.
4.3.1.3.3	Educational Level	Graduated High School with Honors, Member of the National Honor Society.
4.3.1.3.4	Training	<p>Continued Education/Certifications</p> <ul style="list-style-type: none"> • Fred Pryor's Exceptional Customer Service Correcting Performance Problems • How to Supervise People • Leadership Essentials: Creating Your Own Leadership Development • The Six Qualities of an Effective Leader • The Principles of Financial Management

Location/Specific Section Reference	Karen Ratterree	CFO Operations Manager
		<ul style="list-style-type: none"> • The Customer-Driven Organization • Several trainings through Gainwell's eLearning program
4.3.1.3.5	Experience Summary	Ms. Ratterree is an operations manager for CFO Customer Service Representatives, Practitioner Enrollment, help desk, and claim entry with more than 37 years of experience dedicated to the operations of the Early Intervention and WIC programs. Ms. Ratterree has completed several trainings through Gainwell's eLearning program and has completed several outside courses as well.
	Early Intervention Related Experience	As a current CFO Manager, Ms. Ratterree is instrumental in the implementation of seven Early Intervention contracts and oversees all functionality across multiple contracts and departments. These functionalities include Customer Service Representatives (CSR), claims data entry, practitioner enrollment/credentialing, family cost participation processing, and help desk. Ms. Ratterree is responsible for supervising the daily activities of Birth to Three Practitioner enrollment/credentialing, CSRs, help desk, and data entry personnel.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Graduated High School with Honors, Member of the National Honor Society. • Microsoft Office skills, WVBTT Online application training • WV EIX claim entry • WV Birth to Three practitioner enrollment, Management, and leadership training

Victoria Green – Practitioner Enrollment/Customer Service Representative

Location/Specific Section Reference	Victoria Green	Practitioner Enrollment / Customer Service Representative
4.3.1.3.2	Specific Duties Allocated to this Project	Practitioner enrollment process – data entry and processing of enrollment packages; a high level of customer service to practitioners; responsible for the resolution of client inquiries regarding the federally funded Birth to Three program
4.3.1.3.3	Educational Level	High School Diploma
4.3.1.3.4	Training	<ul style="list-style-type: none"> • Data Entry • Microsoft products • WV EIX practitioner enrollment application • WV Service Directory
4.3.1.3.5	Experience Summary	Ms. Green has six years' experience as a practitioner enrollment associate for Early Intervention. She works

Location/Specific Section Reference	Victoria Green	Practitioner Enrollment / Customer Service Representative
		with practitioners to validate and coordinate the collection of the required documents for qualified practitioners. She also processes credentialing and re-credentialing for practitioners and updates the practitioner's profile with updated degrees, licenses, and insurance renewals. As part of the quality assurance process for practitioner enrollment, Ms. Green, as the leader for the practitioner enrollment team for WV Birth to Three, reviews files created for practitioners to confirm that the required documents have been received, and the information entered and the practitioner enrollment application is correct. She has strong interpersonal and communication skills, customer service skills, and is very detail oriented. She is also responsible for processing work that adheres to the established processes and procedures established by WV Birth to Three so that quality standards, efficiency, productivity, and SLAs are met or exceeded while enrolling practitioners in Birth to Three.
	Early Intervention Related Experience	Six years as a practitioner enrollment associate.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Data entry • Knowledge base of Early Intervention • Strong interpersonal and communications skills • Customer service skills and is very detail-oriented

Heather Mains – Practitioner Enrollment/Customer Service Representative

Location/Specific Section Reference	Heather Mains	Practitioner Enrollment / Customer Service Representative
4.3.1.3.2	Specific Duties Allocated to this Project	Ms. Mains is a senior practitioner enrollment associate. She is responsible for the practitioner enrollment process including processing enrollment packages which includes initial enrollment application and background checks; a collection of degrees/license for each specialty; insurance policies; applicable training courses; and annual updates for continuing education. She also provides a high level of customer service to practitioners and the client regarding the enrollment/annual update process. Ms. Mains is responsible for quality assurance for practitioner enrollment, and annual updates into WV EIX as part of the SOC 1 audit.
4.3.1.3.3	Educational Level	High School Diploma
4.3.1.3.4	Training	<ul style="list-style-type: none"> • Microsoft products • WVBTT Online application • WV EIX practitioner enrollment application • WV EIX claims entry application

Location/Specific Section Reference	Heather Mains	Practitioner Enrollment / Customer Service Representative
		<ul style="list-style-type: none"> • WV Service Matrix • Organizational training • HIPAA training • Management and leadership training
4.3.1.3.5	Experience Summary	Ms. Mains has 16 years as a practitioner enrollment senior associate. She works with practitioners and her team daily to coordinate collecting required documents for qualified practitioners. She oversees the credentialing and re-credentialing of practitioners and updates the practitioner's profile with updated degrees, licenses, and insurance renewals. As part of the quality assurance process for practitioner enrollment, Ms. Mains reviews files created for practitioners to verify the required documents have been received and the information entered in the practitioner enrollment application is correct. Ms. Mains is the liaison with the Birth to Three CSPD and Policy Coordinator. She is also responsible for processing work that adheres to the established processes and procedures established by WV Birth to Three so quality standards, efficiency, productivity, and SLA agreements are met or exceeded.
	Early Intervention Related Experience	16 years as Practitioner Enrollment Senior Associate: <ul style="list-style-type: none"> • One year as customer service representative • 15 years in practitioner enrollment, including eight years as a Senior Lead
4.3.1.3.6	Specialized Skills	Data entry, knowledge base of Early Intervention, WV EIX application, and WVBTT Online Application.

Christina Jones – Practitioner Enrollment/Customer Service Representative

Location/Specific Section Reference	Christina Jones	Practitioner Enrollment / Customer Service Representative
4.3.1.3.2	Specific Duties Allocated to this Project	Ability to answer question regarding practitioner claims; ability to answer questions from practitioners and families regarding authorization of services established by the RAU; accurately entering practitioner claims; ability to assist and process enrollment for practitioners
4.3.1.3.3	Educational Level	High School Diploma
4.3.1.3.4	Training	Data Entry, Microsoft products, WV EIX claim entry application, WVBTT Service Matrix application, WVBTT Online Claims System application, HIPAA Training
4.3.1.3.5	Experience Summary	Ms. Jones is a Customer Service Representative with 10 years' experience dedicated to customer satisfaction. She is responsible for quality review and data entry of practitioner claims into the WV EIX claim entry application and WVBTT Online Claims System

Location/Specific Section Reference	Christina Jones	Practitioner Enrollment / Customer Service Representative
		application. She provides phone support for practitioners and families with questions regarding enrollment, authorizations, and services provided to children enrolled in the Birth to Three program. She is responsible for quality review and validates accurate paperwork is received while processing new and existing enrollment for practitioners in the Birth to Three program. Ms. Jones is responsible for the resolution of client inquiries regarding the federally funded program and data entry and processing project-specific documents.
	Early Intervention Related Experience	10 years as a customer service representative for Early Intervention clients, practitioners, and families, data entry, processing reports, and practitioner enrollments.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Data Entry • Knowledge base of Early Intervention • WV EIX Application • Processing practitioners' enrollments

Suzanne Page – Help Desk Technician/Customer Service Representative

Location/Specific Section Reference	Suzanne Page	Help Desk Technician / Customer Service Representative
4.3.1.3.2	Specific Duties Allocated to this Project	As a first responder in the call center, Suzanne possesses the ability to answer questions regarding issues with the WVBTT Online application; support WVBTT Online users with technical issues; and enter and remove users of the WVBTT Online application and Service Directory at the request of the WV Birth to Three program, RAU, user supervisor, or disenrollment from the WV Birth to Three program.
4.3.1.3.3	Educational Level	Associates Degree in Social Services
4.3.1.3.4	Training	<ul style="list-style-type: none"> • Data Entry • Microsoft products • WVBTT Online Application training • WVBTT Service Matrix • WV EIX training • HIPAA Training • Team Leadership courses • Time Management course
4.3.1.3.5	Experience Summary	Ms. Page is the Help Desk Technician Lead with 24 years of service on the Early Intervention team. She is responsible for the intake and resolution of inbound calls related to questions concerning client hardware and/or software. She provides phone support to WVBTT Online users and is responsible for the set-up of new users and the removal of terminated users of the WVBTT Online

Location/Specific Section Reference	Suzanne Page	Help Desk Technician / Customer Service Representative
		application. She provides quality assurance checks on new users added to WVBTT Online by her help desk team. She oversees the set-up of the Service Matrix users. She is responsible for processing work that adheres to the established processes and procedures so that quality standards, efficiency, productivity, and SLA agreements are met or exceeded.
	Early Intervention Related Experience	As the Help Desk Lead, Ms. Page is instrumental in the implementation of seven Early Intervention contracts and was responsible for setting up users and providing phone training and assistance to those users with questions. She maintains user access for the Service Directory and the WVBTT Online application for practitioners in the Birth to Three program.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Data entry • Knowledge base of Early Intervention • WV EIX application • WVBTT Online application

Ebone' Moore – Help Desk Technician / Customer Service Representative

Location/Specific Section Reference	Ebone' Moore	Help Desk Technician / Customer Service Representative
4.3.1.3.2	Specific Duties Allocated to this Project	As a first responder in the call center, Ms. Moore possesses the ability to answer questions regarding issues with the WVBTT Online application; support all WVBTT Online users with technical issues; RAU, user supervisor, or disenrollment from the WV Birth to Three program.
4.3.1.3.3	Educational Level	High School Diploma College-Level Coursework
4.3.1.3.4	Training	Data Entry; Microsoft products, WVBTT Online Application, WVBTT Service Matrix, HIPAA Training
4.3.1.3.5	Experience Summary	Ms. Moore is a help desk technician with nine years' experience on the WV Birth to three support team. She is responsible for assisting practitioners and families with questions regarding the children enrolled in Birth to Three. As part of the help desk team, she also sets-up and maintains user access for approved users of the Service Directory. She is also responsible for the intake and resolution of inbound calls related to client hardware and/or software. As a Help Desk Technician, she is responsible for processing work that adheres to the established processes and procedures so that quality standards, efficiency, productivity, and SLA agreements are met or exceeded.

Location/Specific Section Reference	Ebone' Moore	Help Desk Technician / Customer Service Representative
	Early Intervention Related Experience	Ms. Moore assists WVBTT Online user with technical and online support of the WVBTT Online application. In addition, Ms. Moore has had experience as a parent with a child who received Early Intervention services in her home state.
4.3.1.3.6	Specialized Skills	Data entry, technical support/problem solving, internet/browser-based knowledge, knowledge base of Early Intervention, WV EIX application, WVBTT Online application

Suzette Yonker – Help Desk Technician

Location/Specific Section Reference	Suzette Yonker	Help Desk Technician
4.3.1.3.2	Specific Duties Allocated to this Project	As a first responder in the call center, Ms. Yonker possesses the ability to answer questions regarding issues with the WVBTT Online application and support WVBTT Online users with technical issues.
4.3.1.3.3	Educational Level	High School Diploma Three years of college
4.3.1.3.4	Training	<ul style="list-style-type: none"> • Data Entry • Microsoft products • WVBTT Online application • WVBTT Service Matrix • Management and leadership training
4.3.1.3.5	Experience Summary	Ms. Yonker is a help desk technician with 7 years' experience on the WV Birth to three support team. She is responsible for assisting practitioners and families with questions regarding the children enrolled in Birth to Three. As part of the help desk team, she also sets up and maintains user access for approved users of the WVBTT Online system and Service Directory. She is responsible for the intake and resolution of inbound calls related to client hardware and/or software. As a Help Desk Technician, she is responsible for processing work that adheres to the established processes and procedures so that quality standards, efficiency, productivity, and SLAs are met or exceeded.
	Early Intervention Related Experience	Ms. Yonker assists WVBTT Online users with technical and online support of the WVBTT Online application.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Data entry • Knowledge base of Early Intervention • WV EIX application • WVBTT Online training

Kaileen Wilson – Help Desk Technician/Customer Service Representative

Location/Specific Section Reference	Kaileen Wilson	Help Desk Technician / Customer Service Representative
4.3.1.3.2	Specific Duties Allocated to this Project	As a first responder in the call center, possesses the ability to answer questions regarding issues with the WVBTT Online application; supports WVBTT Online users with technical issues; entering and removing users of the WVBTT Online application at the request of the WV Birth to Three program, RAU, user supervisor, or disenrollment from the WV Birth to Three program. Also provides answers for the WVBTT Online Claims system (OCS) users; supports users with claims, authorizations, and questions regarding billing and payment.
4.3.1.3.3	Educational Level	High School Diploma
4.3.1.3.4	Training	Data Entry; Microsoft products, WVBTT Online Application, WVBTT Service Directory, Management, and leadership training, HIPAA training
4.3.1.3.5	Experience Summary	Ms. Wilson is a Help Desk Technician with 16 years of service on the Early Intervention team. She is responsible for the intake and resolution of inbound calls related to questions concerning client hardware and/or software. She provides phone support to WVBTT Online users and is responsible for the setup of new users and the removal of terminated users of the WVBTT Online application. She also handles password management requests for WVBTT OCS. She provides quality assurance checks on new users added to WVBTT Online by her help desk team and oversees the setup of the Service Matrix users. She is responsible for processing work that adheres to the established processes and procedures so that quality standards, efficiency, productivity, and SLAs are met and/or exceeded.
	Early Intervention Related Experience	Ms. Wilson is instrumental in the implementation of four Early Intervention contracts and was responsible for setting up users and providing phone training and assistance to those users with questions. She maintains the Service Matrix profiles for practitioners in the Birth to Three program.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Data entry • Knowledge base of Early Intervention • WV EIX application • WVBTT Online application

Sheila Harris – Help Desk Technician

Location/Specific Section Reference	Sheila Harris	Help Desk Technician
4.3.1.3.2	Specific Duties Allocated to this Project	As a first responder in the call center, possess the ability to answer question regarding issues with the WVBTT Online application; support all WVBTT Online users with technical issues.
4.3.1.3.3	Educational Level	Associate's Degree
4.3.1.3.4	Training	<ul style="list-style-type: none"> • Data Entry • Microsoft products • WVBTT Online application • Service Matrix • HIPAA training
4.3.1.3.5	Experience Summary	Ms. Harris is a Help Desk Technician with 6 years of service on the Early Intervention team. She is responsible for the intake and resolution of inbound calls related to questions concerning client hardware and/or software. She provides phone support to WVBTT Online users. She is responsible for processing work that adheres to the established processes and procedures so that quality standards, efficiency, productivity, and SLA agreements are met or exceeded.
	Early Intervention Related Experience	Ms. Harris is instrumental in assisting WVBTT Online users in using the application. She is also responsible for internal reports regarding the help desk timeliness of responding to phone calls and meeting SLA timelines.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Data entry • Knowledge base of Early Intervention • WV EIX application • WVBTT Online application

John Davis – Help Desk Technician

Location/Specific Section Reference	John Davis	Help Desk Technician
4.3.1.3.2	Specific Duties Allocated to this Project	As a first responder in the call center, Mr. Davis possesses the ability to answer questions regarding issues with the WVBTT Online application and support WVBTT Online users with technical issues.
4.3.1.3.3	Educational Level	Bachelor's Degree
4.3.1.3.4	Training	<ul style="list-style-type: none"> • Data Entry • Microsoft products • WVBTT Online application • WVBTT Online Claims System • WVBTT Service Directory • Management and leadership training

Location/Specific Section Reference	John Davis	Help Desk Technician
4.3.1.3.5	Experience Summary	Mr. Davis is a help desk technician with 7 years' experience on the WV Birth to Three support team. He is responsible for assisting practitioners and families with questions regarding the children enrolled in Birth to Three. As part of the help desk team, he also assists callers with password resets for approved users of the WVBTT Online system, WVBTT Online Claims system, and Service Directory. He is responsible for the intake and resolution of inbound calls related to client hardware and/or software. As a Help Desk Technician, he is responsible for processing work that adheres to the established processes and procedures so that quality standards, efficiency, productivity, and SLA agreements are met or exceeded.
	Early Intervention Related Experience	Mr. Davis assists WVBTT Online users with technical and online support of the WVBTT Online application and WVBTT Online Claims application.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • Data entry • Knowledge base of Early Intervention • WV EIX application • WVBTT Online training

Michael Osborne – Practitioner Payments/Reporting

Location/Specific Section Reference	Michael Osborne	Practitioner Payments/Reporting
4.3.1.3.2	Specific Duties Allocated to this Project	<p>WV Daily Archive Files:</p> <ul style="list-style-type: none"> • Archive WV daily files on the designated server for Project Manager <p>WV weekly check processing:</p> <ul style="list-style-type: none"> • Run update to generate payments • Process the Generate Payment file • Create any and all check processing reports • Send confirmation email to Project Manager, upon completion • On rare occasions, a WV EFT file may have to be reissued <p>WV monthly reports and EOB processing:</p> <ul style="list-style-type: none"> • Prepare and distribute WV monthly reports for Project Manager • Prepare and send EOB files to Rochester for distribution <p>WV 1099 files:</p>

Location/Specific Section Reference	Michael Osborne	Practitioner Payments/Reporting
		<ul style="list-style-type: none"> Once WV 1099 files have been created by the EI Production support, the files are prepared and sent to Rochester for distribution
4.3.1.3.3	Educational Level	Bachelor's Degree in Telecommunications
4.3.1.3.4	Training	<ul style="list-style-type: none"> HIPAA training Business administration training Management courses
4.3.1.3.5	Experience Summary	Mr. Osborne is a dedicated professional with many years of experience in payment processing, report processing, EOB processing and distribution, and 1099 preparation.
	Early Intervention Related Experience	Mr. Osborne is a dedicated professional with many years of experience in payment processing, report processing, EOB processing and distribution, and 1099 preparation.
4.3.1.3.6	Specialized Skills	Mr. Osborne's ability to work independently and complete his responsibilities on time make him a value-added member of the Early Intervention team.

Fiscal Operations Team

Malinda Beasley – Financial Operator – Medicaid/CHIP

Location/Specific Section Reference	Malinda Beasley	Financial Operator – Medicaid/CHIP
4.3.1.3.2	Specific Duties Allocated to this Project	<ul style="list-style-type: none"> Responsible for requesting Purchase Orders for vendors when applicable to Birth to Three Program Process Birth to Three Medicaid/CHIP claims and retrieve electronic response files for claims and eligibility.
4.3.1.3.3	Educational Level	High School Diploma
4.3.1.3.4	Training	Ms. Beasley has received on-the-job training and specific Gainwell training.
4.3.1.3.5	Experience Summary	Ms. Beasley has 26 years' experience with Gainwell. Throughout those years, she has worked in accounts payable, accounts receivable, as well as spent 8 years with the Early Intervention project as a practitioner enrollment associate and as the financial operator. Ms. Beasley also has experience in Central Finance operations, Practitioner Enrollment, and Family Cost Participation. She has also worked with invoicing for all Branch contract accounting including, Animal Rebate, Early Intervention, and WIC. Ms. Beasley's Early Intervention work also includes submission of electronic claims to Medicaid and TPL, along with EI Client Billing, and reconciliation of bank accounts for both Early Intervention and Animal Health.

Location/Specific Section Reference	Malinda Beasley	Financial Operator – Medicaid/CHIP
	Early Intervention Related Experience	<p>Ms. Beasley's Early Intervention experience includes:</p> <ul style="list-style-type: none"> • Process EI Medicaid/TPL/CHIP claims and retrieve electronic response files for claims and eligibility • Work directly with Account Managers to provide requested financial materials for the programs they support • Maintain Early Intervention monthly • Monitor daily transactions with EI bank accounts • Responsible for requesting Purchase Orders for vendors when applicable
4.3.1.3.6	Specialized Skills	Ms. Beasley has a tremendous knowledge base and works closely with internal and external teams. She is an asset to the team.

Database Administration Team

Charles He, PhD – DBA Analyst

Location/Specific Section Reference	Charles He, PhD	DBA Analyst
4.3.1.3.2	Specific Duties Allocated to this Project	Dr. He maintains EI's SQL Server databases, as well as mirror databases for all the Early Intervention states.
4.3.1.3.3	Educational Level	PhD in mathematics
4.3.1.3.4	Training	Oracle 8i Certified Professional DBA, HIPAA Training
4.3.1.3.5	Experience Summary	Dr. He has more than 25 years' extensive experience in database administration of Oracle and SQL Server relational databases. He has comprehensive exposure to Oracle and SQL Server database production support 24x7 and application development in UNIX, Linux, and Windows environments.
	Early Intervention Related Experience	Dr. He has 20 years' experience in Early Intervention.
4.3.1.3.6	Specialized Skills	<ul style="list-style-type: none"> • SQL • PL/SQL • C/C++ • UNIX Shell Scripts

FEDERAL FUNDS ADDENDUM
2 C.F.R. §§ 200.317 – 200.327

Purpose: This addendum is intended to modify the solicitation in an attempt to make the contract compliant with the requirements of 2 C.F.R. §§ 200.317 through 200.327 relating to the expenditure of certain federal funds. This solicitation will allow the State to obtain one or more contracts that satisfy standard state procurement, state federal funds procurement, and county/local federal funds procurement requirements.

Instructions: Vendors who are willing to extend their contract to procurements with federal funds and the requirements that go along with doing so, should sign the attached document identified as: "REQUIRED CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS (2 C.F.R. § 200.317)"

Should the awarded vendor be unwilling to extend the contract to federal funds procurement, the State reserves the right to award additional contracts to vendors that can and are willing to meet federal funds procurement requirements.

Changes to Specifications: Vendors should consider this solicitation as containing two separate solicitations, one for state level procurement and one for county/local procurement.

State Level: In the first solicitation, bid responses will be evaluated with applicable preferences identified in sections 15, 15A, and 16 of the "Instructions to Vendors Submitting Bids" to establish a contract for both standard state procurements and state federal funds procurements.

County Level: In the second solicitation, bid responses will be evaluated with applicable preferences identified in Sections 15, 15A, and 16 of the "Instructions to Vendors Submitting Bids" omitted to establish a contract for County/Local federal funds procurement.

Award: If the two evaluations result in the same vendor being identified as the winning bidder, the two solicitations will be combined into a single contract award. If the evaluations result in a different bidder being identified as the winning bidder, multiple contracts may be awarded. The State reserves the right to award to multiple different entities should it be required to satisfy standard state procurement, state federal funds procurement, and county/local federal funds procurement requirements.

State Government Use Caution: State agencies planning to utilize this contract for procurements subject to the above identified federal regulations should first consult with the federal agency providing the applicable funding to ensure the contract is compliant.

County/Local Government Use Caution: County and Local government entities planning to utilize this contract for procurements subject to the above identified federal regulation should first consult with the federal agency providing the applicable funding to ensure the contract is compliant. For purposes of County/Local government use, the solicitation resulting in this contract was conducted in accordance with the procurement laws, rules, and procedures governing the West Virginia Department of Administration, Purchasing Division, except that vendor preference has been omitted for County/Local use purposes and the contract terms contained in the document entitled "REQUIRED CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS (2 C.F.R. § 200.317)" have been added.

FEDERAL FUNDS ADDENDUM

REQUIRED CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS (2 C.F.R. § 200.317):

The State of West Virginia Department of Administration, Purchasing Division, and the Vendor awarded this Contract intend that this Contract be compliant with the requirements of the Procurement Standards contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements found in 2 C.F.R. § 200.317, et seq. for procurements conducted by a Non-Federal Entity. Accordingly, the Parties agree that the following provisions are included in the Contract.

**1. MINORITY BUSINESSES, WOMEN'S BUSINESS ENTERPRISES, AND LABOR SURPLUS AREA FIRMS:
(2 C.F.R. § 200.321)**

- a. The State confirms that it has taken all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible. Those affirmative steps include:
 - (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
 - (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
 - (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;
 - (4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;
 - (5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
 - (6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) above.
- b. Vendor confirms that if it utilizes subcontractors, it will take the same affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

**2. DOMESTIC PREFERENCES:
(2 C.F.R. § 200.322)**

- a. The State confirms that as appropriate and to the extent consistent with law, it has, to the greatest extent practicable under a Federal award, provided a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United

States (including but not limited to iron, aluminum, steel, cement, and other manufactured products).

b. Vendor confirms that will include the requirements of this Section 2. Domestic Preference in all subawards including all contracts and purchase orders for work or products under this award.

c. Definitions: For purposes of this section:

(1) "Produced in the United States" means, for iron and steel products, that all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States.

(2) "Manufactured products" means items and construction materials composed in whole or in part of non-ferrous metals such as aluminum; plastics and polymer-based products such as polyvinyl chloride pipe; aggregates such as concrete; glass, including optical fiber; and lumber.

3. BREACH OF CONTRACT REMEDIES AND PENALTIES:
(2 C.F.R. § 200.327 and Appendix II)

(a) The provisions of West Virginia Code of State Rules § 148-1-5 provide for breach of contract remedies, and penalties. A copy of that rule is attached hereto as Exhibit A and expressly incorporated herein by reference.

4. TERMINATION FOR CAUSE AND CONVENIENCE:
(2 C.F.R. § 200.327 and Appendix II)

(a) The provisions of West Virginia Code of State Rules § 148-1-5 govern Contract termination. A copy of that rule is attached hereto as Exhibit A and expressly incorporated herein by reference.

5. EQUAL EMPLOYMENT OPPORTUNITY:
(2 C.F.R. § 200.327 and Appendix II)

Except as otherwise provided under 41 CFR Part 60, and if this contract meets the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3, this contract includes the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."

6. DAVIS-BACON WAGE RATES:
(2 C.F.R. § 200.327 and Appendix II)

Vendor agrees that if this Contract includes construction, all construction work in excess of \$2,000 will be completed and paid for in compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, contractors must:

- (a) pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor.
- (b) pay wages not less than once a week.

A copy of the current prevailing wage determination issued by the Department of Labor is attached hereto as Exhibit B. The decision to award a contract or subcontract is conditioned upon the acceptance of the wage determination. The State will report all suspected or reported violations to the Federal awarding agency.

7. ANTI-KICKBACK ACT:
(2 C.F.R. § 200.327 and Appendix II)

Vendor agrees that it will comply with the Copeland Anti-KickBack Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States"). Accordingly, Vendor, Subcontractors, and anyone performing under this contract are prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The State must report all suspected or reported violations to the Federal awarding agency.

8. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT
(2 C.F.R. § 200.327 and Appendix II)

Where applicable, and only for contracts awarded by the State in excess of \$100,000 that involve the employment of mechanics or laborers, Vendor agrees to comply with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, Vendor is required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

9. RIGHTS TO INVENTIONS MADE UNDER A CONTRACT OR AGREEMENT.
(2 C.F.R. § 200.327 and Appendix II)

If the Federal award meets the definition of "funding agreement" under 37 CFR § 401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that "funding agreement," the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," and any implementing regulations issued by the awarding agency.

10. CLEAN AIR ACT
(2 C.F.R. § 200.327 and Appendix II)

Vendor agrees that if this contract exceeds \$150,000, Vendor is to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

11. DEBARMENT AND SUSPENSION
(2 C.F.R. § 200.327 and Appendix II)

The State will not award to any vendor that is listed on the governmentwide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), "Debarment and Suspension." SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

12. BYRD ANTI-LOBBYING AMENDMENT
(2 C.F.R. § 200.327 and Appendix II)

Vendors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

13. PROCUREMENT OF RECOVERED MATERIALS
(2 C.F.R. § 200.327 and Appendix II; 2 C.F.R. § 200.323)

Vendor agrees that it and the State must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the

Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

14. PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT.
(2 C.F.R. § 200.327 and Appendix II; 2 CFR § 200.216)

Vendor and State agree that both are prohibited from obligating or expending funds under this Contract to:

- (1) Procure or obtain;
- (2) Extend or renew a contract to procure or obtain; or
- (3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115–232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
 - (i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
 - (ii) Telecommunications or video surveillance services provided by such entities or using such equipment.
 - (iii) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

In implementing the prohibition under Public Law 115–232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained.

State of West Virginia

By: Heather White

Printed Name: Heather White

Title: Procurement Specialist, Senior

Date: 6/26/25

Vendor Name:

By: Gainwell Technologies LLC

Printed Name: Mark Knickrehm

Title: President and Chief Executive Officer

Date: April 29, 2025

Signed by:

Mark Knickrehm
4EE6B8D6B86646D

EXHIBIT A To:
REQUIRED CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY
CONTRACTS UNDER FEDERAL AWARDS (2 C.F.R. § 200.317):

W. Va. CSR § 148-1-5

**West Virginia Code of State Rules
Title 148. Department of Administration
Legislative Rule (Ser. 1)
Series 1. Purchasing**

**W. Va. Code St. R. § 148-1-5
§ 148-1-5. Remedies.**

Contracts

5.1. The Director may require that the spending unit attempt to resolve any issues that it may have with the vendor prior to pursuing a remedy contained herein. The spending unit must document any resolution efforts and provide copies of those documents to the Purchasing Division.

5.2. Contract Cancellation.

5.2.1. Cancellation. The Director may cancel a purchase or contract immediately under any one of the following conditions including, but not limited to:

5.2.1.a. The vendor agrees to the cancellation;

5.2.1.b. The vendor has obtained the contract by fraud, collusion, conspiracy, or is in conflict with any statutory or constitutional provision of the State of West Virginia;

5.2.1.c. Failure to honor any contractual term or condition or to honor standard commercial practices;

5.2.1.d. The existence of an organizational conflict of interest is identified;

5.2.1.e. Funds are not appropriated or an appropriation is discontinued by the legislature for the acquisition;

5.2.1.f. Violation of any federal, state, or local law, regulation, or ordinance, and

5.2.1.g. The contract was awarded in error.

5.2.2. The Director may cancel a purchase or contract for any reason or no reason, upon providing the vendor with 30 days' notice of the cancellation.

5.2.3. Opportunity to Cure. In the event that a vendor fails to honor any contractual term or condition, or violates any provision of federal, state, or local law, regulation, or ordinance, the Director may request that the vendor remedy the contract breach or legal violation within a time frame the Director determines to be appropriate. If the vendor fails to remedy the contract breach or legal violation or the Director determines, at his or her sole discretion, that such a request is unlikely to yield a satisfactory result, then he or she may cancel immediately without providing the vendor an opportunity to perform a remedy.

5.2.4. Re-Award. The Director may award the cancelled contract to the next lowest responsible bidder (or next highest scoring bidder if best value procurement) without a subsequent solicitation if the following conditions are met:

5.2.4.a. The next lowest responsible bidder (or next highest scoring bidder if best value procurement) is able to perform at the price contained in its original bid submission, and

5.2.4.b. The contract is an open-end contract, a one-time purchase contract, or a contract for work which has not yet commenced.

Award to the next lowest responsible bidder (or next highest scoring bidder if best value procurement) will not be an option if the vendor's failure has in any way increased or significantly changed the scope of the original contract. The vendor failing to honor contractual and legal obligations is responsible for any increase in cost the state incurs as a result of the re-award.

5.3. Non-Responsible. If the Director believes that a vendor may be non-responsible, the Director may request that a vendor or spending unit provide evidence that the vendor either does or does not have the capability to fully perform the contract requirements, and the integrity and reliability necessary to assure good faith performance. If the Director determines that the vendor is non-responsible, the Director shall reject that vendor's bid and shall not award the contract to that vendor. A determination of non-responsibility must be evaluated on a case-by-case basis and can only be made after the vendor in question has submitted a bid. A determination of non-responsibility will only extend to the contract for which the vendor has submitted a bid and does not operate as a bar against submitting future bids.

5.4. Suspension.

5.4.1. The Director may suspend, for a period not to exceed 1 year, the right of a vendor to bid on procurements issued by the Purchasing Division or any state spending unit under its authority if:

5.4.1.a. The vendor has submitted a bid and then requested that its bid be withdrawn after bids have been publicly opened.

5.4.1.b. The vendor has exhibited poor performance in fulfilling his or her contractual obligations to the State. Poor performance includes, but is not limited to any of the following: violations of law, regulation, or ordinance; failure to deliver timely; failure to deliver quantities ordered; poor performance reports; or failure to deliver commodities, services, or printing at the quality level required by the contract.

5.4.1.c. The vendor has breached a contract issued by the Purchasing Division or any state spending unit under its authority and refuses to remedy that breach.

5.4.1.d. The vendor's actions have given rise to one or more of the grounds for debarment listed in W. Va. Code § 5A-3-33d.

5.4.2. Vendor suspension for the reasons listed in section 5.4 above shall occur as follows:

5.4.2.a. Upon a determination by the Director that a suspension is warranted, the Director will serve a notice of suspension to the vendor.

5.4.2.b. A notice of suspension must inform the vendor:

5.4.2.b.1. Of the grounds for the suspension;

5.4.2.b.2. Of the duration of the suspension;

5.4.2.b.3. Of the right to request a hearing contesting the suspension;

5.4.2.b.4. That a request for a hearing must be served on the Director no later than 5 working days of the vendor's receipt of the notice of suspension;

5.4.2.b.5. That the vendor's failure to request a hearing no later than 5 working days of the receipt of the notice of suspension will be deemed a waiver of the right to a hearing and result in the automatic enforcement of the suspension without further notice or an opportunity to respond; and

5.4.2.b.6. That a request for a hearing must include an explanation of why the vendor believes the Director's asserted grounds for suspension do not apply and why the vendor should not be suspended.

5.4.2.c. A vendor's failure to serve a request for hearing on the Director no later than 5 working days of the vendor's receipt of the notice of suspension will be deemed a waiver of the right to a hearing and may result in the automatic enforcement of the suspension without further notice or an opportunity to respond.

5.4.2.d. A vendor who files a timely request for hearing but nevertheless fails to provide an explanation of why the asserted grounds for suspension are inapplicable or should not result in a suspension, may result in a denial of the vendor's hearing request.

5.4.2.e. Within 5 working days of receiving the vendor's request for a hearing, the Director will serve on the vendor a notice of hearing that includes the date, time and place of the hearing.

5.4.2.f. The hearing will be recorded and an official record prepared. Within 10 working days of the conclusion of the hearing, the Director will issue and serve on the vendor, a written decision either confirming or reversing the suspension.

5.4.3. A vendor may appeal a decision of the Director to the Secretary of the Department of Administration. The appeal must be in writing and served on the Secretary no later than 5 working days of receipt of the Director's decision.

5.4.4. The Secretary, or his or her designee, will schedule an appeal hearing and serve on the vendor, a notice of hearing that includes the date, time and place of the hearing. The appeal hearing will be recorded and an official record prepared. Within 10 working days of the conclusion of the appeal hearing, the Secretary will issue and serve on the vendor a written decision either confirming or reversing the suspension.

5.4.5. Any notice or service related to suspension actions or proceedings must be provided by certified mail, return receipt requested.

5.5. Vendor Debarment. The Director may debar a vendor on the basis of one or more of the grounds for debarment contained in W. Va. Code § 5A-3-33d or if the vendor has been declared ineligible to participate in procurement related activities under federal laws and regulation.

5.5.1. Debarment proceedings shall be conducted in accordance with W. Va. Code § 5A-3-33e and these rules. A vendor that has received notice of the proposed debarment by certified mail, return receipt requested, must respond to the proposed debarment within 30 working days after receipt of notice or the debarment will be instituted without further notice. A vendor is deemed to have received notice, notwithstanding the vendor's failure to accept the certified mail, if the letter is addressed to the vendor at its last known address. After considering the matter and reaching a decision, the Director shall notify the vendor of his or her decision by certified mail, return receipt requested.

5.5.2. Any vendor, other than a vendor prohibited from participating in federal procurement, undergoing debarment proceedings is permitted to continue participating in the state's procurement process until a final debarment decision has been reached. Any contract that a debarred vendor obtains prior to a final debarment decision shall remain in effect for the current term, but may not be extended or renewed. Notwithstanding the foregoing, the Director may cancel a contract held by a debarred vendor if the Director determines, in his or her sole discretion, that doing so is in the best interest of the State. A vendor prohibited from participating in federal procurement will not be permitted to participate in the state's procurement process during debarment proceedings.

5.5.3. If the Director's final debarment decision is that debarment is warranted and notice of the final debarment decision is mailed, the Purchasing Division shall reject any bid submitted by the debarred vendor, including any bid submitted prior to the final debarment decision if that bid has not yet been accepted and a contract consummated.

5.5.4. Pursuant to W.Va. Code § 5A-3-33e(e), the length of the debarment period will be specified in the debarment decision and will be for a period of time that the Director finds necessary and proper to protect the public from an irresponsible vendor.

5.5.5. List of Debarred Vendors. The Director shall maintain and publicly post a list of debarred vendors on the Purchasing Division's website.

5.5.6. Related Party Debarment. The Director may pursue debarment of a related party at the

same time that debarment of the original vendor is proceeding or at any time thereafter that the Director determines a related party debarment is warranted. Any entity that fails to provide the Director with full, complete, and accurate information requested by the Director to determine related party status will be presumed to be a related party subject to debarment.

5.6. Damages.

5.6.1. A vendor who fails to perform as required under a contract shall be liable for actual damages and costs incurred by the state.

5.6.2. If any commodities delivered under a contract have been used or consumed by a spending unit and on testing the commodities are found not to comply with specifications, no payment may be approved by the Spending Unit for the merchandise until the amount of actual damages incurred has been determined.

5.6.3. The Spending Unit shall seek to collect damages by following the procedures established by the Office of the Attorney General for the collection of delinquent obligations.

Credits

History: Filed 4-1-19, eff. 4-1-19; Filed 4-16-21, eff. 5-1-21.

Current through register dated May 7, 2021. Some sections may be more current. See credits for details.

W. Va. C.S.R. § 148-1-5, WV ADC § 148-1-5

End of Document

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**EXHIBIT B To:
REQUIRED CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY
CONTRACTS UNDER FEDERAL AWARDS (2 C.F.R. § 200.317):**

Prevailing Wage Determination

- [] – Not Applicable Because Contract Not for Construction**
- [] – Federal Prevailing Wage Determination on Next Page**

Cost Proposal

MCH2500000001 Pricing Page

	Year 1	Year 2	Year 3	Year 4	Year 5
Start-Up Costs	\$0				
Yearly Operating Costs	\$4.77 / Paid Claim Line	\$4.89 / Paid Claim Line	\$5.01 / Paid Claim Line	\$5.14 / Paid Claim Line	\$5.27 / Paid Claim Line
Annual Claim Lines					
Initial Enhancement and Modernization Costs	\$0	\$0			
Additional Services* (all-inclusive hourly rate)	\$87.00/hr	\$89.18/hr	\$91.41/hr	\$93.70/hr	\$96.04/hr
All Inclusive Hourly Rate for Training	\$87.00/hr	\$89.18/hr	\$91.41/hr	\$93.70/hr	\$96.04/hr

Pricing Assumptions

This section describes Gainwell's cost proposal assumptions. Gainwell is also including additional brief comments on the pricing for each line item, to assist WV Birth to Three in understanding the assumptions that generated the cost entries in the table.

Contract Years

Gainwell anticipates that the new contract resulting from this RFP will begin on October 1, 2025, and year one of the contract will last until September 30, 2026. Years two through five will each begin on October 1st of subsequent years. Gainwell has used this assumed set of contract year start and end dates to configure its pricing for many of the lines in the cost exhibit below.

Start-Up Costs

There are no transitional or implementation costs associated with start-up.

Yearly Operating Costs

This line contains the annual rate per claim for the services specified in the RFP. The rate is all-inclusive except that, per RFP instructions, Gainwell proposes to pass through postage separately. The postage will be invoiced monthly at cost, with no "mark up." The per claim rate is based on 287,000 claims per year.

Gainwell has used a projection of approximately 2.5% per year increase in the cost of labor and materials in preparing its pricing for years two through five.

Gainwell acknowledges that postage will be billed as a pass-through expense separately and has not included it in the per-line cost. The SSAE 18 SOC1 audit is included in the per-line cost.

Initial Enhancement and Modernization Costs

Gainwell has proposed an aggressive series of modernization initiatives. These are being offered at no additional cost to WV Birth to Three.

Additional Services

Per RFP instructions, an all-inclusive hourly rate has been provided for each contract year for future system modifications.

Training

Per RFP instructions, an all-inclusive hourly rate has been provided for each contract year. The rate includes labor, travel and minimal materials related to delivering training to state and RAU staff at each of nine total state and RAU locations.

Cost Sheet Preparation

Cost Sheet Preparation: To establish methodology and documentation requirements for reimbursement of vendor activities.

Yes, Gainwell has complied with this requirement by providing a fixed startup cost.

Fixed Cost

Vendor will provide a fixed cost associated with start-up of the current SPOE, service matrix directory, and CFO functions.

Yes, Gainwell has complied with this requirement by providing a fixed startup cost. Please refer to our cost proposal for details.

Yearly Operating Costs

Vendor will calculate total yearly operating costs for maintenance operation of all CFO functions and submit a fixed per paid claim line amount by which Agency will reimburse vendor. Paid claim lines are those claims that the Vendor processes on behalf of the Agency as payable to enrolled Payees. An estimate of annual paid claim lines based on past history is provided on the Cost Sheet. Postage may be invoiced as a pass-through cost with supporting documentation.

Yes, Gainwell has complied with this requirement by proposing a fixed cost per claim line. Please refer to our cost proposal for details.

Per Hour Cost

Vendor will provide a per hour cost for ongoing system modification work. An estimated pool of 8,000 hours will be available for ongoing system modifications.

Yes, Gainwell has complied with this requirement by proposing an hourly cost for system modifications. Please refer to our cost proposal for details.

All-Inclusive Hourly Cost

Vendor will provide an all-inclusive hourly cost for training.

Yes, Gainwell has complied with this requirement by proposing an all-inclusive hourly cost for training. Please refer to our cost proposal for details.