



The following documentation is an electronically-submitted vendor response to an advertised solicitation from the *West Virginia Purchasing Bulletin* within the Vendor Self-Service portal at *wvOASIS.gov*. As part of the State of West Virginia's procurement process, and to maintain the transparency of the bid-opening process, this documentation submitted online is publicly posted by the West Virginia Purchasing Division at *WVPurchasing.gov* with any other vendor responses to this solicitation submitted to the Purchasing Division in hard copy format.

## Header @ 1

[List View](#)

## General Information

[Contact](#)[Default Values](#)[Discount](#)[Document Information](#)[Clarification Request](#)

Procurement Folder: 830052

Procurement Type: Central Master Agreement

Vendor ID: VS0000014288

Legal Name: SOFHEON INC

Alias/DBA:

Total Bid: \$916,970.00

Response Date: 02/17/2021

Response Time: 13:01

Responded By User ID: mikesasko

First Name: Michael

Last Name: Sasko

Email: msasko@softheon.com

SO Doc Code: CRFQ

SO Dept: 0511

SO Doc ID: BCF2100000004

Published Date: 2/8/21

Close Date: 2/17/21

Close Time: 13:30

Status: Closed

Solicitation Description: EMPLOYMENT VERIFICATION SERVICES

Total of Header Attachments: 1

Total of All Attachments: 1



Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	Employment Verification Services 13,500 Annual Hits	12.00000	MO	10676.250000	128115.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.49 per transaction

**Extended Description:**

4.1.1 Employment Verification Services 13,500 Annual Hits

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
2	Employment Verification Services Overage Hit	10000.000	EA	9.490000	94900.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.49 per transaction

**Extended Description:**

4.1.1 Employment Verification Services Overage Hit

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
3	Employment Verification Services Monthly Account Service Fee	12.00000	MO	0.000000	0.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon does not charge monthly fee

**Extended Description:**

4.1.1 Employment Verification Services, Monthly Account Service Fee

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
4	Employment Verification Services 13,500 Annual Hits-Opt Yr 1	12.00000	MO	10890.000000	130680.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.68 per transaction

**Extended Description:**

4.1.1 Employment Verification Services 13,500 Annual Hits, Optional Renewal Year 1

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
5	Employment Verification Services Overage Hit - Opt Yr 1	10000.000	EA	9.680000	96800.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.68 per transaction

**Extended Description:**

4.1.1 Employment Verification Services Overage Hit, Optional Renewal Year 1

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
6	Employment Verification Services Monthly Acct Fee-Opt Year 1	12.00000	MO	0.000000	0.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon does not charge a month fee

**Extended Description:**

4.1.1 Employment Verification Services, Monthly Account Service Fee, Optional Renewal Year 1

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
7	Employment Verification Services 13,500 Annual Hits-Opt Yr 2	12.00000	MO	11103.750000	133245.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.87 per transaction

**Extended Description:**

4.1.1 Employment Verification Services 13,500 Annual Hits, Optional Renewal Year 2

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
8	Employment Verification Services Overage Hit - Opt Yr 2	10000.000	EA	9.870000	98700.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.87 per transaction

**Extended Description:**

4.1.1 Employment Verification Services Overage Hit, Optional Renewal Year 2

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
9	Employment Verification Services Monthly Acct Fee-Opt Year 2	12.00000	MO	0.000000	0.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon does not charge a monthly fee

**Extended Description:**

4.1.1 Employment Verification Services, Monthly Account Service Fee, Optional Renewal Year 2

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
10	Employment Verification Services 13,500 Annual Hits-Opt Yr 3	12.00000	MO	11227.500000	134730.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.98 per transaction

**Extended Description:**

4.1.1 Employment Verification Services 13,500 Annual Hits, Optional Renewal Year 3

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
11	Employment Verification Services Overage Hit - Opt Yr 3	10000.000	EA	9.980000	99800.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon charges \$9.98 per transaction

**Extended Description:**

4.1.1 Employment Verification Services Overage Hit, Optional Renewal Year 3

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
12	Employment Verification Services Monthly Acct Fee-Opt Year 3	12.00000	MO	0.000000	0.00

Comm Code	Manufacturer	Specification	Model #
83120000			

**Commodity Line Comments:** Softheon does not charge a monthly fee

**Extended Description:**

4.1.1 Employment Verification Services, Monthly Account Service Fee, Optional Renewal Year 3

# Softheon



## **Softheon Response to Employment Verification Services Solicitation No: CRFQ 0511 BCF2100000004**

**February 17<sup>th</sup>, 2021**

**Submitted to:**

Department of Administration  
Office of Procurement  
Purchasing Division  
2019 Washington Street E  
Charleston, WV 25305  
**Phone:** (304) 558-2402  
**Email:** [crystal.g.hustead@wv.gov](mailto:crystal.g.hustead@wv.gov)

**Submitted from:**

Softheon Inc.  
Michael Sasko  
Vice President, Government Solutions 1500  
Stony Brook Road  
Stony Brook, New York 11794  
**Phone:** (916) 802-0638  
**Email:** [msasko@softheon.com](mailto:msasko@softheon.com)

## Confidentiality

© Copyright 2021 Softheon Inc. All rights reserved.

## Trademarks

Softheon and Softheon logo are trademarks of Softheon Inc. Trademarks and trade names owned by third-parties may be referred to herein and are the exclusive property of the respective owners.

The content of this document is confidential and the property of Softheon; this document may not be copied or disclosed without written consent of Softheon.

This document is valid as of its publication date, please be aware that industry standards and regulations change and improve rapidly and Softheon is not responsible for updating or reissuing this document as such changes occur.

Corporate Headquarters Softheon Inc.  
1500 Stony Brook Road Stony Brook, NY 11794



## COVER LETTER

Crystal Hustead  
Department of Administration  
Office of Procurement  
Purchasing Division  
2019 Washington Street East  
Charleston, WV 25305  
Phone: (304) 558-2402  
Email: [crystal.g.hustead@wv.gov](mailto:crystal.g.hustead@wv.gov)

Dear Ms. Hustead,

Softheon is a technology company dedicated to providing state agencies the data they need to execute accurate and timely eligibility decisions for Public Assistance Programs (PAP). Our solution, **Softheon Verify**, is a MITA designed, modularly deployed, singular platform designed for the inclusion of a wide variety of data sources to meet multiple agency use cases. In support of CMS Center of Program Integrity (CPI) “front door” deterrents to fraud, waste, and abuse, Softheon Verify is an advanced, integrated verification solution fully capable of conducting Employment Verification Services for West Virginia.

1. **West Virginia Current AVS Technology** - Softheon Verify is West Virginia’s current Asset Verification System (AVS), providing Financial Institution, Real Property and Motor Vehicle information in support of Medicaid, Medicaid (LTCC), SNAP and TANF eligibility determinations. The Verify platform is highly configurable and is pre-built for the easy, no cost inclusion of additional data sets such as those required for WV Employer Verification Services with its current delivery.

In the past 2 years, Softheon has secured 3 new state Verification Platform awards in addition to West Virginia AVS, to include New Mexico AVS, Indiana AVS and Mississippi Fraud and Abuse Module (FAM). In the Mississippi FAM project Softheon will collect and share in a multi-agency delivery, over 18 unique data sets to include federal, state and commercial sources. Mississippi will include Income and Employer data within the Verify Platform. West Virginia has made Softheon a finalist for Employer/income additional as they too seek a configurable platform approach to data.

2. **Professional Integration**- West Virginia has already purchased Softheon’s Verify technology to include a Portal, and an Integrated Solution within the RAPIDS system, as executed by Optum. Because of this technology **REUSE** scenario, West Virginia can immediately add Employer Verification data at not cost of implementation, shared between state agencies as required and paying only predictable transaction data fees.

West Virginia will benefit from our experienced delivery team having successfully deployed the Verify Portal and MMIS / Eligibility System Integrations twice in the past 12-month period. Similar to West Virginia’s needs, Softheon has experience executing Portal or integration operations for a wide variety of sister agency’s requesting the need for

Employer Verification Services. Softheon has a significant history in executing **critical integrations into complex established platforms** to include *Centene*, our nation's top Medicaid MCO, *AARP*, our country's leading non-profit platform, and most recently completing over 750 requirements in integrational operations for the *Massachusetts Health Connector* exchange. Softheon is a true state partner bringing highly configurable, innovatively designed products, and the experienced professionals needed for seamless integrations. State Medicaid agencies have come to trust Softheon as the superior vendor to deliver into today's established systems and for future MMIS transitions.

**3. The Softheon Commitment** - In assuming this work, Softheon favorably competes with consulting groups established in many states who have been in place for decades. Our Verify Platform is expanding the market by providing for state's seeking advanced technology and **a new choice** to access and manage the verification resources they need to execute accurate and timely eligibility decisions. Softheon never forgets that our work must reflect the priorities of the enrollment specialist and must reflect their workflows (portal or integrated). We also realize the great balance in providing technologies to address Fraud, Waste, and Abuse along with the need to efficiently provide public assistance services to some of the most vulnerable in our population – to “families in crisis”. To this purpose, Softheon adheres ourselves to strong and punitive SLA's for system availability, data timeliness/data accuracy, for us as well as our downstream data partners. Softheon commits to provide West Virginia the finest verification platform available with the addition of Employment Verification Services.

Softheon hereby attests our ability to meet all West Virginia Department of Administration – Office of Procurement requirements in the execution of this Employment Verification Services Solicitation No.: CRFQ 0511 BCF2100000004. We have prepared this response without the help of outside sources; **we do not utilize lobbyists or paid consultants in the promotion of our response efforts** that might conflict with this opportunity. At Softheon, we stand firm on providing “best in class” Verification Platform technologies and people to always exceed state expectations for quality and service. We look forward to the privilege of again serving West Virginia on this important initiative for the benefit of all citizens.



Sincerely,

**Robert Miller**

GM & SVP, Softheon Inc.  
Email: [rmiller@softheon.com](mailto:rmiller@softheon.com) | Mobile:  
(631) 885-393

## Softheon is Superior Verification Technology

Softheon is a technology company changing the way states gain verification data for Public Assistance Programs (PAP). Over the past 18 months, Softheon has been awarded 4 new state contracts for verification work from states seeking a more *holistic approach* to gaining and sharing the data they need for eligibility decisions. Forward-thinking states will no longer tolerate single- purpose platforms, hard-coded for single agency uses. Instead, states like West Virginia, are increasingly requiring verification platforms that can meet today’s data requirements and are entirely capable of supporting future data set additions, cross agency data sharing and are designed for ease of integration into established systems. Supporting CMS’s Center for Program Integrity(CPI) “front door” deterrents to fraud, waste, and abuse, Softheon is proud to offer to West Virginia the addition of Employer Verification Services to our **Softheon Verify Platform** solution.

## Softheon

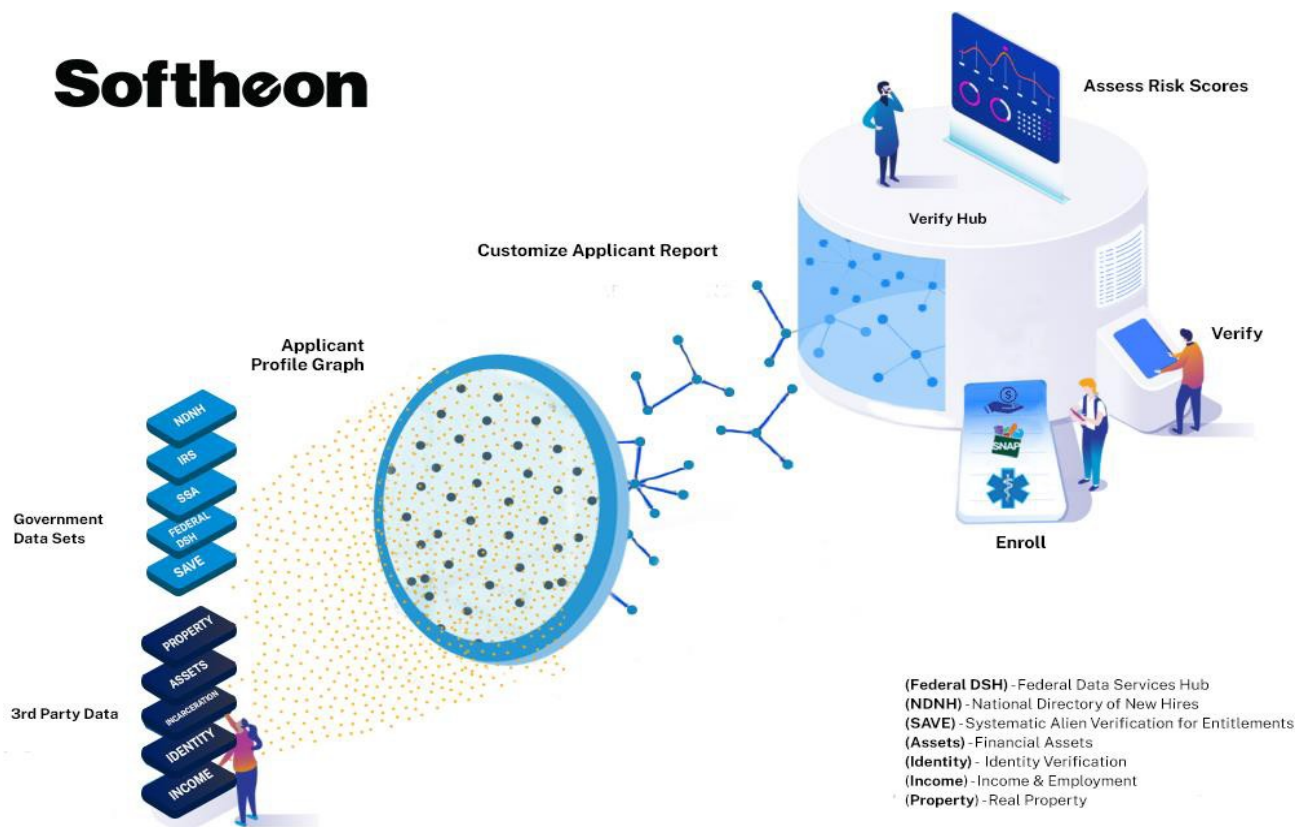


Figure 1 Softheon Verification Eco-System

The Softheon platform is a MITA aligned, modularly designed, single platform solution that is highly configurable to solve for today’s West Virginia’s Department of Administration employer/income needs and is easily adapted to meet the changing CMS requirements in support of the state’s regulatory landscape. In its fully build state, **Softheon Verify** is a data aggregation platform able to gain, consume, and share data from a wide variety of sources to include federal, state, and commercial data sets. Softheon technology architecture can support all the identified potential areas of West Virginia’s Income and Employment project scope.

Softheon's proven ability to share data across sister agencies will support all identified West Virginia programs to include Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance for Needy Families (TANF), Child Support Services and Child Care and Medicaid (Medical Assistance). Finally, Softheon understands that if needed, additional verification data can easily be added as future requirements. In our current delivery of the Mississippi (Fraud and Abuse Module) FAM project, we are capturing these same state and federal sets and sharing across an integrated Portal with the Mississippi Department of Medicaid (DOM), Mississippi Department of Human Services (MDHS), Social Services (Child Support), Recovery (IG) and Audit. No other verification platform vendor allows for the levels of data capture, cross agency sharing, and overall verification support as delivered in the Softheon **Verify** Platform.

### **Softheon is Highly Experienced in MMIS Integrations**

Softheon fully understands the challenges of integrating into various eligibility systems and executing historical data migration as required. As a true technology company, Softheon brings exceptional integration experience working within established, fielded technologies across many significant government and commercial clients. Our competitors, namely credit bureau agencies and consulting groups, often under-estimate the precise details for successfully integrating into system putting at risk the daily operation of public assistance programs critical to our most vulnerable populations. Finally, integration is very much a state specific delivery, and we will offer this new data set as a Portal, an Integrated Solution or both. Any other vendor suggesting the repurposing of an existing state-built approach, simply does not understand or appreciate the needs of the West Virginia delivery. It is our experience that current systems are built for a single state purpose and must be entirely rebuilt to accommodate this level of configuration of both agency and data future needs. Softheon's integrations are precisely planned, built, thoroughly tested, and delivered by technology professionals. Our team of technology implementation leaders, technical architects, data scientist, developers, subject matter experts, testers, and project management team are proven to quickly deliver the new data set to West Virginia's current AVS implementation.

In current platform contract states of West Virginia, Indiana and now in Mississippi, Softheon Verify integrates into several vastly different technology systems to support both Medicaid and Human Services eligibility purposes. Verify AVS captures verification request from each agency returning required data to be shared across the state's shared platform. Softheon technology is deployed and will NOT ALLOW duplicate requests for the same individual regardless of application origination. The Softheon system shall maintain system flexibility to accommodate any Department system changes adequately and efficiently and can accept requests at any frequency to include batch files, or "ad-hoc" requests from the Department or its designees. Softheon allows easy ad-hoc requests giving the Department's direct access into the verification platform at any given time.

### **Softheon Brings Industry Leading Data Partners**

Softheon brings the most extensive partnership of downstream data partners in the industry, having experience working with nearly all credit bureau vendors, data agencies and products allowing for states to match their needs and potentially benefit from locally pre-established contracts. Softheon works hard to determine the best vendor partners for each state engagement and is always seeking new vendor technology firms who bring new and improved data access.

For the initial purpose of this West Virginia RFQ, Employment Verification Services, Softheon has selected **EmpInfo Inc. (EI)** of San Jose, California as our downstream verification data partner. EmpInfo, Inc., founded in 2011 and HQ in Silicon Valley, provides for Softheon a robust SaaS/Cloud platform for employment and income verification currently serving over 10,000 Verifiers, such as banks, Mortgage companies, institutional lenders, pre-employment screeners, government agencies, prospective employers, and other authorized businesses. EI is industry “best in breed” providing over 500,000 employers in their significant database. Softheon appreciates the ease of data flow from the state through to EmpInfo that can equally operate using an online portal, (web form), a batch upload or an API interphase or collective all three in the same engagement, depending on specific needs of the state and their varied, current technology deployments.

Softheon has selected this next-generation technology solution as a significant upgrade to states currently contracted with Equifax’s *The Work Number* (TWN). TWN utilized a stagnant dataset provided by ADP of only our nation’s largest employers. Because of these limitations, response rates have been reported to be well below 20%, while charging states for all requested transactions rather than fees for returned data. EI has a different approach. EI targets a wider variety of West Virginia’s employers, to include large, medium, and small business, franchisees, not-for-profit organizations as well as many national payroll companies and Human Resource Information Systems (HRIS). These very active data sets reflect the employers of today’s West Virginia’s workforce providing response rates above 60%. One note of transparency is the fact that unlike a stagnant dataset of TWN, EI’s significantly high results come back to the state in “near real time”, some in minutes, some take hour and others days in order to achieve our vaulted results. EI results coupled with data sets from Social Security Administration, National Database of New Hires (NDNH), ensure accurate income and employer validation for West Virginia to gain timely eligibility decisions.

Lastly, Softheon appreciates the fact that EI is committed to continuously improving their employer data base. In fact, they will build an West Virginia-unique data set for use for all requested agencies. Beginning with approved release of agency historical data, EI actively works to build electronic verification pathways between employers and their database. Providing for an external, secure employer portal, new employers are encouraged to join EI and therefore save the on-going time of follow-on verification requests. In a recent survey conducted by Softheon in New Mexico, a single franchise owner had employees in his 10-national chain, fast food restaurants, many of which were eligible for on-going public assistance programs. An ongoing connection to these employers and other small business, better reflect our constituents and are in the best interests of West Virginia. Lastly, Softheon has selected Trans Union, Inc., to execute our “free-of-charge” SSN verifications and employer pre-checks.

## Robust Data Analytics Dashboard

Softheon Verify is delivered along with another one of our modular solutions, our advanced Data Analytics platform, **Foundry**. West Virginia agencies, operations managers, state leaders, and stakeholders already appreciate the near real-time data, reports, and dashboard capabilities of this product, provided with ongoing training to all skill levels. Foundry can report on any data element within Employment Verification Services and provide details grouped by data points like individual county or caseworker submission. This capability will provide the West Virginia with the ability to manage operations in real time, easily produce monthly, quarterly, and annual reports, while providing insight about trends and key performance indicators. Several of our current state clients use Foundry in preparation for cost savings analysis, overall program efficiency throughout the state and for annual briefings.

Below is one example of high-level county metrics and graphics from State of West Virginia (*data snapshot is taken of applicants for the day of 4/5/2019 as below*) requested by HHS Eligibility Lead (weekly summary):

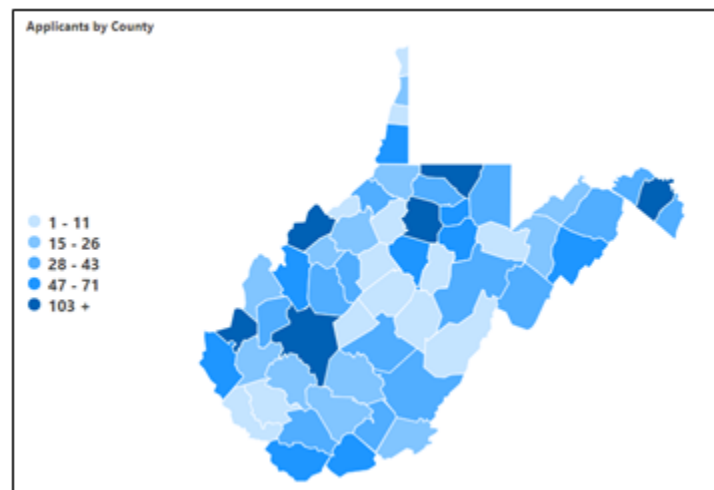


Figure 2 Map of Applications by County in West Virginia

## Softheon Pricing Advantage

Softheon is proud to share our fair, honest and predictable costing model. We understand the importance of providing our solutions at prices that are annually predictable and sustainable for our state agency clients. To this end, Softheon charges only a singular flat rate per transaction for the opportunity to provide Employment Verification Services. We expect to **REUSE technology** previous procured by West Virginia in the execution of this contract whether via Portal or a system integration. Softheon will NOT charge any set-up or monthly use fees. It is our company policy that Softheon will never charge a client-partner Licensing fees, single use Maintenance & Operations (M&O) fees, customization Change Fees or others in the execution of our contractual obligations. We adhere to strong SLA's which we openly track monthly and appreciate the opportunity to partner with West Virginia in a very transparent costing arrangement. Our flat pricing exists throughout the length of the contract with only nominal 2% increases. Unlike our competitors, Softheon executes simple to understand pricing, avoiding use fees, annual license fees, confusing tiers and minimum use clauses that typically work in favor of the vendor at state expense. Softheon current pricing of the AVS product is a testament to our commitment as a true state client partner.

### **Strong SLA Commitments**

Softheon understands the critical work of gaining accurate and timely data to support all public assistance program eligibility determinations. We provide a guaranteed commitment to perform now and in the future; therefore, we introduce our agreement to very aggressive Service Level Agreements (SLA's) with monetary penalties. We appreciate the ability to hold ourselves and our data partners accountable to the highest standards of quality and timely delivery of verification data services in support of West Virginia's public assistance program eligibility determinations.

To this commitment Softheon agrees to execute to all agreed SLA's as determined by West Virginia Employment Verification Services RFQ and in our final contracted document will outline standardly applied, additional SLA's designed to keep Softheon accountable long-term to provide the highest functioning technology, expert personnel and support services needed to service Department of Administration for the benefit of all West Virginians.

## Softheon State Agency Experience

Softheon's verification technology is MITA aligned, modularly designed and highly configurable to solve for today's requirements (real property and financial institutions) on a single platform that is easily adapted to meet the changing CMS and state regulatory landscape (identity proofing, alternatives to SSN use, etc.). In both West Virginia and now in Mississippi, Softheon integrates with two vastly different technology systems to support both Medicaid and Human Services eligibility purposes. No other vendor can provide the precise integration experience of Softheon – impressing state system integrator companies with our modular designs and configurability capabilities.

### New Hampshire – Enhanced Eligibility System

New Hampshire Experience	
Agency	Department of Health & Human Services
Years of Experience	1 Year
Go Live	January 2014
Timeline	60 Days to Go Live
Implementation	Standalone Portal
Programs	Medicaid, Medicaid LTCC, SNAP, TANF, Cash Allowance, LIHEAP
Datasets	Financial Assets Real Property Assets Identity Proofing

In 2014, Softheon launched a completely electronic Enhanced Eligibility Verification (EEV) Portal for New Hampshire. In addition to utilizing data sources to return financial assets, real property assets, and identity proofing (Enhanced Identity Verification), the EEV compared the returned assets to the program-specific resource limits to determine the public assistance supports for which an applicant was truly eligible. Softheon pioneered a new asset comparison tool where each applicant was assigned a 'risk score based on business rules to identify any applicants that had abnormal returns or exceeded thresholds. While Softheon's data results were helpful in guiding eligibility determination, it was ultimately up to the eligibility specialist completing the application to make the determination. The EEV deployment



was asked to be a stand-alone portal, external to New

Hampshire's other eligibility and case management systems and it communicated with New Hampshire's eligibility and case management system through a batch exchange process.

Softheon's EEV compared identified assets with applicant/beneficiary-specific program resource limit(s). Using defined program eligibility criteria, the solution was able to identify overall risk of eligibility.

Softheon EEV assigned a risk evaluation comparing the value of countable liquid assets and countable real property assets with the program specific thresholds. Working within established state workflows, simple Green, Yellow, and Red risk score graphics were provided to assist enrollment specialists in prioritizing efforts, referring high-risk Red cases to authorized case workers for follow-up actions.



**West Virginia – Asset Verification System**

Launched 45 days after contract signing, West Virginia's Verify AVS solution was initially implemented as a stand-alone portal in August 2018.



West Virginia Experience	
<b>Agency</b>	Department of Health & Human Resources
<b>Years of Experience</b>	2 Years
<b>Go Live</b>	August 2018
<b>Timeline</b>	45 Days to Go Live
<b>Implementation</b>	Standalone Portal & Full Integration
<b>Programs</b>	Medicaid, Medicaid LTCC, SNAP, TANF
<b>Datasets</b>	Financial Assets Real Property Assets

Following their MMIS PATH project roadmap, West Virginia transitioned to a fully integrated solution connecting with the state's Integrated Eligibility System (IES) operated by Optum in January 2019.

In West Virginia, our AVS solution is used to return financial assets, real property assets, and vehicle assets based on the request of the initial query. In addition to the financial institutions disclosed by the applicant, West Virginia has chosen to search all financial institutions within a 65-mile radius of the applicant's home address. Financial assets are all returned electronically and

provide 60 months of account balances. Softheon's response provides an extensive list of data elements for financial assets including but not limited to Account Number, ABA Number, Account Open, Closed, and Removed dates, Type of Account, along with balance and interest information. In West Virginia, we complete both detection and verification searches, meaning we search and verify

the banks disclosed by the applicant in addition to searching all the other banks for assets that were not disclosed. Real property and vehicle asset searches also include both disclosed assets and undisclosed assets. Verify AVS is utilized by over 980 enrollment specialists throughout the state's 55 managed counties. Based on requirements from CMS SSA Section 1940 (electronic AVS) and locally passed legislation, West Virginia requires Softheon to develop programs-specific business

rules for both Medicaid and Department of Human Services to cover all categories of Medicaid eligibility, Medicaid LTCC, SNAP and TANF programs. Softheon worked collectively with all stakeholders to design and integrate an AVS solution best for all stakeholders.

At West Virginia's request, Softheon developed protective business rules to limit excessive transactions, preventing an applicant from having multiple verification requests within 30 days for the same program, or a for a look back period that is shorter than the previously submitted verification request.

---

*Softheon's AVS in West Virginia found an applicant who had low account balances at the point of application but just a few months prior had balances over \$100,000 and showed the purchase of a \$50,000 Volvo.*

---

**New Mexico – Asset Verification System**

New Mexico Experience	
Agency	Human Services Department
Years of Experience	1 Year
Go Live	February 2019
Timeline	45 Days to Go Live
Implementation	Standalone Portal & Pending Full Integration
Programs	Medicaid
Datasets	Financial Assets Real Property Assets

Launched once again in under 45 days after contract signing, New Mexico's AVS solution was initially implemented as a stand-alone portal in February 2019. We expanded with New Mexico to launch a fully integrated solution with their ASPEN eligibility system operated by Deloitte.

In New Mexico, our system is used to return financial assets, real property assets, and vehicle assets. In addition to the financial institutions disclosed by the applicant, New Mexico has selected to only search the major banking institutions for additional accounts. Financial assets are all returned electronically and provide 60 months of account balances. Real property and

vehicle assets also query for disclosed assets as well as undisclosed assets. Enrollment workers are notified via email when AVS has returned data for their review.



Case managers submit verification requests within Softheon's AVS Portal. Information about disclosed assets is submitted and a query is initiated. Softheon's AVS solution then searches our linked data sources and provides the results in an easily understandable format. Softheon also provides an analytics tool that can help New Mexico identify trends and show cost savings

due to the enhanced verification process.

**Indiana – Asset Verification System**

Indiana Experience	
Agency	Department of Health & Human Resources
Years of Experience	1 Year
Go Live	December 2020
Timeline	45 Days to Finish Development
Implementation	Standalone Portal & Full Integration
Programs	Medicaid, Medicaid LTCC, SNAP, TANF
Datasets	Financial Assets Real Property Assets

Softheon has deployed the Verify Portal for Indiana Family and Social Services Administration (FSSA) in our now standard 45-day professional delivery and has recently completed full integration with the Indiana Eligibility Determination and Services System (IEDSS). Softheon is awaiting FSSA to gain CMS approval to push to full production data services. CMS has asked Indiana to delay production to 4QTR 2020 due to CMS Covid- 19 travel and resource constraints. System integrator Deloitte leads the project and operates Indiana FSSA IEDSS.

In Indiana, and soon to be offered as a free upgrade in West Virginia, our AVS includes a new addition to our comprehensive network of financial institutions. Responding to Indiana’s concern for delays in gaining Financial Institution (FI) returned data, Softheon deployed 2 unique data partner vendors, working in tandem, to increase data return efficiencies. Also



unique for our Indiana deployment, Indiana FSSA will gain information on tractor ownership, specific farm equipment, ATVs, and more, in addition to the standard access to the world’s largest database of public records to report on real property ownership, including all ownership of motor vehicles such as cars, boats, airplanes, and RV’s.

Finally, Softheon is using the Foundry analytics program to generate state mandated reports on verification activity by county and are producing reports on customized tracking and metrics.

**Mississippi – Fraud and Abuse Module to Support CMS Asset Verification**

<b>Mississippi Experience</b>	
<b>Agency</b>	Department of Health & Human Resources
<b>Years of Experience</b>	1 Years
<b>Go Live</b>	January 2021
<b>Timeline</b>	180 Days to Go Live
<b>Implementation</b>	Standalone Portal & Full Integration
<b>Programs</b>	Medicaid, Medicaid LTCC, SNAP, TANF
<b>Datasets</b>	Financial Assets Real Property Assets

The Mississippi Division of Medicaid (DOM) and the Mississippi Department of Human Services (HDS) contracted Softheon to develop, customize, configure, implement, maintain, support, and host a real-time enhanced eligibility verification solution for Medicaid, SNAP, TANF and LIHEAP applications. The complex project will provide Mississippi a full Fraud and Abuse Module (FAM) as a key component of their Health and Human Services Transformation Project (HHSTP).

In addition to the standard delivery of AVS data to be shared with both agencies, as well as with IG, Recovery and Audit, all utilized data set integrations will be developed and delivered per individual program business rule requirements.

Integration with the Social Security Administration (SSA), Federal Data Services Hub (FDSH), U.S. Department of Health and Human Services (HHS) National Directory of New Hires (NDNH), Health and Human Services Public Assistance Reporting Information System (PARIS), State Public Employee Retirement System (PERS), National Accuracy Clearinghouse (NAC), and Mississippi Department of Employment Security (MDES) is essential for this verification process.

As a part of the RFP and our response, Mississippi is excited for Softheon to provide our complete architectural recommendation as to how this new system will be built and operated for the benefit of all stakeholders. The FAM is only the most recent example of Softheon’s growing reputation of providing first-in-class technology, broad and wholistic approaches to state verification needs, and precise implementations in a wide and growing list of eligibility systems and data sources (both public and private). Mississippi’s complex data integration needs is also an example of why other state delivered AVS solutions, pre-built and repeatedly re-deployed, often fall short in comparison to Softheon’s state specific deliveries. Every state is unique and requires customized workflow rules to support its program delivery, they also have their own proprietary data systems that they will be able to access at little to no cost. With Softheon’s integration experience, Mississippi selected a vendor that will be able to access all required state data and bring in new data sets as needed over the lifetime of the contract, in a true partnership. Mississippi’s Division of Medicaid (DOM) and the Mississippi Department of Human Services (MDHS) will achieve FAM Go Live in January 2021.

## Softheon and EmpInfo Data Partnership

Softheon’s Income and Employment data partner EmpInfo Inc. (EI) utilizes much more than a single stagnant ADP data set; instead, EI has access to an every-growing list of Employers provided by the employers themselves, HR Systems, Payroll Systems and Credit Reporting Agencies (CRS’s). **EI currently maintains over 500,000 employers nationwide on their platform for verification of income and employment.** Additionally, EI is the only income data set committed to building the accuracy and efficiency of their data sets through processes to encourage employer participation on behalf of their employees. The following graphic depicts EI’s approach to data set and data set improvement.

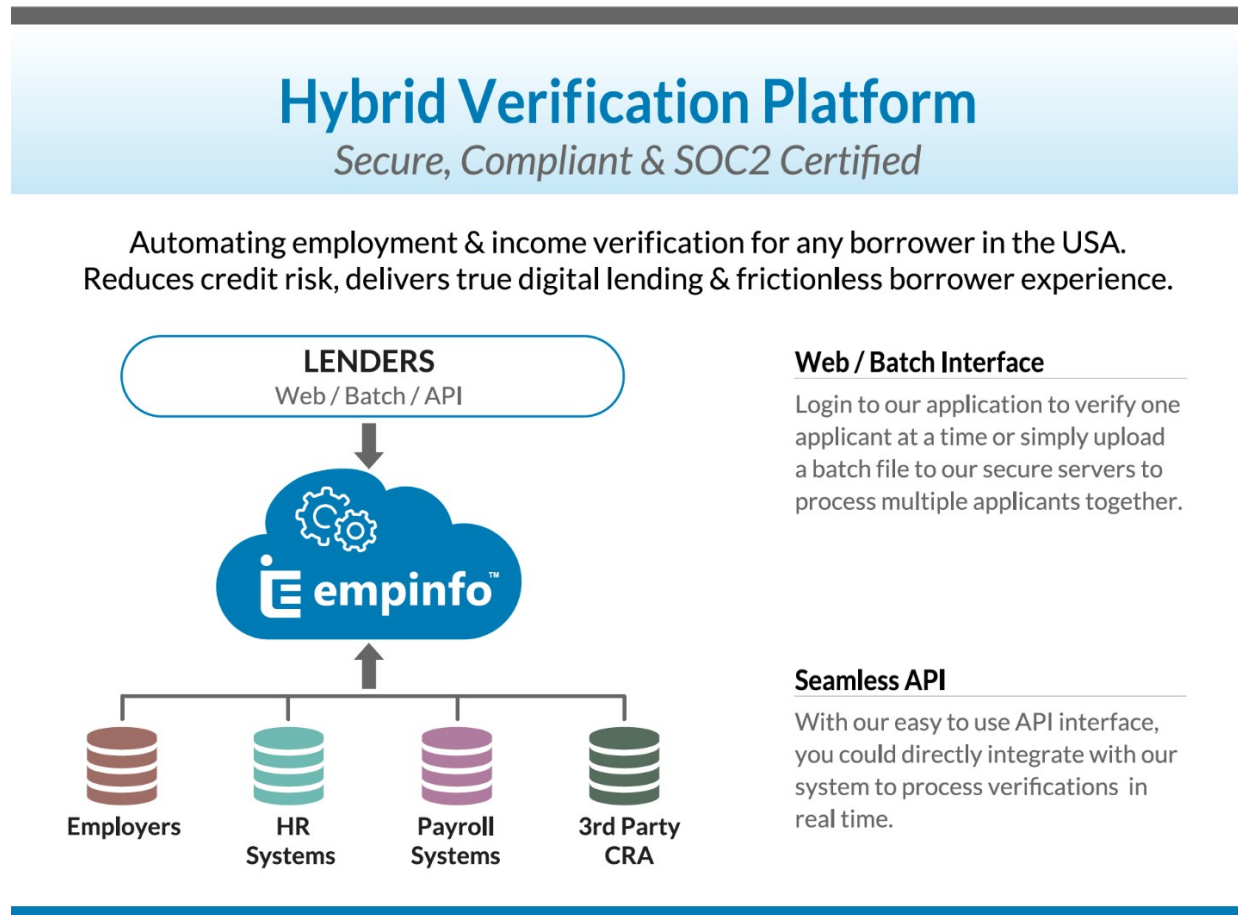


Figure 3 Hybrid Verification Platform

**EI’s Employer Data Set**

EI is proud to share the following listing of our newest Marquee employers as additions to our standard employer database:

Figure 4 Employer Database

Specific to this RFQ, EmpInfo (EI) has accessibility to verify employment for 5000+ West Virginia businesses across 300+ Zip code. Here is the partial list:

Company Name	Zip	Company Name	Zip
COMMUNITY ACTION PROGRAM	85283	MGC PURE CHEMICALS AMERICA, INC.	85212
ANNE'S DAYCARE	85297	WEST VIRGINIA DEPARTMENT OF PUBLIC SAFETY	85009
SPROUTS FARMERS MARKET	85614	FRY'S FOOD AND DRUG	85367
OASIS REENTRY SERVICES	85016	WALGREENS	85006
ROBERT HALF	85016	SONIC DRIVE-IN	85339
C O METLIFE: DECKER ROBERT	85281	ARCADIA FOOT & ANKLE	85203
THIRSTY LION GASTROPUB & GRILL - SANTAN VILLAGE	85297	CHARLESTON CITY POLICE	86442

CHOICES DAY TREATMENT CENTERS	85301	CENTRAL HIGH SCHOOL	85012
TRUWEST CREDIT UNION - GILBERT	85295	ROSENDIN ELECTRIC INC	85284
TRANSWEST PROPERTIES INC	85718	ANDREOLI ITALIAN GROCER	85258
QUICKSILVER EXPRESS COURIER	85035	NORTHERN WEST VIRGINIA HEALTHCARE MEDICAL GROUP – FLAGSTAFF	86001
WESTGATE PAINTED MOUNTAIN GOLF RESORT	85215	D'ARRIGO BROTHERS- WEST VIRGINIA	85365
ENTERPRISE RENT-A-CAR	85382	CHARELSTON PUBLIC WORKS DEPARTMENT	85003
SILVERHAWK PRIVATE WEALTH	85255	PEAK CARE ASSISTED LIVING SCOTTSDALE LIFE HOME	85259
SUPERIOR COURT OF WEST VIRGINIA IN MARICOPA COUNTY	85003	ONEGUARD HOME WARRANTIES	85027
NATIONWIDE POOLS LLC	85024	ROCK ELEMENTARY SCHOOL DISTRICT	85145
HADRIAN INC.	85009	REPUBLIC SERVICES CORPORATE	85054
JW MARRIOTT TUCSON STARR PASS RESORT & SPA	85745	BROWN COMMUNITY MANAGEMENT	85209
HOODZ OF GREATER	85282	CASCADE DRILLING	85345
CERTIFICATION CLINICS	85253	COWBOY CLUB GRILLE & SPIRITS	86336
RANGO INC	85281	KIT'S HOUSE ASSISTED LIVING	85260
SONORA QUEST LABORATORIES	85282	VALLEY UNION HIGH SCHOOL	85610
MOON VALLEY NURSERY	85024	ECHO MOUNTAIN PRIMARY SCHOOL	85022

US ARMY	85613	HIGH TIDE SEAFOOD BAR AND GRILL	85295
GOODWILL CORPORATE CENTER	85021	TANK WORLD CORP	85335
JOHN WILLIAMS, MD PLASTIC SURGERY	85255	RUDY'S "COUNTRY STORE" AND BAR-B-Q	85226
BOB BROWN SERVICE EXPERTS	85351	LABORATORY SCIENCES OF WEST VIRGINIA	85122
ART SOLUTIONS & INSTALLATIONS, LLC.	85260	SOLTERRA SENIOR LIVING AT CHANDLER	85225
FIRST SCRIPT NETWORK SERVICES INC	85711	GRO-WELL BRANDS	85009
THE CORE INSTITUTE - CITY WEST	85375	SOUTHWEST EMERGENCY PHYSICIANS	85364
SQUARE ONE CONCEPTS INC	85251	HOPI TRIBE	86039
NAILS AND SPA QUEEN CREEK	85142	BLAIR WORLDWIDE HUNTING	86004
GUARDIAN MORTGAGE - PHOENIX	85254	CELTIC ELEVATOR, LLC	85027
PAGE CITY HALL	86040	TRICHROME CARE CLINIC	85210
U-HAUL CORPORATE OFFICE	85004	STREAMLINE SOFTWARE	85226
L & H INDUSTRIAL INC	85719	WEST VIRGINIA DEPARTMENT OF ECONOMIC SECURITY	85122
HOMEWATCH CAREGIVERS OF PHOENIX	85028	LO-LO'S CHICKEN & WAFFLES	85003

Below is an example of the standard EI income and employer report. Softheon will utilize this data and through the execution of specific JAD session, will develop the final requirements and delivery for how best to bring this data back to enrollment specialist. Whether in Portal or as a part of the Integrated Solution, Softheon will ensure West Virginia is completed satisfied with UI/UX, content and the expression of the data sets returns. Softheon never changes for modification to our product’s results delivery.



## Sample West Virginia Income and Employer Verification Report

### Employment Verification

Prepared for: ABC Employment Services Date: 09/04/2020  
 Permissible Purpose: Employee's eligibility for a benefit granted by a governmental agency; - we are required by law to consider the employee's financial responsibility or status Report Number: S-090420-933  
Verification Type: Social Service Verification

Employee									
First Name	John	Last Name	Doe						
SSN / Employee ID	XXX-XX-0001								
Employment Information									
Aspca Adoption Center New York, NY, 10128									
Job Title (last held)	Vice President	Hire Date	02/25/2020						
Division/Department		Rehire Date (if applicable)	--						
Work Location	New York								
Current Status	Active								
Income Summary									
Rate of Pay: \$17.90/Hour	Avg. Hrs. / Week: 41	Pay Cycle: Weekly	Last Pay Period End Date: 08/30/2020						
Annual Gross Earnings (As of 09/03/2020)									
Year	2020 (YTD)		2019	2018					
	Current	YTD							
Base Pay	\$19,068.26	\$19,068.26	\$0.00	\$0.00					
Overtime	\$268.66	\$268.66	\$0.00	\$0.00					
<b>Total Gross</b>	<b>\$19,336.92</b>	<b>\$19,336.92</b>	--	--					
Net	\$590.51								
Past Earnings History									
Period End Date	Pay Date	Hours Worked	Gross Pay	Net Pay	Period End Date	Pay Date	Hours Worked	Gross Pay	Net Pay
08/23/2020	08/27/2020	41	\$19,336.92	\$590.51	05/24/2020	05/28/2020	41	\$19,336.92	\$590.51
08/16/2020	08/20/2020	41	\$19,336.92	\$590.51	05/17/2020	05/21/2020	41	\$19,336.92	\$590.51
08/09/2020	08/13/2020	41	\$19,336.92	\$590.51	05/10/2020	05/14/2020	41	\$19,336.92	\$590.51
08/02/2020	08/06/2020	41	\$19,336.92	\$590.51	05/03/2020	05/07/2020	41	\$19,336.92	\$590.51
07/26/2020	07/30/2020	41	\$19,336.92	\$590.51	04/26/2020	04/30/2020	41	\$19,336.92	\$590.51
07/19/2020	07/23/2020	41	\$19,336.92	\$590.51	04/19/2020	04/23/2020	41	\$19,336.92	\$590.51
07/12/2020	07/16/2020	41	\$19,336.92	\$590.51	04/12/2020	04/16/2020	41	\$19,336.92	\$590.51

### Income and Employer Response Coverage

Unlike West Virginia’s current provider, EI operates by utilizing an active data set of employers to gain timely and accurate employee income data in support of eligibility system determinations for public assistance programs. At EI, our approach is different. We have access to several data sources instead of a single static data set and can therefore provide much higher response rates than our competition. EI focuses our attention to where most West Virginia applicants conduct their daily work – the medium and small businesses across West Virginia. Finally, we use WV historic data and other employer out-reach tools to increasing improve our employer data set lists.

The EI approach is delivered notably and initially without the major nationwide employers captured and held tightly by Equifax in *The Work Number*; however, our **overall response rates greatly exceed** their often-restricted this data base of mostly large multi-state employers. In fact, we can share that in many commercial deliveries, Equifax actually uses EI for their search failures. State use of this standard Income and Employer vendor has been plagued with poor response rates and high transaction costs, Welcome to EmpInfo and with EI, a different result. The following is an overview of EI’s Nationwide Coverage return rates obtained by our internal data collection system:

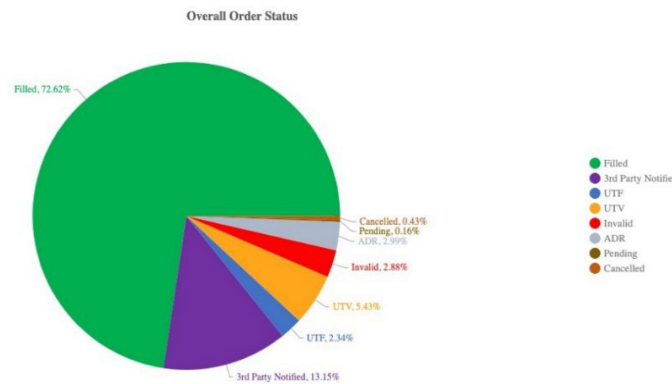


Figure 5 EI Coverage Return Rates

### Income and Employer Response Time

Because of EI’s extensive targeted use of the more populous medium and small employers, EI is consistently able to capture a greater than 70% response rate, more than doubling the best results posted by our competitor. Finally, and important for West Virginia to understand, because of EI’s use of a variety of data sources, results can be obtained immediately (Real Time), in a few hours, or in a few days. At EI we pride ourselves in doing all we can in accomplishing West Virginia’s income and employer verification requests, while complimenting other state and federal income sources. The Following is an overview of EI’s

Nationwide Response Timeline obtained by our internal data collection system:

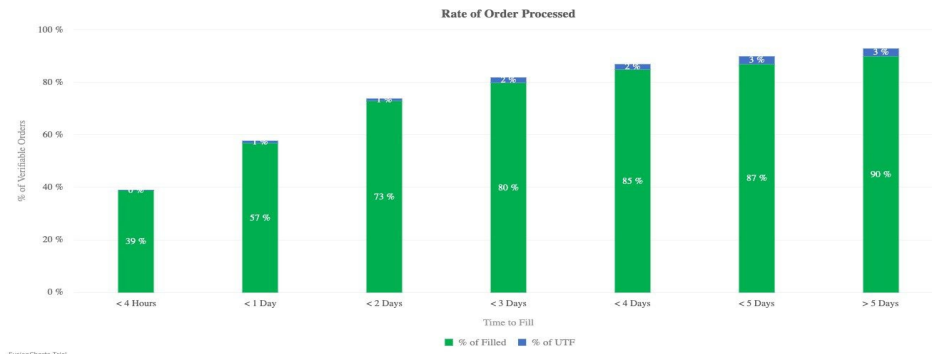


Figure 6 EI Response Timeline

### EmpInfo inc. Provides Income and Employment Verification Services

The next-generation technology solution enhances the traditional verification process to expedite the application approval and delivers a better user experience. West Virginia could monitor verification order status, rate of response, and receive notification alerts about an applicant's verification status. The service is offered on a secure cloud platform and is delivered through web, batch, and API to deliver a better ease-of-use experience.

- **Verify ANYONE Working for Any US Employer:** Our platform allows West Virginia to accurately verify **any** applicant through the EmpInfo ecosystem of HR, Payroll, and other third-party data sources. It is a one-stop shop for Employment & Income verification. EmpInfo provides almost 70% coverage nationwide, which is 3x larger than the *The Work Number*.
- Most of the Employments & Income Verifications are provided for Current Year plus three (3) prior years, making it a total 4 years. EI would be able to provide longer than 4 years, if required.

### Types of Verification:

West Virginia could process two types of verifications:

- Verification of Employment (VOE)
- Verification of Employment & Income (VOI)
- Social Services Verification (SSV)

### West Virginia's Interface:

EmpInfo shall provide the West Virginia the access to its Hybrid Verification Platform utilizing the Softheon platform. Once SSN is validated, this access allows the West Virginia to make employment & income verification requests ("Orders") and get a response including the orders' status. The Orders can be placed through any of the following:

- online using a web form
- batch-upload
- API interface

**Verification Process:**

Depending on EmpInfo's access to the applicant's employment and income data EmpInfo shall process the orders instantly and/or on-demand as per follows:

- The Instant verifications are processed, 24x7, 365 days.
- The On-demand verifications are processed during the local business hours of the applicant's employer, Monday to Friday except on holidays.

**Delivery of Verification Reports:**

EmpInfo shall provide the "employment and income verification information", depends on West Virginia's preference, and per state decisions on use of the Softheon Platform as follows:

- PDF report through online dashboard
- Data delivered through batch file or API

## Softheon User Guides

As requested, the **Softheon Verification Portal Users Guide** is always available within our Wiki education portal it is depicted below and due to space limitations of this RFP is available upon request.

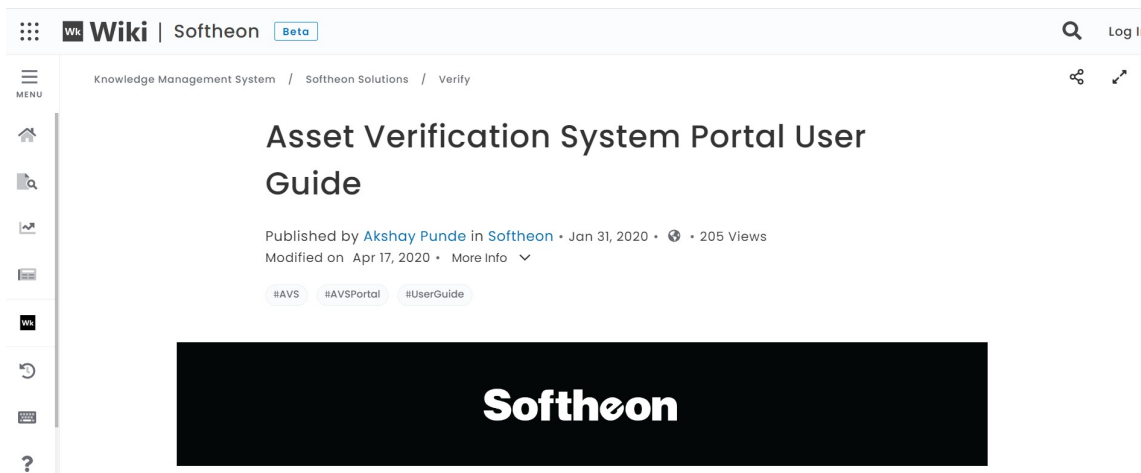


Figure 7 Wiki Education Portal

The Softheon Wiki also allows for a variety of quick videos that address a variety of top areas. These include **Creating a New Application, Searching a Previous Application, Softheon’s Risk Scoring of returned results, Softheon’s Handling of a Duplicate Verification Request, Softheon Foundry – Business Intelligence Analytics Tool** and others.

### Softheon

#### Wiki

An enterprise web platform that provides interactive articles for technical documentation and learning in a centralized location.

Since knowledge sharing is critical cross-departmentally, Wiki provides an easy-to-use platform to organize, discover, and share an array of multi-media documentation. Wiki users can quickly navigate its expansive document library with its built-in search functionality to retrieve the appropriate information in the form of Wiki articles. These articles contain correlating attachments and related subtopics, making it easy to bundle information on any focus.

Wiki articles can be published in several different formats ranging from embedded video webinars, to PDF versions of standard operating procedures, to tutorials with downloadable materials, and more. Our product can serve as a centralized solution for internal and external documentation.

Good documentation leads to increased comprehension and productivity. Wiki makes information accessible for users on any skill level that can be easily showcased and shared.

Additionally, when documentation is converted to Markdown, a lightweight markup language, Wiki generates an interactive way to navigate through extensive documentation. The integration of new features along with a friendly UI/UX design makes Wiki a one-stop solution for all Softheon learning needs.

### Softheon

#### Softheon Training Video

**AVS Portal**

[Watch now](#)

(Password: SoftheonTraining)

The web-based Asset Verification System (AVS) portal provides secure access to the world's largest database of public records. This platform brings robust data verification and a simple workflow to complex, varied eligibility and asset verification data.

**This video covers:**

- How to Navigate the Asset Verification System Portal
- The New Search feature
- The Previous Search Results feature

Suggested readings: [New Search \(KMS Article 1621\)](#)  
[Previous Search Results \(KMS Article 1622\)](#)

Version	Date	Summary	Initials
1	6/25/2018	Initial version	K. Festa
2	9/12/2018	Updated to include street as required field and to add instructions for printing or saving to PDF	K. Festa

Figure 8 Wiki Sample Pages

Softheon understands the wide variety of potential users for our Verify platform. We strongly support our state agency clients with an extensive commitment to training. **Our training philosophy and approach are outlined below:**

# Softheon

## About Us

Softheon has a staff of full-time trainers that work directly with our implementation, development, and product management teams to create a thorough training program and step-by-step training documentation.

Once an agreement has been made between the client and Softheon, the training team is provided the following:

- Client Terms of Service – necessary information regarding the client that is being onboarded
- Timelines
  - Go Live date
  - Deployment milestones
- Demographic information
- Model and Production Accounts
- Subject Matter Expert/Client Success Team Assistance before and during training events

The training team provides the following:

- A curriculum with training topics
- Training events “Train the trainer”
- Recorded training sessions
- Assessments geared to objectives learned
- Path to Softheon Wiki (documents, training videos, webinars)



### Softheon Headquarters

1500 Stony Brook Rd.  
Stony Brook, NY 11794

[training@softheon.com](mailto:training@softheon.com)



Connect with us @Softheon



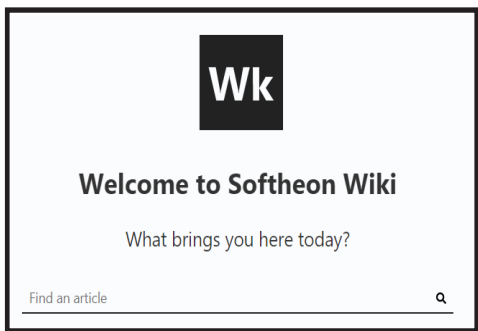
**Making healthcare affordable, accessible, and plentiful.**

## Onboarding

Softheon has an extensive training program for Issuers. Softheon onboards new clients by providing **extensive technical and user documentation** and training videos in an effort to “train the trainer.” This model empowers new users to learn as much as they can and then teach their peers. Documents and videos are available via our Knowledge Management System – Softheon Wiki. Softheon Wiki serves as an informational hub for all product related articles and documentation. Once the client has the opportunity to review the documentation, initial training sessions, both on-site and on-line, are scheduled to better understand the processes.

The Softheon Client Executive will gather information about:

- Current user types (worker, manager, executive)
- Current training program
- All contact information
- Client availability

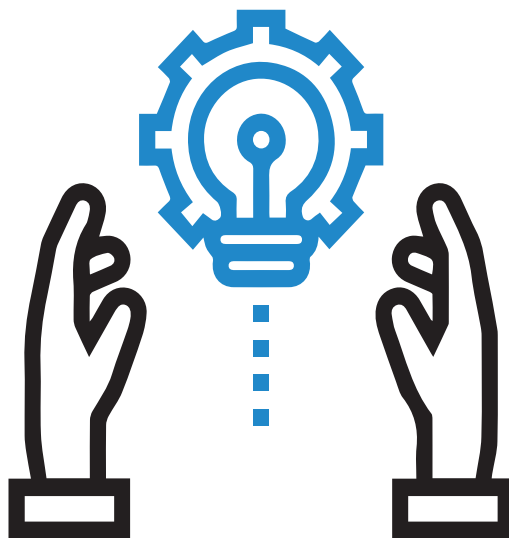


## Training Sessions

During a training session, the trainer:

- Discusses the agenda
- Highlights the documentation on Softheon Wiki that supplements this training
- Walks through the documented process
- Answers posed questions

These sessions can be recorded at the client's request and supplied to allow for ongoing training. Subject matter experts (SMEs) can be present to assist in training sessions as needed. Training sessions are tailored to accommodate **both technical and business users**. Feedback is collected after each training session via a survey and this information is used to enhance the training experience.



## Softheon University

Each user must go through Softheon University, a program designed to train each type of user within the platform. Once review of initial documentation and training sessions have been completed, assessments geared to measuring understanding of the platforms will be assigned. All essential users must complete these courses before Go Live within Softheon's training environment. Softheon has a documented process to define the training materials, processes, and whether onsite or remote is necessary for each project we complete.

## Continuing Education

**Ongoing training and technical assistance** are available to the client once they have been onboarded. Documentation and training videos will continually be reviewed and updated on Softheon Wiki. Clients can request training sessions at any time by contacting their Client Executive. Softheon will also investigate high service request counts to see if additional training is needed for the client.



## EmpInfo User Guides

Softheon’s income and employment partner EmpInfo (EI), shares below their specific *Verifier’s User Guide* and *How to Guide* for state verification services. Each of these are web-based application tools and based on feedback during our Training JAD session, will be incorporated into Softheon as to state expectations. Softheon will ensure all users are fully educated on use of our platform and the results that they can expect to receive.

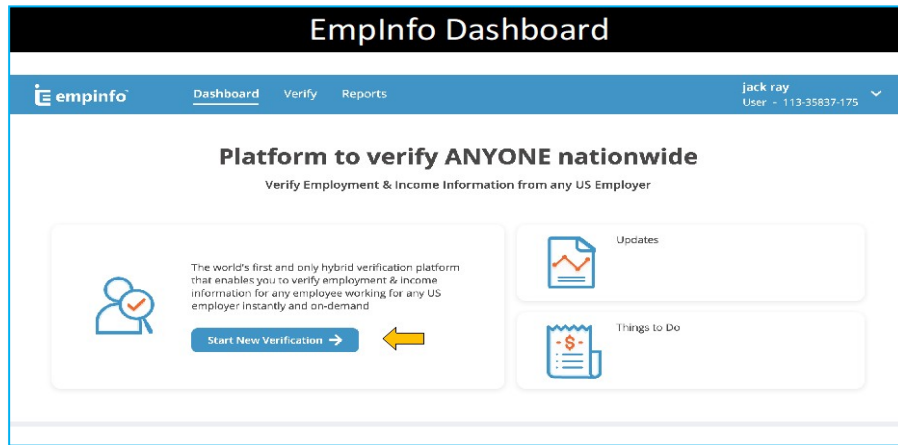


Figure 10 EmInfo Data

Order #	Employer Name	Order Status	Updated	Created	Organization	Department	User
S-062130-073089	XTRON SOFTWARE SERVICES...	Filed	06/21/2020 9:28 AM	06/21/2020 9:28 AM	Equus Workf...	Equus Workf...	dev-rosarc...
S-062130-071930	NHApps, INC	Filed	06/23/2020 12:00 AM	06/23/2020 12:00 AM	TX HIGAC - G...	113-35837-175	allenpaul-us...
S-062130-071549	NorconLifeLock, Inc	Filed	06/22/2020 11:44 PM	06/22/2020 11:44 PM	TX HIGAC - G...	113-35837-175	allenpaul-us...
S-062130-071545		New	06/22/2020 10:38 PM	06/22/2020 10:38 PM	TX HIGAC - G...	113-35837-175	allenpaul-us...
S-062130-071941	Intra Corporation	New	06/22/2020 10:26 PM	06/22/2020 10:25 PM	TX HIGAC - G...	113-35837-175	allenpaul-us...
S-062130-071943	IIR Ties	Filed	06/22/2020 10:23 PM	06/22/2020 10:23 PM	TX HIGAC - G...	113-35837-175	allenpaul-us...
S-062130-071940	XTRON SOFTWARE SERVICES...	Filed	06/22/2020 10:22 PM	06/22/2020 10:22 PM	TX HIGAC - G...	113-35837-175	allenpaul-us...
S-062130-071521	XTRON SOFTWARE SERVICES...	Filed	06/22/2020 7:10 PM	06/22/2020 7:10 PM	NM SOUTHW...	113-35817-178	shahabuddin...
S-062130-071520	NJ Kern Parking	New	06/22/2020 6:52 PM	06/22/2020 6:52 PM	NM SOUTHW...	NM SOUTHW...	shahabuddin...

Figure 9 Reports Summary



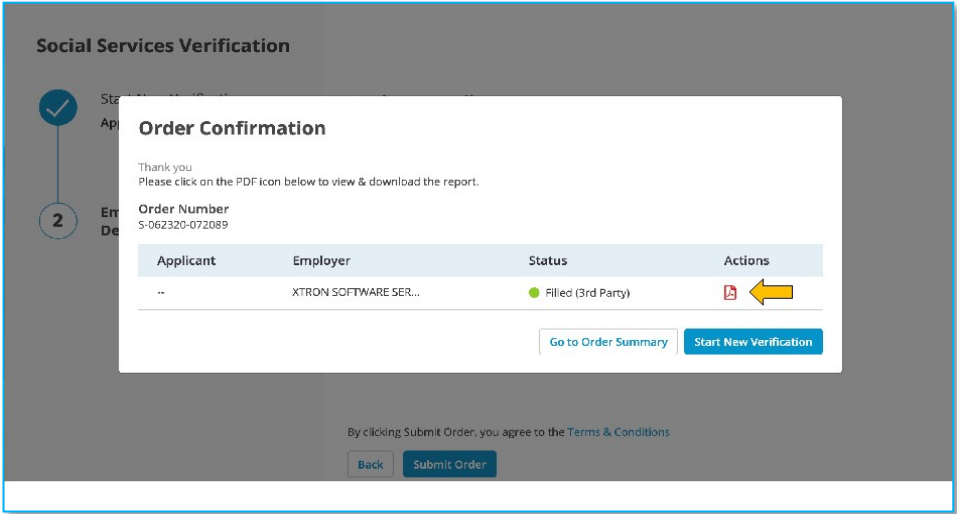


Figure 11 Order Confirmation



## Employment Verification for Social Services

### How to Guide

#### To Account Setup:

- Open email with subject "Password Reset for Social Services Verification"
- Click "Reset Password" button
- Change your password
- On next screen Click "I would rather use SMS"
- On next screen enter your Cell Phone Number
- On next screen enter the 6-digit code received on your Cell Phone

#### URL for Login:

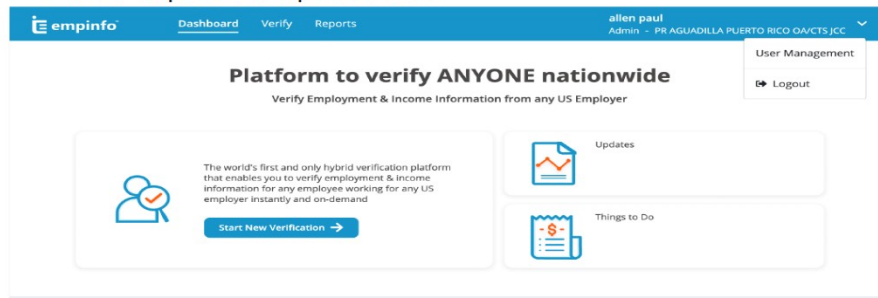
- [verify.empinfo.com](https://verify.empinfo.com)

#### Place Order:

- Click "Verify" on top menu item

#### View Reports:

- Click "Reports" on top menu item



#### EmpInfo Customer Support:

Email: [support@empinfo.com](mailto:support@empinfo.com)  
Phone: 1 (800) 274-9694

Figure 12 EI How to Guide

## Data Security Services

Softheon maintains a Data security program that includes appropriate safeguards designed to ensure security and confidentiality of data through our physical, technical and administrative safeguards. Softheon protects against anticipated threats and hazards through information and technology. Softheon receives information from such sources as US-Cert to stay on top of potential threats, and utilizes technology, such as our Security Information and Event Management (SIEM) Tool for these purposes. Softheon protects against unauthorized access or use of data through both awareness training, properly maintained information technology assets, and policies and procedures that reinforce industry standards in information security. Softheon disposes of data in a timely manner. Once required data retention periods expire, Softheon ensures that sensitive media is disposed of in a manner that is in line with the National Institute of Standards and Technology (NIST). Softheon provides for privacy and security protocols as per standard practice including **extensive training** for all new hires as well as training and assessments for all assigned employees and are entirely capable of maintaining all system-level accounts as defined by West Virginia as a part of our ongoing operations.

Softheon maintains adherence to all current and future Minimum Acceptable Risk Standards for Exchanges (MARS-E) standards. Through existing obligations, Softheon undergoes annual FISMA assessments, based both on NIST 800-53 (moderate) and MARS-E 2.0 frameworks. The resulting best practices, policies and procedures are then applied to the organization, whereby the high-water mark of the two assessments is applied. Softheon is committed to resolving all Plan of Action & Milestones (POA&M) as they arise and Monitoring overall security of the verification process and resolving security deficiencies as they are identified. Softheon performs regular patch maintenance as well as vulnerability scanning, whereby deficiencies are logged and tracked to completion in their corresponding POA&Ms. Softheon executes the coordination of third-party vulnerability and penetration tests of verification processes. Softheon performs quarterly vulnerability scans, tracking any issues that arise, and submitting the results of the scans within our annual privacy and security assessments. With regards to penetration tests, Softheon undergoes annual penetration tests, conducted by an authorized third-party, and tracks any issues resulting from the tests in the corresponding POA&Ms. Softheon is an industry leader in our continuous improvement of system privacy and security features. Softheon's continuous monitoring program consists of a robust privacy and security training curriculum, which includes HIPAA and PCI Privacy and Security threats, insider threat, fraud waste and abuse to name a few. In addition to our annual third-party assessments, Softheon also conducts our own Third-party Vendor audits, to ensure our partners are in line with our best practices, as well as internal departmental audits, ensuring that each area has available and current documentation.

## Softheon Security Services

Softheon is confident that our data security services and those of our data partners meet or exceed industry standards for best practices in accordance with the requirements listed in SOW

5.7.1. Softheon has SOC1 and SOC2 audits performed on our data centers annually. Our assessment periods have historically gone from September 1st to August 31st. Our next SOC1 and SOC2 assessment will be for the period of September 1, 2019 to August 31, 2020. The results of these assessments are sent out by no later than February 27, 2021 with Softheon's annual compliance package. If selected by the state, and once an NDA or contract is executed, Softheon can supply the latest SOC1 and SOC2 results. Additionally, Softheon performs an annual PCI DSS assessment, and is a HIPAA compliant organization. Softheon is currently in the process of performing a NIST 800-53 moderate assessment, as well as a MARS-E 2.0 assessment.

## Data Security

**Physical** - SoftheonCloud Rack spaces exist within Co-Location Datacenters with no managed services from Datacenter Staff. SoftheonCloud's Key-Locked Racks are surrounded by a proxy-card managed cage space to prevent access by other MSA and COLO clients, and to maintain a digital access log by all Datacenter and Softheon Staff. Video surveillance of the cage space is employed by both Softheon and Datacenter Security Staff. Physical access to the SoftheonCloud cage space, and custody of physical access devices, such as keys or codes, are restricted to approved staff, securely controlled, and logged for usage. Softheon Administration Staff reviews Datacenter Card- Access and visitor logs monthly and correlates access records with surveillance reviews if necessary.

**System** - Physical systems within the boundary of SoftheonCloud are restricted to necessary functions. Physical ports which are not in use on networking equipment or appliances are disabled to prevent re-use and to ensure that unauthorized components are not introduced to the system without notification to System Administration Staff. During daily operation, access to external media (USB Flash Drives, USB Hard Drives, Optical Disks, Memory Cards, etc.) on physical servers is disabled by network system policy.

Firmware validation and maintenance is covered by Softheon's patch policy. All physical devices within the boundary of SoftheonCloud undergo weekly vulnerability assessment utilizing credentialed scanning. SoftheonCloud employs disk-level encryption on all systems and does not presently allow writing to external media for systems within its boundary.

**Virtual** - Softheon systems follow the Center for Internet Security's Benchmark Standards for system configuration and are audited weekly for compliance through automated mechanisms. All servers, physical and virtual, are configured and deployed with a single purpose. SoftheonCloud employs centrally managed platforms for credential management, Antivirus, Web Content Filtering, Software Installation/Updates, vulnerability scanning, centralized logging, network, and system monitoring and benchmarking, Database Performance Monitoring and availability, and capacity monitoring. Softheon's account and least access policies comply with the high watermark of the PCI, SOC II, and NIST Standards that Softheon is governed by.

**Network** - SoftheonCloud internal networks segregate the various components of the solution into subnets separated by stateful firewalls utilizing a deny-all/allow-approved methodology. Physical Infrastructure, Management Resources, Product Application Processing, Product Data Storage, and Product Presentation/Web/DMZ Systems are all segregated by classification. Network traffic is monitored by Redundant Intrusion Prevention Systems monitored by a 24/7 Human SOC Team and are configured for fail-safe operation. Inbound traffic requests are directed to redundant Web Application Firewall systems which monitor inbound web requests for malicious traffic and abnormal network connections. The Softheon Platform leverages IP Address whitelisting for access to Softheon B2B Portals and Services. Softheon employee Remote Access VPN connections to SoftheonCloud are limited to approved staff only and are restricted to occur from only corporate owned equipment. SoftheonCloud's VPN systems are configured to not allow split-tunneling and provides workstation access to only approved boundary systems from which Softheon employees can perform administrative functions over the systems and infrastructure.

Softheon has a **Business Continuity Plan (BCP) along with a Disaster Recovery plan**, which is assessed / tested annually. Our hosted environments have redundancy in both power supply as well as broadband internet access. Our backup / fail-over site is regionally separated from the primary site in the event an occurrence causes a full regional event. Softheon has a Disaster Recovery plan whereby business contingencies are provided. In the event of a full failure or complete loss of services, Softheon can utilize our backup data center, which is regionally separated from our primary center. All Softheon data centers have redundancy in terms of both power and connectivity. Additionally, Softheon performs nightly backups on all production environments.

Softheon has robust security functionality built into our products and services. We operate on a minimum necessary information / access policy, whereby users are only granted the access needed to perform their day to day functions. All events within the products and services are logged and reviewed on a consistent basis. Certain applications can be locked down to specific customer IP ranges, whereby a user will not be able to access the products and services unless he or she is connected to the proper network.

Softheon's solution adheres to established security and privacy standards through both annual training required for all employees, and annual assessments, to assess both security and compliance. The trainings ensure that all employees are aware of the necessary operational standards to which we are held as an organization. The assessments are to maintain overall compliance as well as ensure we are operating as expected for our customers.

Trainings required of Softheon staff includes but is not limited to HIPAA Privacy and Security, PCI, Fraud Waste and Abuse, Harassment, and Anti-money laundering. Assessments include but are not limited to: SOC1, SOC2, PCI DSS, NIST 800-53 (in progress) and MARS-E 2.0 (in progress).

Softheon is currently undergoing the certification process to meet the NIST SP 800-53 Revision 4 at moderate level and will complete by the end of 2020. Softheon is currently SOC I, SOC II, and HIPAA Compliant. Softheon is currently undergoing MARS-E 2.0 certification.

### **Security Testing**

The Security Development Lifecycle is the end-to-end process of ensuring that Software is built

following best practices with respect to security and privacy. Softheon has modeled our Secure Application Development policies around Microsoft's Security Development Lifecycle software development process. By adhering to the Security Development Lifecycle standard throughout the design, implementation, and release process, we can address security compliance requirements and build secure solutions for our clients.

### **Periodic Security Analysis – Dynamic Analysis**

Softheon performs run-time verification of public web properties to check for known security vulnerabilities using Rapid7's AppSpider. This Dynamic application scanner monitors application behavior for hundreds of potential security vulnerabilities including user privilege issues, programming best practices, and other critical security problems. Scanning is performed against deployed applications on a recurring monthly basis by an appointed security Software Engineer.

### **Periodic Security Analysis – Penetration Testing**

Penetration testing is a white box security analysis of a software system performed by skilled security professionals simulating the actions of a hacker. The objective of a penetration test is to uncover potential vulnerabilities resulting from coding errors, system configuration faults, or other operational deployment weaknesses. Vulnerability scans are run on a weekly basis for our overall IT infrastructure. Any "sensitive" system will have an additional monthly scan that is reviewed by the director of engineering.

### **Continual Security Practices – Perform Static Analysis**

Analyzing the source code prior to compilation provides a scalable method of security code review and helps ensure that secure coding policies are being followed. Softheon performs static analysis of source code as part of our build process on developer systems as well as our centralized build system. Softheon uses the Roslyn .NET analyzers across key .NET projects within the Softheon system. Specifically, the security and best-practice focused Microsoft.CodeAnalysis.FxCopAnalyzers NuGet package is added to sensitive applications as required. This provides static analysis against known vulnerabilities and coding practices that persist across the development team within a given project. Roslyn .NET Analyzers generate real-time warnings during both local development and compilation on the Softheon build system. Specific vulnerabilities that are highly sensitive can be set to generate errors where necessary.

Any such errors will break the build process and cause the Softheon build pipeline to reject the committed changes.

## Final Security Review

Deliberately reviewing all security activities that were performed helps ensure software release readiness. The Change Control Board (CCB) includes examining the security test results as one of the criteria for release.

The CCB results in either a Pass or Fail. Upon Passing CCB, the release may deploy to production environments. Upon Failure, identified issues must be resolved before revisiting a release in a subsequent CCB.

## EmpInfo Data Security Services

Softheon's data partner for Income and Employer information EmpInfo (EI) is identified as the most secure verification platform available in the market. The EI system is AICPA SOC@TYPE2 certified. Data is encrypted both in transit and at rest and sensitive data are one-way hashed. EmpInfo has executed 3rd party audits performed by top firms such as Ernst & Young and Deloitte. These are available on request.

## EmpInfo (EI) Security Datasheet



## Security is our No 1 priority

EmpInfo pioneered a new level of security to protect data, with role-based access controls, high-grade SSL (TLS) encryption on transit and 256-bit AES encryption at rest and AWS infrastructure that is SSAE SOC1 & SOC2 certified. Additionally, we use Qualys solutions to perform Penetration testing for assessing external vulnerabilities.

## Security Assessments and Compliance

**Data Centers** - EmpInfo's physical infrastructure is hosted and managed within Amazon's secure data centers and utilizes the *Amazon Web Services (AWS)* technology. Amazon continually manages risk and undergoes recurring assessments to ensure compliance with industry standards. Amazon's data center operations have been accredited under:

- ISO 27001
- SOC 1 and SOC 2/SSAE 16/ISAE 3402 (Previously SAS 70 Type II)
- PCI Level 1
- FISMA Moderate

**PCI** - We use the PCI compliant payment processor [Authorize.Net](#) for encrypting and processing credit card payments. EmpInfo's infrastructure provider is PCI Level 1 compliant.

## Secure Data Center

**Physical Security** - EmpInfo utilizes ISO 27001 and FISMA certified data centers

managed by Amazon. Amazon has many years of experience in designing, constructing, and operating large-scale data centers. This experience has been applied to the AWS platform and infrastructure. AWS data centers are housed in nondescript facilities, and critical facilities have extensive setback and military grade perimeter control berms as well as other natural boundary protection. Physical access is strictly controlled both at the perimeter and at building ingress points by professional security staff utilizing video surveillance, state of the art intrusion detection systems, and other electronic means.

Authorized staff must pass two-factor authentication no fewer than three times to access data center floors. All visitors and contractors are required to present identification and are signed in and continually escorted by authorized staff.

Amazon only provides data center access and information to employees who have a legitimate business need for such privileges. When an employee no longer has a business need for these privileges, his or her access is immediately revoked, even if they continue to be an employee of Amazon or Amazon Web Services. All physical and electronic access to data centers by Amazon employees is logged and audited routinely.

For additional information see: <https://aws.amazon.com/security>

### **Penetration Testing and Vulnerability Assessments**

We use *Qualys* solutions to scan Network, Web Application Vulnerabilities and Malware, as part of our continuous delivery pipeline for both the web application as well as the infrastructure. Findings from each assessment are reviewed with the assessors, risk ranked, and assigned to the responsible team.

- All High and Critical vulnerabilities become defects with a 48-hour fix SLA.
- All non-critical issues have an SLA of being resolved within the next release.
- Leverage threat-modeling techniques as a core design criterion for all new product features.

Also, in-house managed penetration and static analysis tests performed as an incremental part of the development life cycle.

### **Access to Customer Data / Web Application Security**

- Role based access control enforces “need to know” information access.
- Complete traceability of who did what & when with detailed audit trail of all application access activity and infrastructure modifications.
- CAPTCHA enabled to prevent automated brute force break-ins.
- Time based locks when max failed attempts exceeded.
- Rigorous three step process to credentialing verifiers – Leads to secure approval of the Employer, the Verifier, and that the Verifier works for the Employer.
- Account provisioning – mischievous accounts can be very easily disabled.
- PEM based authentication with restricted IP access for customers to upload files via SFTP with support for PGP encryption.



- Access keys provided to EmpInfo authorized personnel are frequently rotated for added security.
- Only authorized personnel of EmpInfo will have access to our private network on AWS, which is being restricted via VPN with IP based access. In addition, any access to servers on the private network is secured via SSH using key based authentication
- No other EmpInfo staff will have access or interact with customer data as part of normal operations. There may be exceptional cases where EmpInfo is requested to interact with customer data at the request of the customer for support purposes or where required by law.
- To access the features presented through the telephone, optional caller ID verification is enforced in addition to account holder authentication, to confirm the identity of the caller by matching the caller ID with the phone number(s) stored in our system. This grants access solely to the owner of the account and prevents abuse.

### Network and OS Security

- Deployed Network perimeter defense services such as packet filtering firewalls and intrusion detection and prevention systems help filter out potentially mischievous actions.
- All services (web server, application clusters, and load balancers) execute only over encrypted communication channels. This ensures that sensitive data is always protected both while in transit as well as at rest.
- Additionally, these services use non-standard ports to ultimately limit their discoverability.
- Individual file and folder permissions and unique accounts.
- Limited and controlled production server access. We prefer operational automation to manual human intervention.
- Our processes and users both operate under the principle of least privilege.

- OS and Server Software updates/ patches occur frequently – we monitor common feeds for Linux and application level security advisories.

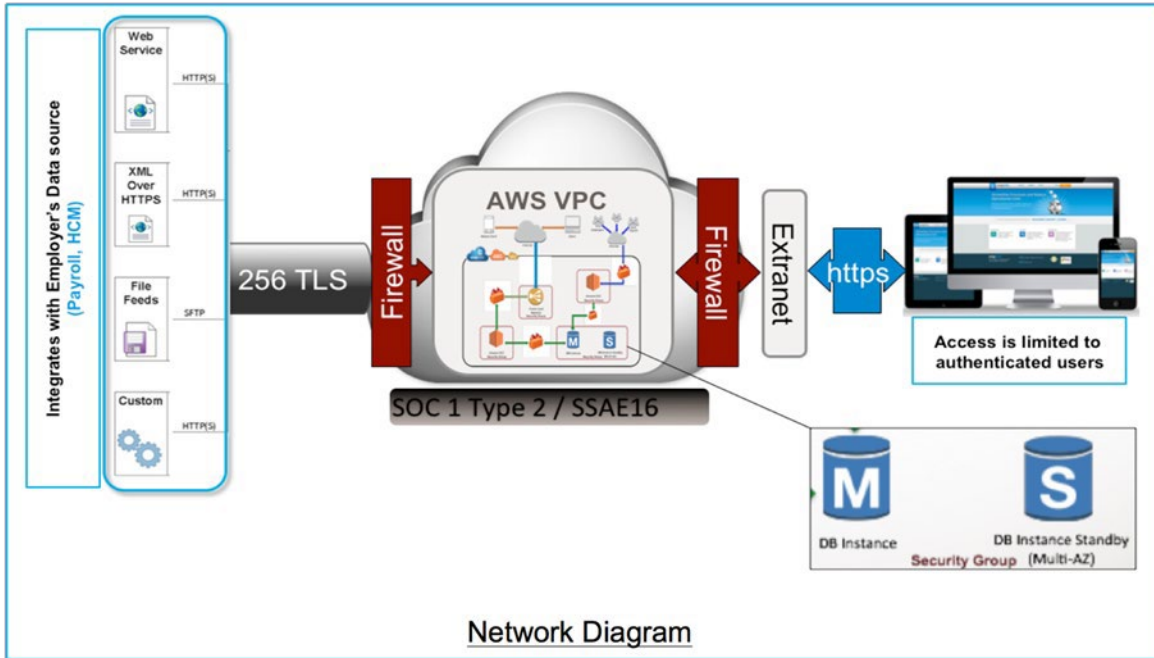


Figure 13 Network Flowchart

## Data Encryption & Transmission

**Data in Transit** - All your communication with EmpInfo is protected in transit using the highest levels of encryption including 256-bit SSL (TLS v1, TLS v1.1 & TLS v1.2) encryption. This is the same protection used by banking institutions across the world.

Your credit card information is never transmitted to or stored on EmpInfo.

**Data at Rest** - EmpInfo only stores your most sensitive information in an encrypted form using the AES-256 encryption scheme. All account information you provide, including passwords and personal information details, is protected using this technology.

**Data Encrypted and One-Way Hashed** - Passwords are encrypted and sensitive data (such as SSN and DOB) is protected with a strong, secure and individually unique, one-way hash algorithm. Even if one can access the database for some reason, they cannot read this sensitive information. Additionally, the elements of this Personally Identifiable Information (PII) are stored in a separate database to limit the exposure to the full individual information.

**Backup and Disaster Recovery** - EmpInfo employs state of the art back-up and disaster recovery to ensure that your information is always available, no matter what happens. Our system stores back-ups in multiple secure locations and is updated every day.

For high availability, our database servers are deployed across multiple Availability Zones (Active/ Standby mode). We use AWS snapshots for automatic backups that are taken on a daily basis and rotated at regular intervals. This enables us to recover data with ease in case of a disaster.

**Privacy** - EmpInfo has a published privacy policy that clearly defines what data is collected and how it is used. EmpInfo is committed to customer privacy and transparency.

We take steps to protect the privacy of our customers, their employees and protect data stored within the platform. Some of the protections inherent to EmpInfo's products include authentication, access controls, data transport encryption, exclusive use of HTTPS/SSL, and the ability for customers to encrypt stored data. For additional information see: <http://www.empinfo.com/privacy-policy/>

**Audit Trail** - EmpInfo keeps a complete and permanent record of verification activity to track who accessed the data, IP address, date & time when accessed and for what purpose. You can rest easy knowing that there is an auditable record you can always turn to. We also maintain complete audit trail of activity even when an authorized personnel of EmpInfo access our systems. In addition, we use AWS Cloud Trail to monitor and track activity on the infrastructure side and keep track of user identity, source IP, request parameters, response elements for security analysis, resource change tracking, and compliance auditing.

## Process & Policy

- Our workforce is screened, at hire, through stringent background checks through third-party background screening organizations, which includes verification of education, employment, driving records, credit & criminal background, social security number and reference.
- Our employee's laptops have encrypted file systems, restricted BIOS access, antivirus and spyware software, remote wipe capabilities, and VPN technology for access to the organization's network.
- We continuously promote laptop security best practices with employees. This includes: Locking unattended machines, password policies, acceptable use policies, and more.
- Entries to our company office buildings are limited to employees having proper authorizations and keys. Visitors are required to register at front desk and entry to secured areas shall have authorized escorts. Our office buildings are monitored by third-party security company, day and night.
- We are compliant with Fair Credit Reporting Act to protect employee's rights.

### *Summary*

*Every business needs to stay productive, competitive and successful, while remaining protected against security threats. EmpInfo approaches security with a unique perspective, simplifying the employment and income verification process, with an unmatched level of security, visibility and control for businesses. We make the security of our customers' data our number one priority, and we reflect that goal at every point in our solution. In addition, EmpInfo is committed to maintain confidentiality and deliver our services with the highest levels of integrity.*

For SAAS API solution Web services interphase, Softheon supports industry standard authentication and authorization techniques and is connected over SSL/TLS1.2. Softheon prefers REST protocols but is equally able to execute SOAP – we use SOAP

2.1. Softheon technology uses Two-Way SSL to ensure that the web service request and response have not been tampered with en route and we use digital signature and certificates signed by a trusted Certificate Authority to support nonrepudiation and guarantee that the message sender is the same as the creator of the message. Softheon Supports Message-level security to ensure confidentiality by digitally encrypting message parts, using X.509 certificates to sign and encrypt the messages, and we support secure audit log of all messages going in/out. As per all state engagements, Softheon will supply API Web Service Documentation for West Virginia implementation.

For Web Portal services interphase, Softheon supports industry standard authentication and authorization techniques including WS-Federation authentication protocol. For authentication/authorization we support OAuth 2.0, Two-way SSL and WS-Security Username Token for SOAP API and OAuth 2.0 and Two-Way SSL for Rest API. Softheon can support Single Sign On (SSO) using SAML 2.0 and SAML is our preferred method. The Softheon Web

Portal is cross browser compatible able to be used with all of today's most used browsers and as per similar requirements in Mississippi, the Web Portal will adhere to American with Disabilities ACT (ADA) Section 508. In order to comply with current and future Web Content Accessibility Guidelines (WCAG) Softheon utilized the WAVE tool to evaluate and audit all WCAG items. In-flight data is encrypted using SSL/TLS1.2. Softheon can allow for User/group portal access control to be manageable from the administration module; however, our most recent state deliveries include the integration of Active Directory, favored by states who prefer to manage users to include additions and removals themselves.

## Verification Platform Overview

Softheon's Verification System, called Verify, is an Electronic (Portal and Web service) based system for determining the eligibility of applicants by performing search and verification technologies. The portal has a very simple user interface that is used by the eligibility case workers to input the required information about the applicants before performing the search. The returned results are available on the portal for review with the options to download and print PDF of the entire application with search results. The web service-based version of the verification platform directly integrates in the state's Eligibility system using SOAP/RESTful Web API. The request and response are sent and received using the web service. In addition, the system has the capability to transfer documents like PDF or HTML file using the web service.

Both the portal and web service can be used interchangeably. Scope Verification system will intake all the required fields for performing the verification search from the state's eligibility system. Upon completion of response, the Verification System will return all the asset response fields back to the state's eligibility system. Softheon has carefully documented the all the required and available request fields. This information can be transferred via web service as well as via batch file transfer process using the file format as determined by the state.

Softheon is a cloud ready, single-tenant, n-tier platform. Using HTTP web-based interface, Softheon Verify can be deployed on premise or across the nation at a secure data center. Moreover, a cloud-based implementation strategy ensures system availability and response time as critical elements of Softheon software can be clustered or configured with load balancing. Softheon is built upon an n-tier architecture that is in production at several major healthcare payer, provider, and government agencies. Our team works with the state to configure, design, and deploy a configurable web application for the state's case workers to submit Medicaid applications. The web portal is developed with up-to-date and user-friendly angular code.

### Softheon Architecture Built for Integration

The Verify portal fulfills the vision of providing an end-to-end business asset verification process to manage and integrate disparate systems. Our primary goal is to simplify implementation and integration of critical business functions that are needed to support state caseworkers and their management teams.

Softheon **Business Process Management (BPM), Enterprise Service Bus, and Service-Oriented Architecture (SOA)** framework inherently support vertical (single instance Microsoft SQL Server to UNIX based Oracle) and horizontal (single and federated data repository) scalability. Several of Softheon's clients already support:

- 240,000,000 electronic cases and documents on-line
- 20 TB of document repository available
- 1,000+ concurrent, 5000 internet users
- 100,000+ new documents capture/acquire every day
- With the ESB, Verify portal users will have access to external data sources using open standards, XML Web Services using SOAP/REST protocols, when available.
- Other Softheon-provided external data sources will be accessed via ODBC/JDBC

standards. All other custom interfaces will be developed using the published BPM/ESB APIs.

Softheon Verify's BPM backend supports the orchestration of multiple batch file layouts, APIs, or other preferred communication methods. This allows Softheon and the state to participate in the real-time exchange of data from the Verify agencies. With experience integration with hundreds of different trading partners, Softheon is confident we can integrate around the West Virginia platform with our MITA-aligned technology.

The **Verify Platform Infrastructure Diagram** below is a topology diagram that illustrates how the different Verify Portal modules can be distributed across the enterprise to provide a complete workflow management solution.

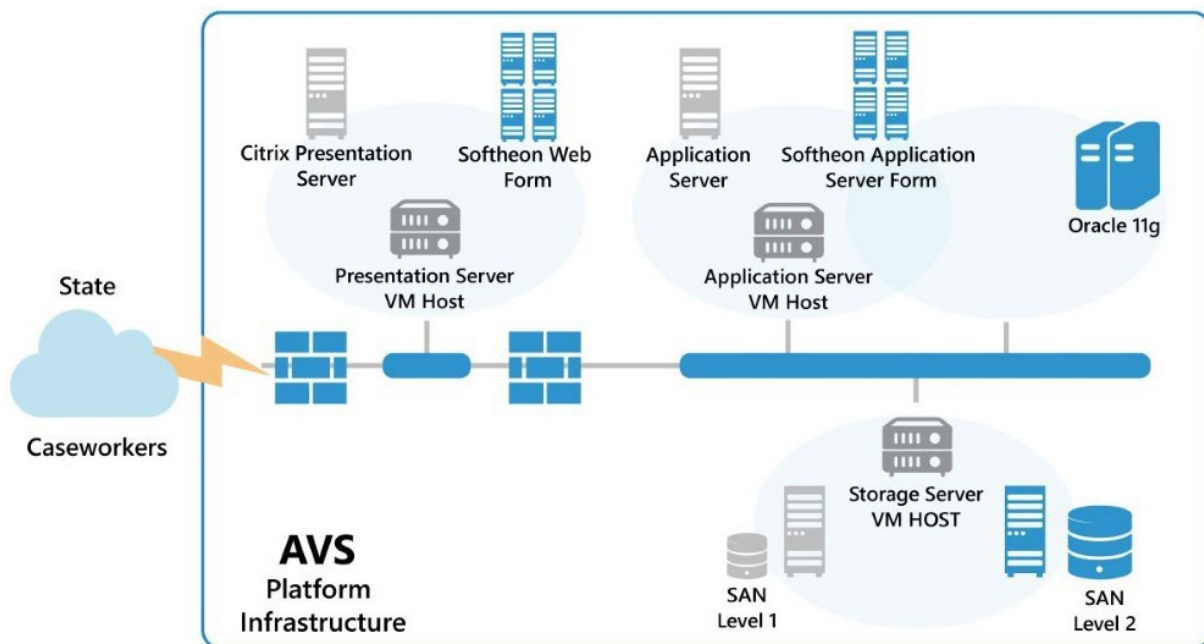


Figure 14 Verify Platform Infrastructure Diagram

Each of these core elements will play a crucial role in the processing of an identity verification workflow that will model the state’s unique policies, processes, and management of key business functions. As the communication protocol, Verify portal users access the work queues, case metadata, and associated documents via HTTP protocols over TCP/IP Local and Wide Area Networks, with a response time of 5 seconds or less, excluding the client device connectivity over public networks.

To further ensure system availability and response time, critical elements of the Verify Portal will be clustered or configured with load balancing.

Many aspects of the Softheon platform are configurable, including the look and feel of the portal to the data that resides behind it. While we have provided many various healthcare IT solutions to our customers, all have utilized that same core components (ESB, SOA, BPM). Every business rule or web portal we build is made to adapt to each of our customer's needs. Product enhancements and change requests from our customers are also delivered with an

option to turn on or off. This allows the state to benefit from others while still ensuring the product complies with all requirements.

### **Data Availability:**

The SoftheonCloud provided with primary and secondary cable terminations with a 1 Gigabit path to the internet through the Datacenter's premium blended bandwidth consisting of four internet service providers. This service configuration provided supports the Datacenter's 100% uptime SLA. The Datacenter has never reported a service outage based on this configuration in their history. Between the cage space and the Datacenters point of demarcation, the Datacenter provides fully redundant and multi-homed connectivity. Externally, the facility features distinctly separate last mile fiber optic connections. The premium internet blend includes last mile circuits from Lighttower, Lightpath, Cogent, and Zayo.

### **Data Authenticity:**

As part of our overarching Data Management strategy, information given by data sources is updated by proprietary resources to provide the most current data possible. These proprietary processes and fulfillment technologies are purpose-built and optimized for verifications and enable us to deliver authentic and current data with consistency and conformity. We include provisions to test and validate the accuracy of the data, and promptly correct any errors, inaccuracies, and omissions. We receive and transmit data directly as it is received from the data source. We have a data quality team to identify and address potential quality issues. When we learn of a potential inaccuracy in the data, we contact the data source and work with them to research and identify if revisions/updates are necessary. If any such data is determined to be incomplete or inaccurate, and is not corrected by the furnisher, we will block any such data from being released. Softheon's Identity Service has an Identity and Access Administration application that provides administrators with insight into their users. Administrators can view users and their details using the application's UI, or export users as a list in a CSV file. Users' events are also tracked, such as sign-in date/times, sign-out date/times, account changes, and access changes, and can be easily exported for auditing.

### **Encryption at Rest**

Database encryption takes the form of TDE. Keys are cycled annually through a PCI-compliant key management architecture utilizing job-duty segregation and storage with key personnel outside of the application process. Encryption is also used for backup procedures ensuring that data is encrypted even in cold storage.

### **Encryption in Transit**

Data flowing to or from Softheon is encrypted from point-to-point. Incoming connections to the marketplace or administrative portals will automatically be secured with HTTPS via URL rewrite rules at the WAF or IIS level. Additionally, SSL ciphers are disabled as vulnerabilities are discovered. At the time of publication, the only acceptable and allowable ciphers include: AES128 and AES256. Protocols are also disabled as vulnerabilities are discovered. Currently, only TLS 1.2 is allowed.

### **Ports**

The stateful firewalls at every point in entry ensure that the client's environments may only be accessible via approved secure channels or where compensation controls may allow for secure transmission. To that end, DMZ traffic will only allow port 80 and 443 traffic for web-



browsing. As stated above, URL rewrite rules automatically change HTTP traffic to HTTPS traffic. Additionally, traffic is limited for intra-communications including standard ports and Softheon-specified ports for communication.

### **Whitelisting of Sensitive Pages, Sites, or Protocols**

Softheon encourages the **whitelisting** of sensitive pages.

Whitelisting includes: Customer services, Softheon Web, Foundry, and any other pages as may be deemed sensitive for client's usage only. A whitelisting document is provided to clients to enable enrollment in whitelisting with an expectation of compliance. Whitelisting is also used for various protocols including SFTP to third-party vendors or other needs as necessary.

Softheon employs Microsoft HyperV for quickly and easily provisioning virtual environments within the Softheon Cloud. Softheon has defined tiers of Application, Web, and Database server system provisioning. Softheon ensures initial system provisioning is configured appropriately for expected load, based on experience and test system benchmarks. Softheon can **easily upscale or downscale** as necessary to meet our SLA for user response times and throughput. All Softheon clients are appropriately provisioned Production environments, and corresponding Model environments that receive initial release of the next release candidate of Softheon.

### **Capability to Accept Responses Electronically**

Softheon's Verify AVS receives all responses from our liquid and property partners electronically. We have established multiple ways of receiving the responses via SFTP batch file transfer process as well as web service API. Both the methods include robust encryption and secure methods of transferring the information electronically. Access to data continues to improve and Softheon's technology is always working to ensure Indiana has the most efficient and up-to-date processes in place to extract and rapidly present verification results.

### **Softheon Response to West Virginia Electronically via an Interface or Web Service in State-Approved Formats**

Web Service – Softheon's Verify AVS product can integrate with nearly any eligibility system as it is a MITA-aligned and a modular tool. In our West Virginia delivery, engineers from State SI Optum were impressed with our technology approach and our full understanding of the eRAPIDS eligibility system.

Softheon has extensive experience with normalizing data sets and developing integrations and is prepared to respond to any adjustments to IEDSS and unforeseen changing requirements.

Interface - Softheon's interface, the Verify Portal, allows the eligibility specialist to make a search on the application using a simple intuitive search page as shown below. Portal training is ongoing and state configurations are always available.

### **Integrating with West Virginia Systems and Prior Integration Experience**

Softheon has extensive experience integrating with state MMIS systems, data sources, and other health care systems. We recently worked with Deloitte to integrate our services with their Benefind system in Kentucky that serves as the platform for their Medicaid expansion. More recently, Softheon integrated with West Virginia's MMIS platform, Indiana's Integrated Eligibility System, and we are currently advising New Mexico on how to integrate while they upgrade their MMIS platform.

There are two ways to integrate Softheon's Verify AVS with West Virginia's eligibility systems:

1. Softheon's Verify AVS can be integrated into the state's eligibility system using web API. We can build and configure the API by setting up an endpoint connection **simply updating the WSDL** (Web Service Definition Language) document provided by West Virginia's eligibility system vendor. Once the two-way SSL connection is established, the asset verification request can be sent to Verify using the POST method. When the asset verification response is available, Verify sends a request for connection and transfers the response to West Virginia in the form of data fields or an attached document. Softheon has implemented this process with West Virginia's eligibility system called eRapids, an Optum solution as well as Indiana's IEDSS, operated by Deloitte, that are similar to West Virginia's needs.
2. Softheon's Verify AVS can be integrated using a batch file via Secured file transfer process (SFTP). The applications from West Virginia will be exported/generated on the file that can be in any of the following file formats: XML, CSV, JSON, flat file, or EDI. This file will be encrypted and transferred via SFTP to Softheon's Verify AVS. Verify will return results for each asset search using a similar batch file format which will be exported/generated and transferred back to West Virginia. Typically, the file is generated once a day, but can be triggered at any frequency, based on West Virginia feedback. We are capable of conducting reassessments of nearly any volume capable of supporting over 900 West Virginia concurrent users and executing over 50 transactions per second.

### **Softheon meets MITA, CMS MECT and 7 Standards and Conditions**

Softheon's solution adheres to the Medicaid Information Technology Architecture (MITA) and the Standards and Conditions for Medicaid IT. Softheon's Verify solution meets all CMS Medicaid Enterprise Certification Toolkit (MECT) checklist requirements, which are related to the Verify module and CMS certification. The SoftheonCloud is designed from the ground up with full considerations of the MITA's 7 Standards and Conditions:

**Modularity**- Softheon is developed with Agile Software Development Life Cycle ("Agile SDLC") methodologies in mind, providing Open Interfaces, exposed APIs, Business Rules Engines, HHS designated repository through four components:

- Our **User Experience (UX)** module focuses on enabling users to interact with the system through simple and impactful user interfaces on Web browsers and mobile devices.
- The **Business Process Management (BPM)** layer is responsible for providing a business-user friendly interface for the definition and execution of business processes following the BPMN 2.0, BPEL, and other open standards.
- The **Enterprise Services Bus (ESB)** layer orchestrates complex business transactions that may span across multiple systems. It is also considered to be the composite web services with an open communication layer for interconnecting all external and internal systems.

- The Service Oriented Architecture (SOA) compliant service layer includes inter-connected flexible modules that have purpose optimized access methods for each external data source. It is designed with open data interfaces in mind and exposed through advanced application programming interfaces, including REST/SOAP XML Web Services.

**Agile Development** - Softheon's components are built on agile development methodologies and supported by Project Management Institute's best practices. Softheon's features include:

- Separation and isolation of business rules from underlying system complexities and languages.
- Secure internet-based cloud computing for accessing disparate systems that are dispersed geographically.
- A web browser-based user interface offering secure portals to easily submit and review requests.
- A fully secured SAS 70 Type II audited and approved cloud data center operation.
- Compliance with all Federal privacy laws and regulations, including Section 1940 of the Supplemental Appropriations Act of 2008

**MITA Condition** - Softheon supports MITA maturity through Annual State Self-Assessment (SS-A), Concept of Operations (CONOPS), and Business Process Models (BPMs). While a State may change its course of Medicaid operations and integration with other systems, Softheon can provide the foundation for the State Agency's future. Softheon will play a critical role by enabling West Virginia to transform its operations and systems to a To-Be (future) state with the Softheon's CONOPS compliance.

**Industry Standards Condition** - Softheon will ensure alignment with and incorporation of industry standards including:

- The HIPAA privacy act, security, and transaction standards,
- Accessibility standards established under section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities,
- Compliance with Federal civil rights laws; standards adopted by the Secretary under section 1104 of the Affordable Care Act.

**Leverage Condition** - Softheon promotes sharing and the reuse of existing systems and other State technologies within and among states, provided that such systems and technologies have similar capabilities. For any proprietary interfaces that need to be developed, the Softheon SOA layer most often provide those tools and capabilities as well.

**Business Results Condition** - SoftheonCloud is a secure, accurate, timely and effective end-to-end solution that will be designed by subject matter expert's defined business rules, following agile methodologies.

The Softheon solution coordinates requests to facilitate the expedited exchange of

member data between a state and the external data sources. Softheon will provide West Virginia with an automated verification workflow that ensures the identity of the applicant in real-time. Other than a web-browser, no other software is required. Softheon has been designed and developed with the purpose of managing a complex risk scoring algorithm on every workflow task associated with processing information required to support the continuing eligibility determination process. In both methods of processing, Softheon relies on internet technologies and open standards for communicating with the Federal, State, and financial institution community. Moreover, Softheon supports verification processing in both electronic and paper-based methods. Regardless of the method chosen by the owner of the data source, all verification requests and responses sent and received by an eligibility system are electronic and processed through the Web-based application.

**Reporting Condition** - As part of the Softheon Verify Platform, multiple Key Performance Indicators (KPIs) and Business Activity Monitors (BAMs) will ensure accurate reporting that will lead to measurement, evaluation, accountability, and continuous improvement of business operations. Softheon includes a significant number of ad hoc & staged reporting tools to assist with monitoring all activity associated with the Softheon Verify process.

Softheon includes a secure management dashboard, an extensive data infrastructure specifically for the purpose of supporting reporting requirements of the State and other stakeholders. Connected to various external data sources and the Verify Repository, Softheon Foundry consolidates key data into a master source database to create the permutations and combinations of reporting elements and functions. The Softheon Foundry reports can provide an array of statistical or analytical reports related to the verification process.

**Interoperability Condition** - Softheon can ensure seamless coordination and integration with State and Federally Facilitated Exchanges, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services.

With the proposed Softheon Platform, a State can ascertain which program the individual is eligible for inclusion. Softheon will provide electronic applications that minimize the need for paper documentation and facilitate determination for benefits to the proper program.

Our solution will improve efficiency and effectiveness of system upgrades, **reduce costs, improve system interoperability**, and increase adherence to the Medicaid Information Technology Architecture (MITA) and the Standards and Conditions for Medicaid IT. Softheon's Verify solution meets all CMS Medicaid Enterprise Certification Toolkit (MECT) checklist requirements, which are related to the Verify module and brings the West Virginia to CMS certification. Softheon's system architecture is aligned with the current MITA Security and Privacy model. Coupled together, Softheon's

SOA, ESB, and BPM layers allow for an orchestration of data delivery that exceeds the requirements as laid forth in this proposal. If selected, Softheon is open to reviewing its current best practices and implementing any additional security enhancements as

deemed fit.

Because our system is fielded in the basic same manner for state agencies, we have derived several items that have been documented for ease of use for proposed changes and additions.

Gaining integration partners have come to appreciate the organized approach Softheon brings to our first planning sessions.

## Softheon's Requirements Gathering Process

Softheon can appreciate the complexity of the West Virginia project implementation phase. We welcome the opportunity to differentiate ourselves as a true technology company by specifically meeting the varied technological deliveries. The requirements of the West Virginia RFP will not allow for the simple replacement of a former state coded product, but instead will require the work of a dedicated partner committed to guide West Virginia through its multiyear project that will initiate with the delivery of an Income and Employer portal (ADES API), followed by a future transition that will require two very different integrations, one into a mainframe system (AZTECS) and the other into a standard eligibility system (HEAplus). Finally, West Virginia has identified several future additional services to include AVS, home address verification, incarceration with data match, a death master file, the ability to manage multiple benefit inquiries and training. These integrations, data set additions and a Softheon's proposed multi-agency information sharing technology will be critical milestones in support of ADES and AHCCCS activities.

Integration into established systems has become a major component of nearly all Softheon implementations for both our government and commercial clients. In 2013, we pioneered the elimination of batch transactions for Centene by integrating directly with their corporate Enterprise Service Bus (ESB). By exposing Softheon's web services and connecting with carrier and exchange environments, Softheon has the option to send and receive data without the need for file transfer, a significant advancement over past technologies. Our integrations remain, and Centene enrollment and financial transactions support over 12.8 million lives in 30 states.

Each integration task is detailed within the Agile project plan that is used as the guide throughout each facet of the implementation. Softheon has achieved a significant reputation of building our tools to the exact specification of the currently operational gaining system. For West Virginia, Softheon is an experienced integration partner having completed in the past 18 months similar HHS efforts in both West Virginia and Indiana with New Mexico pending MMIS completion, gaining praise for our work from eligibility system owners Deloitte and Optum. Most comparable to the West Virginia effort is our work in Mississippi where we are similarly integrating within two different eligibility systems: an aged mainframe system for the Mississippi Department of Human Services and a eligibility system for the Mississippi Department of Medicaid provided by DXC technologies.

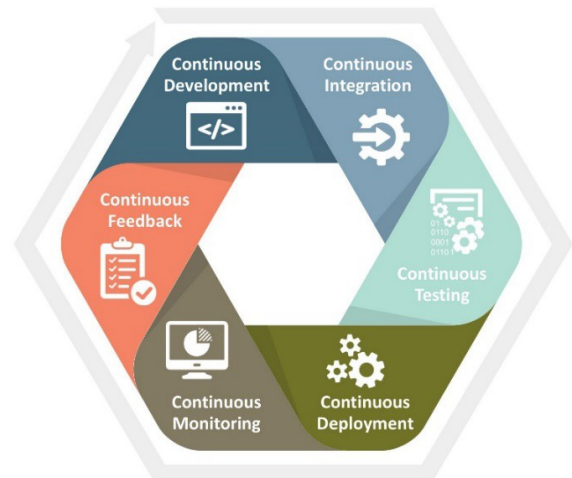
Softheon's approach to the execution of the West Virginia's next integration project begins with our staffing plan to deploy a wide variety of human resources "up-front" to professionally map the system end- to-end to include the components of each fielded system, as "current state". In this mapping, Softheon will analyze, down to specific batch, API and data element composition, all portions of the West Virginia system. Upon completion, Softheon will provide full analysis of and detailed plans for the "future state" of the West Virginia. In this evaluation, West Virginia will understand and appreciate how each of the systems will connect and operate with the Softheon Verify platform. All datasets, current and future, will be evaluated for data quality, efficiency, and cost effectiveness. Deeply educated on the WV systems, our team of technical professionals will conduct several JAD sessions where collectively we will build our set of integration requirements carefully managed in the project Requirements Traceability Matrix (RTM). It is our expectation that the various Joint Application Development (JAD) sessions will include active participation from the participating departments, to include leadership,

operations managers and policy individuals along with vendor representation for each of the gaining technology systems. Softheon's integration success is based on our early project investment of technology implementation leaders, technical architects, data scientists, developers, subject matter experts, testers, and project management colleagues all committed to carefully define the parameters of the West Virginia project.

### The Softheon Project Plan

Softheon has a variety of experience regarding implementing solutions for government entities. For all different sizes and scope, Softheon utilizes **Agile Project Management (APM)** best practices to deliver the solution both in a timely manner and at the quality requested. When projects contain a large scope, scale, or level of complexity, Softheon understands that aggressive timelines can create a risk in delivery as well as quality of the solution. In order to mitigate that risk at the initial planning stages, Softheon utilizes metrics to calculate the estimating resources, number of deliverables and an agile project plan to mitigate and control risks. In previous successful implementations, Softheon utilizes agile methodologies to structure the project plan. Our methods are covered in eight main phases:

1. Requirements Gathering
2. Documenting & Tasking Requirements
3. Development
4. Integration and Infrastructure SDLC Management
5. Model Environment & Training
6. User Acceptance Testing
7. Production Readiness
8. Post Go-Live Operations



Softheon follows Agile principles as it relates to all aspects of the business. From Project Management to software engineering, everything is managed in sprints and iterations. The Project Plan is the vehicle that is used to navigate the project and ensure that all deliverables are tracked appropriately. This includes:

- Prioritizing requirements
- Automating tests
- Increase efficiency
- Adapt to changes in a sprint development cycle

### Team Structure and Development Cycles

As described throughout proposal, Softheon Platform is a modular product that can be purposed for a variety of dataset additions and sister agency uses. Within these features a variety of integration opportunities exist. Each of these functions is supported by a distinct DevOps team. **Each team is responsible for its own end-to-end development process, from requirements gathering, to development, to testing and ongoing maintenance.**

### Building the Project Plan

Softheon's Software Development Lifecycle (SDLC) follows a two-week sprint iteration using Scrum methodology. Softheon's philosophy is to have continuous processes with regards to development, testing, deployments, monitoring, and feedback. Softheon has clearly defined process around 4 major categories for changes, which include:

- Bug Fixes
- Major Revision Changes
- Policy Changes
- Database Changes

### Softheon West Virginia Project Schedule

Softheon's Project Schedule is based on the conduct of similar projects with both West Virginia and Indiana. In each of these deliveries Softheon was charged with providing a Verification Portal first, followed by one or more integrations into the states eligibility system platforms. Given our experience in these activities, we have scheduled our standard offering of 45 days for Portal and another 45 days for Integration. Understanding that there will be some overlap in providing for these to deliveries, Softheon is confident in executing to all state requirements, appropriate customizations, unit testing, UAT, training and Go Live Readiness. These aggressive plans require a state and integration vendor commitment of active participation, resources and timely identification of project scope. Softheon is proud to share with West Virginia our very professional approach to technology deployment and client satisfaction. Softheon will immediately provide a DRAFT Project Schedule for Portal and Integration Phases (this is not to include data set additions and multiple sister agency uses). Softheon uses Microsoft Project (MPP) software and will complete all tasking in the professional manner West Virginia has experienced with Softheon.



## Softheon's Unit Test Plan

Unit Testing is testing a single component of an application in isolation without emphasis on interaction with other component's functionality. Unit Testing at Softheon involves the following frameworks:

- **C#** - Softheon enterprise middleware utilizes NUnit, Microsoft's open source unit testing framework, for all Microsoft .NET code.
- **Typescript / Angular** - Softheon front-end development leverages the open source Angular framework, and its associated Jasmine and Karma unit testing framework.

Both NUnit and Karma unit tests are associated with corresponding source projects, and run at compile time, gated for successful completion during source code commit. Softheon Unit testing aims for as close to complete code coverage as is feasible, encouraging a Test-Driven Development methodology. Unit tests can define the functionality of components and are developed towards complete passage

Testing and quality controls are an important part of Softheon's SDLC. Softheon utilizes a series of both automated and manual functional (unit, integration, interface, regression, acceptance) and non-functional (performance, load/stress, security) tests during both the implementation, integration and daily throughout the lifetime of the contract.

When possible, Softheon automates these processes through our Automated Testing Framework (ATF). Softheon ATF executes thousands of units, end-to-end, security, and system performance tests on both check-in and during nightly builds.

Furthermore, additional stakeholders need to be included as part of the testing process. This includes any organization that Softheon interfaces with now and in the future (e.g. Sister Agencies, Recovery, IG, Audit and others) Softheon will develop a number of scenarios for end-to-end testing with each of these new potential stakeholders. The scenarios will be presented to these teams prior to executing the testing plan. This allows the team to provide their input if they feel additional scenarios and detail are needed. At a minimum, the plan will consist of testing of integration, data files, returned information, and any other potential areas where Softheon interfaces with West Virginia.

## Softheon User Acceptance Testing (UAT)

UAT represents the cycle of testing performed by users themselves to ascertain that the product works as expected and meets all the requirements provided at the beginning of the project. Softheon ensures that the actual testing is conducted completely by users themselves. In support of this effort, Softheon provides detailed information to assist the UAT efforts to include a UAT manual and a dedicated resource – the UAT Manager. UAT manager who works with the project team and based on feedback from Unit Testing conducted with member of the WV development staff. Softheon will provide to the project the UAT test plan and will ask West Virginia to recruit a team of testers to execute the test cases. UAT testers need not be experienced testers as their activities will be driven from the UAT Test manual. UAT testers will work independently without assistance to provide a true evaluation of the proposed technology solution. It is in this manner that Softheon will collect daily feedback to make system enhancements as decided by the project team. It is always our goal at Softheon for our clients to exit UAT with the confidence to express their utmost faith in the product having met all its intended original requirements before it is greenlighted for release.

The UAT Manuals depicted below are completed having been most currently used in Indiana. They are organized separately by Portal and Integrated Solution and contain in them: Purpose of UAT, Instructions, Test Cases and Expected Outcomes in a simple to use format. **With each state delivery, our UAT Manuals are updated and improved based on the feedback of users and stakeholders. Due to space restriction in the RFP – these are available upon request.**

## Softheon's IVV for Interphase Modifications

We understand that each project is unique and that the PMO and IV&V will work with their federal partner where necessary to determine the best checklists, process, and reporting frequency for the milestone, readiness reviews and IV&V Progress Reports. We will work transparently with the state and IV&V to determine and understand the required process and reporting frequency. We understand the final agreement and determination on checklists, process, reporting frequency, and schedule is determined by the federal, state, and IV&V partners. We will work collaboratively to advise based on prior experience and best practices.

We recommend that checklist completion begin early and continue throughout the project. One of the very first tasks in the planning process is the selection of the applicable checklists by module. Once these are selected, module requirements must be mapped to the appropriate checklist items so that it is clear what requirements meet the specified readiness review checklist item. This develops a strong foundation for tracking requirements throughout the review process. This mapping will assist the project as it progresses through certification to identify the applicable artifacts that are the appropriate evidence to prove the certification checklist item is met.

In accordance with EEEI Standards for Verification and Validation, the following modification steps are required a) Evaluate proposed software changes (i.e., modifications, enhancements, and additions as a result of anomaly corrections or requirement changes) for effects on the systems and previously completed V&V tasks. b) Plan iteration of affected tasks or initiate new tasks to address software proposed changes or baseline changes associated with an iterative development process c) Verify and validate that the change is consistent with system requirements and does not adversely affect requirements directly or indirectly. An adverse effect is a change that could

create new system hazards and risks or impact previously resolved hazards and risks.

### **Softheon's Experienced Team**

Softheon brings an energetic, highly skilled, team of experienced technologists, data scientists and leaders that have successfully deployed the Softheon Verify Platform in 4 state awards in the past 3 years. It is this same established team that is very quickly disrupting the verification industry monopoly, building a track record of success, proving that better technology, delivered by fresh minds and innovative approaches are in the best interest of state eligibility processes. Softheon is competitive, winning state RFP after RFP in our mission to replace aging, hard coded and reused AVS systems, with newly built West Virginia specific, MITA-aligned, and modular deployed technologies. Advanced technology delivery requires a new breed staffing, individuals knowledgeable on the latest CMS development standards, and educated on the newly required modular delivery of state MMIS. We understand the importance of communication and personnel consistency, Softheon therefore commits that our staffing assignments will remain consistent and dedicated throughout the development, implementation, and operation phases.=

The following includes a detailed breakdown of all key personnel with their expected role for the project and relevant experience related to the role they will be assuming for implementation phase of this project. While all the staff are considered part of the core team, the Executive Sponsor, Robert Miller is the key point of contact.

**Robert Miller – Executive Sponsor / GM & SVP****Phases:** Implementation and Operation

Robert will serve as the executive sponsor, account manager, and chief decision maker for this project. All critical Executive decisions will run through this position to meet the demands of the DOH. Robert has been in a leadership role at Softheon for the past twelve years working in many facets of the business including the enhanced eligibility, asset verification, and ACA solutions. Robert is highly skilled at working with corporate leaders, translating business requirements into technology solutions. He maintains relationships with key clients by managing weekly support and project management calls. His expertise has been applied in developing solutions for Softheon's individual clients, while assuring that the same best business practice solutions can be also used across the Softheon client spectrum.

**Relevant Project Experience****New Hampshire Enhanced Eligibility - Managing Director of Government Solutions**

Served as the Solutions Consultant and Solution Architect for the New Hampshire Enhanced Eligibility solution delivery.

**West Virginia Asset Verification System - Managing Director of Government Solutions**

The executive sponsor overseeing the project from beginning to end. Ensured the project's goals were met on time. Communicated with key stakeholders to support the project and provided ongoing direction to the team throughout the project's lifecycle including the adoption of the Verify portal to determine eligibility for SNAP applicants and now incorporating incarceration data into the verification process.

**New Mexico Asset Verification System - Managing Director of Government Solutions**

The executive sponsor overseeing the project from beginning to end. Ensured the project's goals were met on time. Communicated with key stakeholders to support the project and provided ongoing direction to the team throughout the project's lifecycle. Through his leadership and creativity, New Mexico launched its Asset Verification System using only the major bank data providing immediate responses and providing significant population coverage while saving the state thousands of taxpayer dollars in monthly data requests.

**Indiana Asset Verification System - Managing Director of Government Solutions**

The executive sponsor overseeing the project from beginning to end. Ensured the project's goals were met on time. Communicated with key stakeholders to support the project and provided ongoing direction to the team throughout the project's lifecycle. Supported the delivery of new assets around farm equipment and other assets that are more prevalent in Indiana.

**Mississippi Fraud and Abuse Management System - Managing Director of Government Solutions**

The executive sponsor overseeing the project from beginning to end. Ensured the project's goals were met on time. Communicated with key stakeholders to support the project and provided ongoing direction to the team throughout the project's lifecycle. During this implementation, Robert is helping to coordinate between multiple state agencies providing various data sets to create a statewide (all agency) data sharing system to verify applicant eligibility for means tested programs.

**Massachusetts Health Connector Enrollment & Premium Billing - Managing Director of Government Solutions**

The executive sponsor overseeing the project from beginning to end. Ensured the project's goals were met on time. Communicated with key stakeholders to support the project and provided ongoing direction to the team throughout the project's lifecycle. During this implementation, Robert coordinated efforts between numerous state agencies, health plan issuers, and existing vendors. During the cutover, Softheon converted plan information from 11 carriers including 5 million enrollment records and 2 million payment records along with 15 terabytes of files associated with the enrollment and payment records.

**Access Health CT SHOP - Managing Director of Government Solutions**

The executive sponsor overseeing the project from beginning to end. Ensured the project's goals were met on time. Communicated with key stakeholders to support the project and provided ongoing direction to the team throughout the project's lifecycle. During this project, Softheon transitioned Access Health CT from a failing vendor in under 45 days.

**Michael Sasko – Vice President of Government Solutions****Phases:** Implementation and Operations

Michael will serve as the primary liaison for the PMO and state leadership regarding project schedule, project status and communication throughout the project. Michael will be responsible for coordinating resources internally to keep the project on track maintaining close communication with the state. Michael has served the same role in our most recent AVS projects with the West Virginia, New Mexico, Indiana and Mississippi and is active today sharing best practices and maintaining Softheon's delivery commitment.

**Relevant Project Experience****West Virginia Asset Verification System - Vice President of Government Solutions**

Executive Client lead for DHHR responsible for bringing together leadership from both Medicaid and Humans Services to plan, develop and implement to first platform for joint use with seral sister agencies. Oversaw implementation of the AVS Portal followed by integration into WV eligibility system. Responsible to execute monthly of Executive Steering Committee meetings.

**New Mexico Asset Verification System - Vice President of Government Solutions**

Executive Client lead for HSD responsible for leadership approval to plan, develop and implement the AVS platform utilizing state contracted technology provider. Oversaw implementation of the AVS Portal followed by integration into NM ASPEN integrated eligibility system. Responsible to execute monthly of Executive Steering Committee meetings.

**Indiana Asset Verification System - Vice President of Government Solutions**

Executive Client lead for FSSA responsible for bringing together leadership for the planing, development, and implementation of the AVS platform for Medicaid uses. Oversaw implementation of the AVS Portal followed by integration into IN IEDSS eligibility system. Responsible to execute monthly of Executive Steering Committee meetings.

**Mississippi Fraud and Abuse Management System - Vice President of Government Solutions**

Executive Client Lead for both DOM and MDHS responsible for bringing together leadership, and all assigned vendors for the approval to plan, develop and implement the AVS platform for Medicaid and Human Services uses. Mississippi FAM requires Softheon to integrate with many federal, state and commercial data sets. Currently overseeing implementation of the AVS Portal that will be integration into both MS eligibility systems.

**Massachusetts Health Connector Enrollment & Premium Billing - Vice President of Government Solutions**

Account Manager responsible for client facing duties upon completion of implementation. Assist Massachusetts Health Connector in maximizing operational functionality of Softheon's enrollment, payments and back office functionality.

**Connect 4 Health Colorado - Vice President of Government Solutions**

Executive Client Lead for Softheon's work in proving for enhanced decision support technology to include a new mobile application. Responsible for taking leaders concept to operational delivery. Responsible for Softheon's relationship as a preferred vendor for Connect 4 Health CO

**Access Health CT - Vice President of Government Solutions**

Executive Client Lead for Softheon's work in executing SHOP for Access Health CT. Oversaw new platform deployment, full data migration, and new product enhancement offerings to include EDE, Carrier Reconciliation, ICHRA, and others.

**Akshay Punde – Product Owner**

**Phases:** Implementation and Operations

Akshay will serve as a Product Owner for this project, helping to manage the product teams that will support the New York AVS in this implementation. Akshay our AVS technical expert, will be responsible for coordinating meetings and ensuring proper technical resources are available, ensuring meeting minutes are taken and distributed, as well as providing technical updates to the project plan to ensure the project is on track.

**Relevant Project Experience****West Virginia Asset Verification System - Business Analyst**

Currently Responsible for governing all the Post Implementation Operations for West Virginia Asset Verification System. He was actively involved in System Testing and Product Management to assist the Product Owner with Product Planning. He was responsible for providing information to Developers for developing new functionalities based on the requirements from the client and making sure all the client deadlines and other professional expectations are met successfully. He was also heavily involved in developing Technical Design Documents for AVS and analyzing client data and creating ad-hoc reports for the clients based on their requirement.

**New Mexico Asset Verification System - Business Analyst**

Currently Responsible for governing all the Post Implementation Operations for New Mexico Asset Verification System. He was actively involved in System Testing and Product Management to assist the Product Owner with Product Planning. He was responsible for providing information to Developers for developing new functionalities based on the requirements from the client and making sure all the client deadlines and other professional expectations are met successfully. He was also heavily involved in developing Technical Design Documents for AVS and analyzing client data and creating ad-hoc reports for clients.

**Indiana Asset Verification System - Product Owner**

Successfully on-boarded State of Indiana for Softheon's Asset Verification System. He was actively involved in end-to-end implementation from Inception to Delivery of Asset Verification System to State of Indiana. His Major areas of focus were Gathering Requirements from the Client, Defining Architecture for Indiana AVS, Creating Technical Design Documents, Product/Sprint Planning. He also worked in Collaboration with State of Indiana and Project Management Team to make sure project deadlines are met successfully.

**Mississippi Fraud and Abuse Management System - Product Owner**

Currently on-boarding State of Mississippi for Softheon's Fraud & Abuse System. The Project is currently in Requirement Gathering Phase. Akshay is actively involved in working with State of Mississippi and other Softheon Internal Teams to analyze the requirements from Mississippi and completing the feasibility analysis. He is working with State of Mississippi for defining the functionality for the Fraud & Abuse System.

**Joseph Cambridge – Director of Solution Consulting****Phases:** Implementation

Joseph Cambridge serves as the Director of Solution Consulting specializing in the Government Solutions vertical. In his time at Softheon, Joe managed clients such as Dell Mass Connector, Centene, Aetna, and is recently completed the implementation of Massachusetts Health Connector's Enrollment and Premium Billing solution. Joseph is responsible for IT implementation and operations for the project.

**Relevant Project Experience****West Virginia Asset Verification System – Director of Solution Consulting**

Joseph served as the primary solutions consultant for the West Virginia's Asset Verification Portal delivery and full integration into Optum's eRAPIDS system and cross agency use to verify SNAP eligibility. Joseph currently supervises the solutions consultant assigned to West Virginia who will be overseeing the inclusion of incarceration data into their system.

**New Mexico Asset Verification System - Director of Solution Consulting**

Joseph served as the primary solutions consultant for the New Mexico Asset Verification Portal delivery. Joseph currently supervises the solutions consultant assigned to New Mexico who will be overseeing the full integration into New Mexico's new MMIS system.

**Indiana Asset Verification System - Director of Solution Consulting**

Joseph supervises the Solutions Consultant assigned to the Indiana Asset Verification System and serves as an escalation point and backup when necessary.

**Mississippi Fraud and Abuse Management System - Director of Solution Consulting**

Joseph supervises the Solutions Consultant assigned to the Indiana Asset Verification System and serves as an escalation point and backup when necessary.

**Randeep Gupta – Product Manager****Phases:** Implementation and Operations

Randeep will serve as the Product Manager for this project, managing the back-end teams and processes that will support the New York AVS project throughout each of the required implementations. Randeep will be responsible for the maintenance of all operational procedures and coordinating teams to execute daily tasks and functions. Randeep has served as a Product Management lead managing daily product operations while maintaining stringent Service Level Agreements. Randeep will serve as the supervisor and backup to the Product Owner.

**Relevant Project Experience****West Virginia Asset Verification System – Product Manager**

Responsible for defining and supporting the building of desirable and sustainable products that meet West Virginia needs. Collaborate with a wide range of people to identify and define product needs, understand the solution context, and develop the program vision, roadmap, and features required to meet these needs. Support the product team in delivering value through their sprints. Supported expanding the product to serve multiple public assistance programs.

**New Mexico Asset Verification System – Product Manager**

Responsible for defining and supporting the building of desirable, feasible, viable, and sustainable products that meet New Mexico needs. Collaborate with a wide range of people to identify and define product needs, understand the solution context, and develop the program vision, roadmap, and features required to meet these needs. Support the product team in delivering value through their sprints.

**Indiana Asset Verification System – Product Manager**

Responsible for defining and supporting the building of desirable, feasible, viable, and sustainable products that meet Indiana needs. Collaborate with a wide range of people to identify and define product needs, understand the solution context, and develop the program vision, roadmap, and features required to meet these needs. Support the product team in delivering value through their sprints.

**Mississippi Fraud and Abuse Management System – Product Manager**

Responsible for defining and supporting the building of desirable, feasible, viable, and sustainable products that meet Mississippi needs. Collaborate with a wide range of people to identify and define product needs, understand the solution context, and develop the program vision, roadmap, and features required to meet these needs. Support the product team in delivering value through their sprints. Supported cross agency use and incorporation of state-owned data sets.

**Robert Stewart – Solutions Consultant, Asset Verification System****Phases:** Implementation

Robert will serve as the Solutions Consultant. Robert will own the PMO documentation and reporting for all development components of the project. Robert has served the same role in our Massachusetts Health Connector project and is currently functioning in the role for the implementation of the Mississippi Fraud and Abuse Management System. Robert has worked on the product team for our Verify AVS solution and performed in a comparable role in similar implementations for New Mexico.

**Relevant Project Experience****West Virginia Asset Verification System – Product Manager**

Responsible for reviewing and understanding West Virginia’s business requirements and ensuring AVS solution met client needs. Created user stories to communicate required features and updates with Development team and ensured timely and correct completion of items. Created Executive and Operational level reporting dashboards for State implementation.

**New Mexico Asset Verification System - Product Manager**

Responsible for reviewing and understanding New Mexico’s business requirements and ensuring AVS solution met client needs. Created user stories to communicate required features and updates with Development team and ensured timely and correct completion of items. Created Executive and Operational level reporting dashboards for State implementation. Coordinated with Project Managers, Software Engineers, and other stakeholders in ensuring New Mexico’s desired solution capabilities were met.

**Mississippi Fraud and Abuse Management System - Solutions Consultant**

Responsible for collaborating with Mississippi Department of Medicaid (DOM) and Department of Human Services (MDHS) stakeholders to establish business requirements and ensuring Fraud and Abuse Management solution meets client needs. Currently, leading requirement gathering, implementation and delivery of application. Coordinating with PMO, Product Team, Software Engineers and other stakeholders to ensuring desired solution capabilities are delivered.



**Mark Graffia – Enterprise Architect****Phases:** Implementation

Mark oversees development efforts and serves as the technical architect for Softheon’s platform. Mark has managed sprints for the software development team and coordinated efforts with project management. Mark has been involved with other implementations spearheaded by Softheon, most notably in 2018, Mark aided in the design of Softheon’s Asset Verification System.

**Relevant Project Experience****West Virginia Asset Verification System - Lead Software Architect**

Aided in design of Softheon’s Asset Verification System (AVS). The system intakes Medicaid eligibility information via SOAP API or Web Portal, submits the information to multiple 3rd party vendors to retrieve information on physical property assets (real estate, vehicles, etc) and liquid assets (bank accounts). The system uses the 3rd party information to determine a “risk score” and reports it back to the Medicaid agency for the purposes of fraud detection and prevention.

**John Paul Pennisi – Director of Engineering****Phases:** Implementation

John Paul will be responsible for documenting the functional specifications and ensuring delivery through the SDLC from development and testing. During his five-year tenure at Softheon, John Paul has assisted on multiple products and project, leading to his familiarization with our AVS solution and the excellence that Softheon strives towards. He has worked across multiple products and projects related to healthcare technology.

**Relevant Project Experience****West Virginia Asset Verification System – Software Engineer**

In addition to being a vital component in the team that built and maintains Softheon’s AVS product for West Virginia, John Paul attends leadership meetings to help drive the product forward using his innovative ideas. John Paul supported our full integration with Optum’s eRAPIDS (WV MMIS System).

**Mississippi Fraud and Abuse Management System – Testing Lead**

John Paul functions as the Testing Lead during the Mississippi implementation. Due to his extensive knowledge of Softheon’s solutions, he is able to prevent and combat errors in the system to ensure the implementation and the post Go-Live phase are exceptional. John Paul is playing a critical role in Mississippi’s multiple integration platform.

## Chris Ruch – Director of IT

### **Phases:** Operations

Chris Ruch, the Director of IT Cloud Management, is responsible for implementing the security and technology policies and procedures at Softheon. Chris provides oversight and governance to all Softheon solutions ensuring they meet federal and state regulatory requirements.

### **Relevant Project Experience**

#### **West Virginia Asset Verification System - Director of IT**

Responsible for maintaining all cloud infrastructure and maintaining security policies and procedures for each environment. Ensures compliance with state partners and internal and third-party security and privacy standards.

#### **New Mexico Asset Verification System - Director of IT**

Responsible for maintaining all cloud infrastructure and maintaining security policies and procedures for each environment. Ensures compliance with state partners and internal and third-party security and privacy standards.

#### **Indiana Asset Verification System - Director of IT**

Responsible for maintaining all cloud infrastructure and maintaining security policies and procedures for each environment. Ensures compliance with state partners and internal and third-party security and privacy standards.

#### **Mississippi Fraud and Abuse Management System - Director of IT**

Responsible for maintaining all cloud infrastructure and maintaining security policies and procedures for each environment. Ensures compliance with state partners and internal and third-party security and privacy standards.

**Matthew Schumpf – Privacy and Compliance Director****Phases:** Operations

Matthew serves as a Privacy and Compliance Managing Director and has a decade of experience working at Softheon. As a Director, Matthew plans and prioritizes his team's work, which includes documentation, training, process improvement, corporate governance, risk management, compliance, and financial analysis. Matthew is highly skilled evaluating company's business models, ensuring that standard operating procedures are documented, followed, and determining paths for Lean Six Sigma process improvement. He maintains relationships with key business partners by managing weekly check-in and support calls.

**Relevant Project Experience****New Hampshire Enhanced Eligibility – Privacy and Compliance Director**

Matthew played an integral role in the development and implementation of the Enhanced Eligibility Verification platform in New Hampshire. While ensuring the platform's compliance, he leveraged existing software products into serving new and innovative needs.

**West Virginia Asset Verification System - Privacy and Compliance Director**

Responsible for maintaining all cloud privacy policies and procedures and maintaining compliance with state partners and security and privacy standards.

**New Mexico Asset Verification System - Privacy and Compliance Director**

Responsible for maintaining all cloud privacy policies and procedures and maintaining compliance with state partners and security and privacy standards.

**Indiana Asset Verification System – Privacy and Compliance Director**

Consulted on initial contract discussions to ensure best practices were followed relating to Privacy and Security Compliance. Responsible for maintaining all cloud privacy policies and procedures and maintaining compliance with state partners and security and privacy standards.

**Mississippi Fraud and Abuse Management System - Privacy and Compliance Director**

Consulted on initial contract discussions to ensure best practices were followed relating to Privacy and Security Compliance.

**Alexander Exarchou – Testing Manager****Phases:** Implementation and Operations

Alexander serves as our testing manager and ensures that best practices will be followed throughout all DOH related implementations and quality related tasks. Alexander monitors relevant product and engineering teams to prevent errors during development. Alexander will work hand in hand with ITG as our testing partner and will serve as the backup when necessary.

**Relevant Project Experience****Mississippi Fraud and Abuse Management System – Testing Manager**

Serves as the primary testing manager during implementation and Post-Go-Live operations. Oversees engineering teams to prevent and combat any errors that may occur.

**Sarah Dionisio – Senior Client Executive****Phases:** Implementation and Operations

Sarah Dionisio serves as a Sr. Client Executive, specializing in our Government Solutions vertical. She has a Bachelor of Business Administration in International Business and 3 years of experience in customer service. In her current role, she is responsible for maintaining the relationships of Softheon's clients. She is responsible for external communication about the technical visions and market solutions. She is also tasked with facilitating weekly touchpoint calls and executive steering meetings with clients.

**Relevant Project Experience****Indiana Asset Verification System – Client Executive**

Identified as the main point of contact for the Post-Go-Live phase. Involved in project kick-off meeting to establish relationship with client and facilitate future communication and meetings.

**Mississippi Fraud and Abuse Management System – Client Executive**

Identified as the main point of contact for the Post-Go-Live phase. Involved in project kick-off meeting to establish relationship with client and facilitate future communication and meetings.

**Douglas Poniarski – Client Executive****Phases:** Implementation and Operations

Douglas Poniarski serves as the Client Executive and will be the main point of contact for NYS during the implementation and ongoing operations. Douglas specializes in our Government Solutions vertical and only works with Asset Verification System customers. In his current role, he is responsible for maintaining the relationships of Softheon's clients, for external communication about the technical visions, and market solutions Softheon provides.

**Relevant Project Experience****West Virginia Asset Verification System – Client Executive**

Identified as the main point of contact for the Post-Go-Live phase. Involved in project kick-off meeting to establish relationship with client and facilitate future communication and meetings.

**New Mexico Asset Verification System – Client Executive**

Identified as the main point of contact for the Post-Go-Live phase. Involved in supporting the full integration into New Mexico's new MMIS system.

**Michelle Pflieger – Director of Project Management****Phases:** Implementation and Operations

Michelle oversees the project management department including for Softheon's government clients. Recently Michelle supported the Massachusetts Health Connector project through go live. Throughout these implementations, Michelle plays varying roles from more involved to supervisory. Michelle serves as an escalation point within the project management and client executive group. Michelle is a leader and advocate for our use of SAFE Agile practices throughout the company. Michelle will serve as the supervisor and backup to the Project Manager for New York.

**Relevant Project Experience****Indiana Asset Verification System – Project Manager**

Michelle supervised the Indiana Asset Verification System project and served as an escalation point or backup for the Project Manager when they needed assistance or were unavailable.

**Mississippi Fraud and Abuse Management System – Project Manager**

Michelle supervises the Mississippi Fraud and Abuse Management System project and serves as an escalation point and backup for the Project Manager when they need assistance or were unavailable.

**Joshua Speier – Project Manager****Phases:** Implementation and Operations

Josh specializes in government solutions projects, primarily asset verification systems. Throughout these implementations, Josh is ultimately responsible for determining priorities in the team's solution design, development work, and working cross functionally between all departments. Joshua provides executive overviews to those key stakeholders involved in implementation and existing client relations. Even after an implementation, Joshua and the team provide post go live maintenance with the Softheon's SAFE agile methodology approach.

**Relevant Project Experience****Indiana Asset Verification System – Project Manager**

Primary Project Manager supporting the Indiana Asset Verification System delivery. Joshua support sprint planning by managing epics, stories, and the product backlog. Coordinate with Client Executive and Solutions Consultant to ensure customer value is being delivered during each sprint.

**Mississippi Fraud and Abuse Management System – Project Manager**

Primary Project Manager supporting the Mississippi Fraud and Abuse Management System delivery. Joshua support sprint planning by managing epics, stories, and the product backlog. Coordinate with Client Executive and Solutions Consultant to ensure customer value is being delivered during each sprint.

**Softheon’s SLA’s**

Softheon understands the critical need for verification services to be 100% available in order to gain eligibility decisions for individuals and families seeking public assistance programs. We share West Virginia’s commitment to serve some of the most vulnerable by putting in place high standards of excellence in our technology and our people. To this purpose, Softheon makes guaranteed commitment to perform now and, in the future, and therefore execute in our state agency agreements very aggressive Service Level Agreements (SLA’s) with monetary penalties. Uncommon to our industry and our competitor vendors, Softheon requires that all down-stream data vendor partners also assume our SLA approach and consequences for failing to meet established standards. Down-stream data partners unable to execute to the Softheon SLA standards risk removal from the project and because of our system’s modular delivery, such state approved removals and changes can be executed seamlessly and at no impact to operating system.

Details of Softheon’s continued commit to SLA’s can best be expressed in our standard Statement of Work (SOW) language as displayed below in **Appendix A – Operational Service Level Agreement** and **Appendix B – Support and Services**.

An example of the Softheon SLA Dashboard is depicted here:



*Figure 15 SLA Dashboard*

Project Order No. YYYYMM-01 Softheon Verification System

## Appendix A - Operational Service Level Agreements

1. Service level standards are set forth below and may be modified to some extent to meet specific Customer’s needs. Notwithstanding the SLAs, the accumulative SLA penalties will not exceed X% of the total monthly PMPM fees for a given month. If any SLAs are missed three months consecutively, a Corrective Action Plan (“CAP”) will be issued.
2. To receive a Service Level Credit, Customer must submit a request in writing to Softheon. Customer must provide; (i) the dates and times of each alleged incident; (ii) include business outage logs documenting the errors that are the basis for Customer’s incident; and (iii) be received by Softheon within 30 business days of the last reported SLA claim.
3. SLA definitions, thresholds and penalties, are subject to change with system modifications and upon notice to the Customer.
4. SLA penalties may not be assessed during a health care insurance Open Enrollment period, and the one month following such Open Enrollment period.
5. The Service Commitment does not apply to any Softheon Services performance issues that: (i) are caused by factors outside of Softheon’s reasonable control, including any force majeure event, Internet access or related problems beyond the demarcation point of Softheon Services ; (ii) Scheduled or Emergency Maintenance, or a Security Incident; (iii) are unreproducible or unobservable by Softheon staff; or (iv) arising from Softheon’s suspension and termination of Customer’s right to use Softheon Services in accordance with the Agreement.
6. SLA reporting is available on the SLA portal. Such URL will be provided by Client Success Team upon implementation.

SLA #	Description	Definition	Penalties
CST - 001	Start Up and Transition Activities	Meet the Start-up and Transition phase requirements outlined the Agreement by the end of the Transition Period.	X% of first invoice, cumulative for each Business Day that Softheon does not satisfy Startup and Transition requirements by the end of the Transition period
CST - 003	CRM resolution timeliness – HIGH PRIORITY	Resolve or escalate all high priority tickets within 2 business days (maximum 14 tickets)	X% per ticket instance not resolved or escalated exceeding 2 business days.
CST - 004	CRM resolution timeliness – MED PRIORITY	Resolve or escalate all medium priority tickets within 3 business days (maximum 20 tickets)	X% per ticket instance not resolved or escalated exceeding 3 business days.
CST - 005	CRM resolution timeliness – Re-Opened	Resolve or escalate all reopened tickets within 2 business days (maximum 14 tickets)	X% per ticket instance not resolved or escalated exceeding 2 business days.

CST - 006	CRM resolution timeliness – LOW PRIORITY	Resolve or escalate ALL aging CRM tickets older than 5 business days (maximum 15 tickets)	.X% per business day for CRM tickets not reviewed or escalated that are older than 15 business days (excludes reopened tickets)
CST - 007	CRM resolution timeliness – Escalated	Resolve ALL Escalated CRM tickets within 2 business day of escalation (maximum 7 tickets)	X% per ticket instance not reviewed or escalated exceeding 2 business days.
CST – 042	Call Answered in < 30 seconds	Maintain a monthly average percentage of calls answered in 30 seconds or less at seventy percent (70%) or higher.	X% when monthly percentage of calls answered in 30 seconds or less falls below 65%.
CST – 043	Call Abandonment Rate	Maintain a maximum monthly average abandoned call rate of three (3) percent, excluding calls where a caller left a message and calls that were abandoned before 30 seconds.	X% for monthly average abandoned call rates exceeding 3% or 5% for monthly average abandoned call rates exceeding 5%.
CST - 044	Call Wait Time	Maintain a maximum time-to-answer of 2 minutes.	X% if 10% or more of calls exceed given threshold. X% if 30% or more of calls exceed given threshold
REM – 013a	Exception Queue Handling (a)	95% of Softheon-owned exceptions to be completed within 5 business days.	No penalty
REM – 013b	Exception Queue Handling (b)	98% of Softheon-owned exceptions to be completed within 10 business days.	X% when monthly average increases to greater than 5%.
VER – 001	Interface Response Time	Maintain a maximum of 5 second response time	X% if 10% or more of responses exceed given threshold. X% if 30% or more of responses exceed given threshold
VER – 002	Transaction Response Time	All FI responses received will be provided to Customer within 5 business days.	X% of the monthly fee if less than 95% of responses received by Softheon are provided to Customer within 5 business days.
VER – 003	Real Time AVS Activity	All AVS Activity is logged in real-time and made available for audit upon Customer request.	N/A



Project Order No. YYYYMM-01 Softheon Verification System

## Appendix B – Support and Services

### 1. Services System Availability (Uptime).

#### 1.1. Definitions.

With respect to Services availability, or uptime, are as follows: 1.1.1. Softheon Environment. Includes all components of the Systems that are used to access the Services, including, without limitation, computer and telecommunications equipment, software, application and database servers and all means of telecommunications, whether owned or operated by Softheon or by a data center or other third-party service provider to Softheon.

#### 1.1.2. System Unavailable.

Where Services are unavailable to End Users or are otherwise not performing in substantial conformance with the Documentation in any five- minute period during Softheon’s Peak Hours.

#### 1.1.3. System Hours.

**Peak Hours** are defined as Monday through Sunday, 6 am to 8 pm, Local Time.

**Non-Peak Hours** are defined as Monday through Sunday, 8:01pm to 5:59am Local Time.

#### 1.1.4. Monthly Uptime Percentage.

Calculated by subtracting from 100% the percentage of five- minute periods during the Service Period in which Software was in the state of System Unavailable. Monthly Uptime Percentage measurements exclude downtime resulting directly or indirectly from any SLA Exclusion (defined below). (each instance of an outage is calculated as a five- minute time period, used as percentage of uptime for the period.)

#### 1.1.5. Scheduled Maintenance.

Required maintenance on the Softheon Environment on a daily or on an as-needed basis, including scheduled software releases, causing the Services to be System Unavailable is expected to occur during Non-Peak Hours. Softheon will endeavor to notify Customer at least seven days prior to any scheduled maintenance downtime. Softheon employs Continuous Integration Continuous Deployment (CI/CD) for the majority of our releases. Training, user materials and documented release notes will be provided accordingly.

#### 1.1.6. Emergency Maintenance.

Mandatory unforeseen maintenance on the Softheon Environment demanding immediate attention, causing the Services to be System Unavailable. Softheon will promptly notify Customer in the event of such Emergency Maintenance work.

#### 1.1.7. Security Incident.

Any compromise or suspected compromise of Softheon’s data, systems and/or facilities, such as, for example, an attack, suspicion of an attack, or other suspicious traffic that could cause either damage, loss, or data access by unauthorized, malicious, suspicious traffic and/or act of terrorism. Softheon may mitigate a Security Incident by causing service to become System Unavailable. Security Incident may be defined upon conclusion of the event by Softheon. Due

to the nature and urgency of Security Incidents, Softheon reserves the right to notify the Customer during or after mitigation efforts.

**1.1.8. Service Period.**

An individual calendar month in which Services are provided.

**1.1.9. System Down.**

A System Down condition exists where a business-critical software component is inoperable or critical interface has failed.

**2. Service Commitment.**

**2.1. Annual Uptime.**

Customer acknowledges and agrees that Softheon will use reasonable efforts least 99.5% during the Service Year. In the event Softheon Services does not meet the Annual Uptime Percentage commitment, Customer will be eligible to receive a Service Credit as described below.

**2.2. SLA Exclusions.**

The Service Commitment does not apply to any Non-Peak hours, unavailability, suspension or termination of Softheon Services, or any other Softheon Services performance issues that: (i) are caused by factors outside of Softheon’s reasonable control, including any force majeure event, Internet access or related problems beyond the demarcation point of Softheon Services ; (ii) Scheduled or Emergency Maintenance, or a Security Incident; (iii) are unreproducible or unobservable by Softheon staff; or (iv) arising from Softheon’s suspension and termination of Customer’s right to use Softheon Services in accordance with the Agreement.

**3. Service Level Credit Request and Payment Procedures.**

**3.1. Service Level Claim Procedure**

To receive a Service Level Credit, Customer must submit a request in writing to Softheon. Customer must provide; (i) the dates and times of each alleged incident of System Unavailable; (ii) include business outage logs documenting the errors that are the basis for Customer’s incident of System Unavailable; and (iii) be received by Softheon within thirty (30) business days of the last reported incident in the SLA claim (a “SLA Credit Claim”).

**3.2.** In the event that it is determined that the Monthly Uptime Percentage has thereby been effectively reduced to less than 99.5% for the Service Period, it shall be deemed a service level incident (“Service Level Incident”), then Softheon will issue a Service Level Credit to Customer within one billing cycle following the month in which the Service Level Credit Claim was received. Customer’s failure to provide a written Service Level Credit Claim shall constitute a waiver of Service Level Credit for such incident.

Uptime Service Level (Monthly)	Service Level Credit (Prorated Fees - Monthly)
99.49-98%	X%
97.99-95%	X%
94.99%-93%	X%
Below 93%	X%

## **4. Operational Support.**

### **4.1. Definitions. 4.1.1. Observed Holidays.**

Shall mean New Years' Day, Presidents Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, the day after Thanksgiving, Christmas Eve, Christmas Day, and New Year's Eve and may be adjusted from time to time by Softheon.

### **4.1.2. Tier 1 End User Support.**

The support services provided by Customer's internal help desk personnel: (a) to answer questions regarding the use or operation of the Software and (b) to report errors within the Software.

### **4.1.3. Tier 2 Technical Support.**

The support services provided by Softheon for Customer's help desk personnel for, technical support, development, as well as Customer support regarding questions regarding of use, operation, or performance of the Software that require escalation above Tier 1 End User Support for resolution.

### **4.1.4. Severity Communications.**

Those incidents or events that result in a "System Down" condition; or any incidents involving a security violation.

### **4.1.5. Severity 2 Communications.**

Those incidents or events where (i) the Services are still operational, but business processes, software, service and Customer's clients are materially affected with no reasonable workaround available or not functioning according to written parameters of this Agreement, (ii) a compliance issue that is not HIPAA related, (iii) service requests that have not been resolved / escalated within the agreed upon SLA timeframes.

### **4.1.6. Severity 3 Communications.**

Services are generally available and working. Member specific enrollment, payment, and/or billing related issues have occurred. These should be communicated via a CRM ticket.

### **4.1.7. Severity 4 Communications.**

Those incidents or events where the Services are generally available and working properly but lack insignificant features, exhibit some insignificant incorrect behavior, or fail to match the documentation in some immaterial respect. General Softheon inquiries not related to Severity 1-3, or questions regarding Softheon functionality.

## **4.2. Support.**

4.2.1. Customer support is available via internet or telephone for customer support matters regarding resolution of questions that may arise. Softheon's customer support services will be available during the hours of 9:00 AM thru 6:00 PM Eastern Time, Monday through Friday, except holidays. All questions and matters will be addressed in a commercially reasonable manner and time frame, wherever feasible.

- 4.2.2. When available and applicable, Softheon will provide new releases of the Services, however, nothing contained herein requires Softheon to develop or create any such releases, modifications, or revisions.
- 4.2.3. The Parties may agree upon “train-the-trainer” model services in order to train certain Customer’s employees. These training services are generally requested by the Customer during the first initialization of Services (i.e., prior to the go-live date). In the event that Customer wishes to contract for further training services, the Parties may enter into an additional Project Order (PO) at the then current rates. Softheon does not offer training or support services to End Users.
- 4.2.4. Upon learning of a Severity 1 or 2 incident, Softheon will analyze the incident to determine a cause and may develop a corrective measure, at no cost to Customer. Such corrective measure may include a bug fix, workaround, patch, upgrade or new release of a temporary or permanent nature that will maintain functionality. If an incident is within Severity 1 or 2 definition, Softheon will promptly address the incident in a commercially reasonable manner.
- 4.2.5. Tier 1 End User support will be provided by Customer and its internal help desk personnel:
- (i) to answer questions regarding the use or operation of the Software and (ii) to report errors within the Software.
- 4.2.6. Tier 2 Technical Support will be provided by Softheon to Customer teams during the time period of Monday through Friday between the hours of 9:00 am and 6:00 PM Eastern Time, excluding Softheon Observed Holidays.
- 4.2.7. For notification of a Severity 1 incident, Customer will be provided with a method of contact for Tier 2 Technical Support outside of normal business

### **4.3. Response Time.**

Softheon’s response time is based on the severity of the issue. Softheon will provide details of its escalation policy and procedure, during onboarding process and/or upon request. These policies are reviewed and may be updated periodically.

### **4.4. Escalation.**

Softheon requires Customer follow escalation procedures to ensure proper response to all inquiries and all severities. These policies are reviewed and may be updated periodically.

### **4.5. Response Time and Escalation Chart.**

The chart below illustrates the current response time and escalation process for severity communication.

Escalation Step				
Severity	First	Second	Third	Fourth
Severity 1	<p><b>Action:</b> Call / e-mail designated Client Success Manager. with [Severity 1] in subject line</p> <p><b>Response:</b> 30 minutes</p>	<p><b>Action:</b> Call Member Services</p> <p><b>Response:</b> 15 minutes</p>	<p><b>Action:</b> Call Director of Client Success</p> <p><b>Response:</b> 15 minutes</p>	<p><b>Action:</b> Call Managing Director.</p> <p><b>Response:</b> 15 minutes</p>
Severity 2	<p><b>Action:</b> E-mail designated Client Success Manager. with [Severity 2] in subject line</p> <p><b>Response:</b> One business day</p>	<p><b>Action:</b> Call Client Success Manager.</p> <p><b>Response:</b> One hour</p>	<p><b>Action:</b> Call Member Services</p> <p><b>Response:</b> One hour</p>	<p><b>Action:</b> Call Managing Director.</p> <p><b>Response:</b> One hour</p>
Severity 3	<p><b>Action:</b> Create Service Request Ticket</p> <p><b>Response:</b> CRM SLAs</p>	<p><b>Action:</b> E-mail designated Client Success Manager. with [Severity 2] in subject line</p> <p><b>Response:</b> One business day</p>	<p><b>Action:</b> Call Client Success Manager.</p> <p><b>Response:</b> One hour</p>	<p><b>Action:</b> Call Member Services support line at 631- 675-3157.</p> <p><b>Response:</b> One hour</p>
Severity	<b>Action:</b>	<b>Action:</b>		

4	E-mail designated Client Success Manager. <b>Response:</b> Three business days	Email Client Success Team at cst@softheon.com.	N/A	N/A
---	--	--	-----	-----