

Information Technology Overview

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Glossary of Terms

ACD – Automated Call Distribution

BRE- Business Rules Engine

CMS – Call Management Systems

FAQ - Frequently Asked Questions

HA - High Availability

NEMT- Non-emergency Medical Transportation

NET- Non - emergency Transportation

P&P – Policy and Procedure

PHI – Personal Health Information

QA – Quality Assurance

SIEM – Security information and event management

SOW – Statement of Work

TC - Transportation Coordinators

TP - Transportation Provider

VIN- Vehicle Identification Number

1. Our Approach to NET/NEMT Technology

Our technology platform, **LogistiCAD**, is a **multi-user, transaction-based transportation management application** that provides all of the automated capabilities needed to process and deliver all aspects of our NET/NEMT service delivery.

LogistiCAD is a private cloud-based solution available for all operations, with real-time backup built in at all levels. This “private cloud” solution enables immediate backup and recovery ability 24x7x365 days per year so clients have a highly reliable program which consistently applies their rules across all operations. We have continued to invest in technology in order to keep LogistiCAD current and to meet future challenges of NET/NEMT operations.

The platform is integrated with LogistiCare’s communications system, segmented to meet the unique needs of each population type and health status category. We offer communication in a variety of modalities, including mobile technology (smart phones, tablets), online, toll-free number, or fax.

LogistiCAD is highly customizable and scalable to meet the unique needs of each one of our client accounts, from small, high acuity plans to high volume plans with over three million members. It operates in over 20 locations throughout the country and is proprietary to LogistiCare.

2. Fueling the Business Rules Engine

a. Policies and Procedures

LogistiCare translates NET/NEMT program requirements into Policies and Procedures (P&P) and enters the client-approved P&P’s into LogistiCAD’s Business Rules Engine. The P&P’s (for state contracts) or Statement of Work (SOW) are the key starting points for delivering services, including training all employees and configuring our technology and communication platform.

b. Training

LogistiCare’s corporate Training Department is responsible for initial training (implementation) and the ongoing training assessment (contract compliance) in conjunction with local operations. All employees are educated on the respective Statement of Work (SOW) and the program policies and procedures. A critical component of training is an overview of the functionality and operation of LogistiCAD and the communication services component. This course of study covers creating a reservation, using the recall menu, and modifying a reservation, as well as a review of urgent care, call issues, and telephone procedures.

c. Business Rules Engine

System programming is performed using a business rules engine (BRE), which configures the rules once and applies them to all of the technology used in delivery of the services.

Through the BRE, LogistiCare is able to provide a consistent member experience via all communications modalities (call center, web site, trip manager, driver app, fax, etc.), perform better gatekeeping, and make changes efficiently.

The rules decision logic originates from the initial regulations and guidelines and/or Statement of Work (SOW). The SOW governs plan policies and procedures, which in turn are loaded into the BRE.



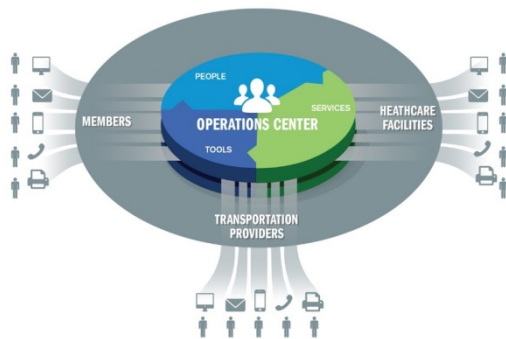
Figure 1 – LogistiCare’s Business Rule Engine directly drives the interfaces that govern member, transportation provider and facility and client services.

3. Components of our Technology Systems [IV-4.H] [IV-4.I]

a. LogistiCAD – Technology Platform

LogistiCare’s methodology in accomplishing contract requirements detailed in our client’s Scope of Work (SOW) is fully supported by LogistiCAD, our customer relationship management system. Our information technology platform supports our business processes and are integrated, flexible, and scalable to meet program requirements. The LogistiCAD technology solution was designed for service continuity, data reliability, and security.

The **Operations Center** is the central hub of **NET/NEMT** service delivery, supported by our **People** (key management and support staff), **Services** (eligibility verification, scheduling, trip management), and **Tools** (technology systems). Our stakeholders have multiple access to the NET/NEMT services in a manner that is most effective and efficient for them. We will continue to invest in developing communication entry points as needs and requirements change.



The following sections describe LogistiCAD’s capabilities in meeting the primary requirements outlined in the SOW related to reservations, trip scheduling, transportation management, claims processing, and client services. Technology is the conduit through which these processes are operationalized. Our information technology systems support our business processes and are integrated, flexible, and scalable to meet program requirements. LogistiCAD is the engine that drives every administrative aspect of NET/NEMT brokerage and management, including eligibility screening, authorization, trip assignment, dispatch, contract compliance, performance monitoring, and reporting.

LogistiCAD is the engine that drives every CRM aspect of NET/NEMT brokerage and management to include:

- Capturing member data and determining member eligibility
- Providing gate keeping and ride authorization
- Scheduling online and call center reservations
- Managing complaints and ensuring compliance
- Managing Transportation Providers
- Reconciling billing
- Providing rich operational, management, and ad hoc reports
- Reporting encounter data in a variety of formats

Data as defined by LogistiCAD constitutes the following:

LogistiCAD significantly streamlines the management of large volumes of data as listed here and in the table below. It has the ability to capture, store, and retrieve all of the key data elements involved in arranging the right transportation for the right member at the right time, and reporting details for high quality NET/NEMT management.

- Master transportation file data
- Transaction data
- Electronic interface files (eligibility, encounter)
- Output reports
- Input reports (billing invoices, trip logs)
- System files
- Error logs

Technology drives daily critical services such as transportation reservation intake, trip distribution to Transportation Providers, quality assurance monitoring, medical facility support, service claims adjudication,

transportation network support, and reporting. The data tracking features of LogistiCAD account for accurate and efficient systems that provide all NET/NEMT metrics for measuring compliance and performance levels. The table below details the system’s key data elements, location of data, and reports that are generated. Our clients have access to the same data that we use to operate and monitor daily performance.

Data Tracking and Utilization Capabilities of LogistiCAD [IV-4.1.3]	
Key Data Elements	
1.	Medicaid member’s name
2.	Medicaid member’s address coded by county
3.	Medicaid member’s phone number and email address
4.	Medicaid ID number
5.	Program eligibility verification
6.	Name and phone number of primary care provider
7.	Medical appointment verification
8.	Special needs (medical, language, etc.)
9.	Requested and final approved Mode of transport, including justification of approved mode
10.	Date/time of request
11.	Requester name, if different than consumer
12.	Date of time of medical appointment
13.	Denial reason, if appropriate
14.	Scheduled pick up and drop off time
15.	Actual pick up and drop off time
16.	Escorts
17.	Pick up and drop off address
18.	Name of assigned paratransit provider, if appropriate
19.	Trip Mileage



LogistiCAD Modules

LogistiCAD evolved from a single application to individual modules that are loosely coupled with a common database. By creating a modular type of environment as opposed to a large fixed system, we can isolate and service needs and upgrade modules individually.

Organizations often purchase software from different vendors in order to obtain the most updated technology for each application area; for example, a trip-scheduling package from one vendor and a claim processing package from another vendor. However, maintaining multiple systems provides little cross connectivity, which creates maintenance and integration challenges. LogistiCAD’s design ensures stability, integration, and flexibility.

LogistiCAD is comprised of modules that sustain stakeholder services through five key functions of the system, including – Reservation,

Call Center, Transportation Management, and Claims.

- i. **Reservations Management Module** – The Reservations Management module is responsible for incorporating eligibility files from the client and the State EVS system, gatekeeping based on the specific

client requirements, processing advanced notice requirements, and handling random demand or recurring trips (standing order).

- ii. **Call Center Management Module [IV-4.H.1.e] [IV-4.G.11]** – The Call Center Management Module is supported with Avaya services – there are multiple ways to access the NET/NEMT services for stakeholders; however, traditionally, access has primarily occurred through calls. LogistiCare has 20 operation centers that handled over 60 million calls last year and has a private cloud solution that uses highly scalable, robust technology, including a *national centralized Avaya switch*.

The centralized technology provides the ability to tailor the solution to individual clients and members (including sensitive populations) based on their needs. The technology also ensures compliance during difficult conditions (weather related events or manmade disasters), providing immediate backup of services across all 20 centers.

NET/NEMT stakeholders can call a dedicated line to request services. Stakeholders will have 24/7/365 access to a live Customer Service Representative (CSR) from the local operations and backup center within the continental United States.

This module delivers the following efficiencies:

- Consolidation—20+ Automatic Call Distribution (ACD) systems in one
- Nationwide Collaboration—Management, CSRs, and Quality Assurance (QA) expertise is shared across all locations in support of our clients NET/NEMT program requirements
- Rapid Scalability and Implementation—Significant reductions in the time and effort to deploy new operation centers, implement disaster recovery routing, and increase capacities
- Resiliency—Systems located at hardened data centers offer superior business continuity and capacity management that cannot be matched by facility-based technology

The efficiencies of our operation centers provides a level of management and reporting functionality typically unavailable in non-enterprise-level systems.

The phone system collects call-traffic data, formats management reports, and provides an administrative interface to the ACD feature on the CMS. The CMS records and aggregates the following information:

▪ <i>Number of incoming calls daily</i>	▪ <i>Number of calls placed on hold</i>
▪ <i>Number of answered calls daily</i>	▪ <i>Average time on hold in seconds</i>
▪ <i>Average number of calls answered daily</i>	▪ <i>Number of calls abandoned daily</i>
▪ <i>Average speed to answer in seconds</i>	▪ <i>Average time on hold before abandonment in seconds</i>
▪ <i>Average call wait time</i>	▪ <i>Number of available operators by time of day/day of week</i>
▪ <i>Average talk time in seconds</i>	

Other key features include:

- Storing ACD data in real-time and historical relational database tables. Real-time databases include tables for the current intra-hour interval data and the previous intra-hour interval data in 15-minute increments. Historical databases include tables for the intra-hour, daily, weekly, and monthly data. The historical database stores 62 days of intra-hour historical data, five years of daily historical data, and 10 years of weekly and monthly historical data.
- Configured for High Availability (HA), which provides data redundancy to protect against data loss should there be an issue with the CMS or operation center. We have two CMS systems operating in parallel at two locations.

- Supervisors manage calls more effectively, because they are able to apply the right resource to the right queue and anticipate surges in operation center usage before they occur. It displays summary views of skills and CSR activity with the capability to drill down to individual CSR details.
- Provides an ACD capability that routes calls among our nationwide network of operation centers to maximize capacity during disaster recovery efforts. The telephony platform features system enhancements and benefits, including the following:
 - **Advanced Predictive Wait Times**—Estimates a caller’s current queue wait time and calculates future wait times for subsequent callers.
 - **Service Objective-Based Routing**—Enforces contractual performance metrics as it manages each call queue to meet established metrics. The ACD determines which CSR is best suited to handle incoming calls based on skill sets and levels of proficiency and assigns available CSRs to calls in each queue in order to meet established performance metrics.
 - **Automated Service Level Supervision**—Addresses heightened incoming call thresholds by deploying “Reserve CSRs” within the operation center based on defined wait time algorithms, a feature that reduces call abandonment rates significantly.
 - **Least Occupied Agent**—Distributes operation center workloads in a manner that assures CSRs are not burdened with an excessive workload. CATS accesses the available pool of CSRs within the operation center, as necessary, to include staff members who possess specialized skill sets and are cross-trained to function as a CSR.
 - **Robust Service Level Reporting**—Empowers our local operations teams to submit reports to our clients, generated from the operation center data that the ACD system retrieves and compiles automatically.

Recording Feature [IV-4.G.7] [IV-4.G.8]

LogistiCare’s operation center supervisors and leadership team monitors CSRs’ calls each week and maintains a record of individual progress on CSR Monitoring Forms. Supervisory staff and quality assurance personnel have the ability to randomly select CSR calls and play them back remotely. This provides a powerful automated tool for ensuring quality, courtesy, responsiveness, and accuracy across our operation centers. Features include:

- Records and stores 100% of agent calls.
- Captures and stores each phone transaction securely to protect PHI and comply with HIPAA regulations. This capability facilitates selection of any number of calls per CSR, per month for quality control review.
- Enables Quality Control Monitors to monitor, assess, and educate CSRs to improve accuracy, consistency, and the overall customer experience. All recorded files are encrypted and stored on a need-to-know basis by restricting playback access to authorized users or roles.
- Facilitates all aspects of our staffing, planning, managing, and reporting.

Web-based operation center reporting

The system displays complex phone data in succinct reports.

- Enables ability to submit web-based operation center reports to our clients.
- Provides access to our secure web portal for all authorized client staff members.
- Customizes reports by creating and saving report templates to reflect our client’s requirements.
- Provides reporting capabilities that support customization of our operation center’s wallboard system and displays.

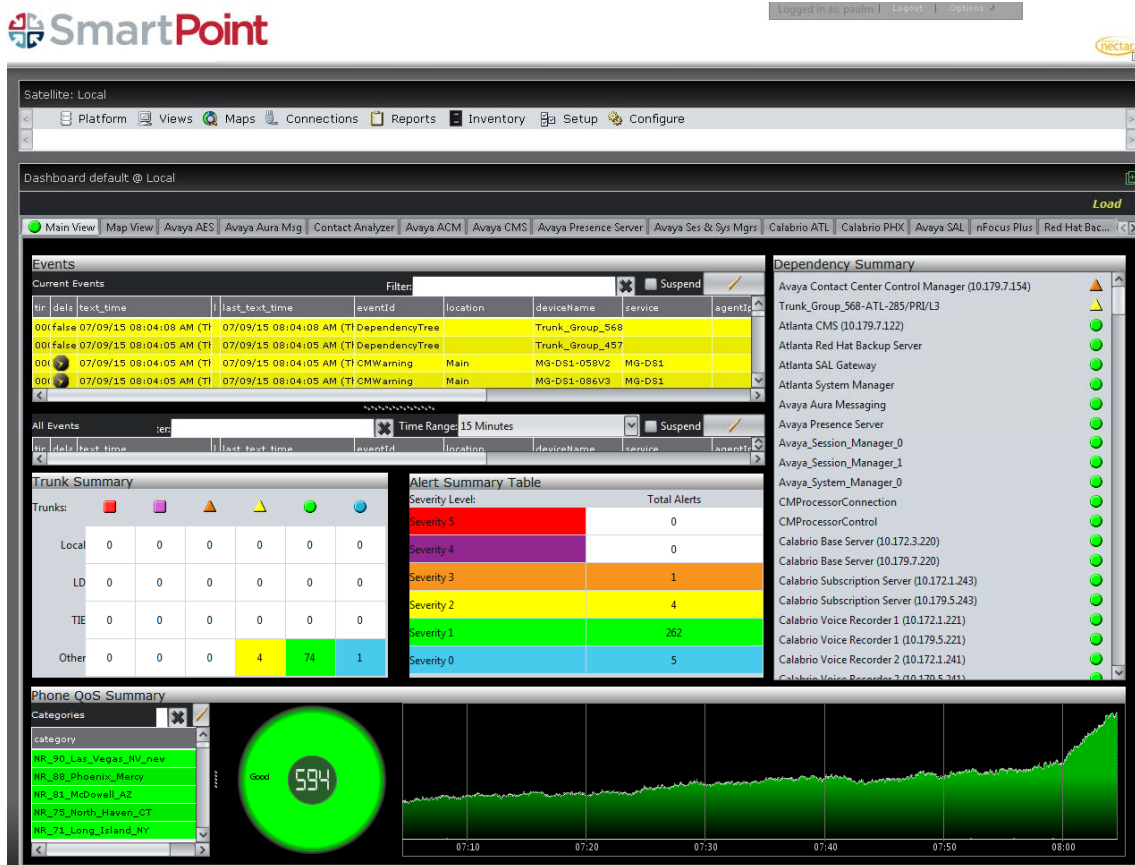
- Ensures management and supervisory personnel address anomalous or unusual events in operation center performance.
- Formats data for access by mobile devices.

Real-time Phone System Monitoring

Our call management module monitors our Avaya telecommunications infrastructure. The system offers intelligent threshold alerts, as well as notification and escalation capabilities, enabling real-time monitoring and instantaneous notification of issues.

- Performs real-time monitoring of our voice assets (e.g., servers, gateways, SIP registrations, contact center applications) and the network connectivity to develop Business Service Intelligence by combining insights gained from synthetic transactions processed through the WAN and rendering a comprehensive representation of converged network topology. This visibility into our entire voice ecosystem is a critical component for our successful unified communications strategy.
- Provides reporting feature that allows us to gain intelligence on the health and availability of our infrastructure. Asset Inventory, QoS, and critical resource utilizations are delivered via real-time dashboards and historical reports. This information provides the trend analysis and capacity planning required for optimal performance.
- Provides 3rd party oversight to ensure that all system alarms are escalated as needed.

Figure 3 - LogistiCare proactively monitors telecom infrastructure with intelligent threshold alerting, notification and escalation. We are able to see in real time the status of telecom systems, including status of trunks and call quality; we also receive notifications of any issues that may arise.



iii. **Transportation Management Module** – The Transportation Management Module, which includes Vehicle Location Services, is responsible for all aspects of managing a network of Transportation Providers – including commercial providers, volunteer drivers, gas reimbursement with members, or an independent driver network (ride sharing services). The module includes the following components:

- **Snap Capture Credentialing** - The smart technology credentialing system ensures that as we identify and contract with providers, they meet all federal and local standards aligned with the specifics of our clients. This is an interactive system that allows the providers and drivers to submit their information electronically by taking pictures and uploading it to the Transportation Management Module, where it is electronically verified. The module electronically validates this information with all national, state, and local databases for compliance and continues to validate this information throughout the year.

Staff access LogistiCAD to monitor and manage the ongoing process of NET/NEMT Transportation Provider credentialing, data collection, and analysis such as insurance details, coverage area, and dates (expiration/renewal, suspension/re-instatement, and due dates).

Along with credentialing, LogistiCAD supports monitoring and corrective action efforts for drivers and vehicles. Weekly reports identify upcoming renewal dates and alert Transportation Providers of the upcoming need for renewal to remain proactive in vehicle and driver compliance. Through LogistiCAD generated notices, Transportation Providers are alerted beginning 60-days in advance of credentialing information nearing expiration.

Our Transportation Provider Web Portal also gives NET/NEMT network providers advance notice when any vehicle or driver credentialing information is up for renewal. When a transportation network provider's representative logs into the portal, for example, he/she may encounter a message notifying him/her of expiration of a vehicle registration, driver's license, insurance, or other credentialing item.

LogistiCare ensures providers in its network are aware of upcoming changes well in advance of the actual expiration dates.

- **Tablet-based Inspections** - Through the use of iPad Minis enabled on a standard cellular carrier, our Field Monitors are able to stream line vehicle inspections. LogistiCare has collaborated with Form.com Mobile to build custom forms only available to LogistiCare enabled staff. This partnership and platform combination allow for digital capture of vehicle information, including pictures of vehicle condition. Once the form is completed, it is emailed to the local operation, as well as the field inspector and Transportation Provider, if desired. Future development of forms for field monitoring is planned to assist with observing and assuring that appropriate levels of service are being provided to members, as well as on time performance by the Transportation Subcontractors.

Field Monitors use this cloud-based solution on mobile devices for data collection and interfacing with LogistiCAD. Field monitors and vehicle inspectors simply select the appropriate fields on a tablet or smart phone, access the inspection form, and enter vehicle information. The application captures the date, time, and geolocation of the inspection or monitoring activity. It also allows for collection and storage of photographic evidence of the vehicle's condition.

The Transportation Provider receives a PDF copy of the report via email using the email address on file with LogistiCare. LogistiCAD produces a report in spreadsheet format for ease of viewing, analysis, or printing by LogistiCare staff.

In addition to supporting the vehicle inspection process, the application gives Transportation Providers the ability to choose when to schedule fleet inspections, which generates reminders of upcoming inspection dates. Transportation Providers choose the date and time from a standard calendar view. In the case of a scheduling conflict, the system will allow the Transportation

Provider to select an alternative date and time. This functionality is available on a standard computer or mobile device.

Date & Time

2014-05-01T09:29:31-0500

Observation Location

[lat=32.73121131, long=-97.3345583, alt=169.3000030517578, accurac](https://www.google.com/maps/@32.73121131,-97.3345583,169.3000030517578,accurac)



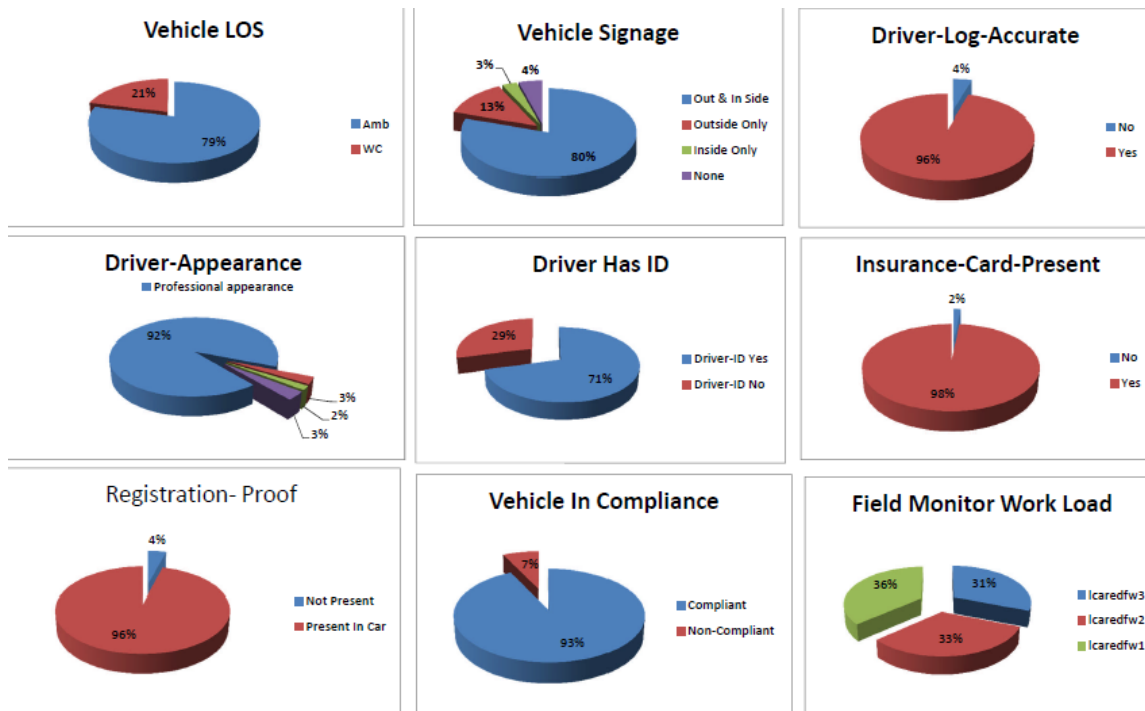
Benefits of the tablet-based vehicle inspection process for the NET/NEMT program include:

- Reduced time spent on administrative functions of vehicle inspection
- Access to real-time data
- GPS capability that provides accurate navigation instructions to the inspection site
- Increased accessibility to data
- Quality and consistency in documentation
- Increased accountability and credibility
- Time, date, and GPS location-stamping
- Onsite photographic documentation of compliance/non-compliance issues; especially helpful with cracked/worn belts, worn tire treads, etc.
- Increased accuracy of data collected through the use of prefilled forms
- Increased availability of a properly maintained, compliant fleet, which promotes member safety and satisfaction

An electronic copy of the inspection report, including photos, is emailed directly to the Transportation Provider.

The Field Monitors, through both scheduled biannual inspections (including to pickup and drop-off locations), observe and record driver compliance with operational and customer service standards. He or she confirms that drivers are friendly and courteous and can operate specialized vehicles and equipment, such as wheelchair lifts, on the vehicles to which they are assigned. He or she also reviews Transportation Provider files for the required qualification documents.

LogistiCare requires Transportation Providers to have a meaningful system of driver monitoring in place; we have access to these monitoring files at any time. Our team reviews files monthly for expiring credentials and we carefully monitor all complaints received against drivers and take appropriate action, including immediate investigation and, if necessary, requiring the retraining, suspension, or removal of a driver. Additionally, we track complaints to watch for any trends and resolve issues.



- Optimization of Trip Assignment** – The module assigns trips to Transportation Providers and has developed (and continues to evolve) an algorithm for optimizing assignment of trips to providers. This optimization considers quality of the provider (leveraging member’s feedback, including via the mobile application), capacity/availability, level of service and price. This optimization allows for the best matching of the demand with the provider network for increased quality as well as efficiency. Transportation Coordinators (TC) use LogistiCAD and its trip assignment optimization engine to assign optimized trips to Transportation Providers. They also manage trip recovery and rerouting, and dispense work from LogistiCAD to the Transportation Providers.

Trips are sent directly to the providers’ dispatch portal as part of LogistiCAD’s Transportation Management Platform. Transportation Managers maintain the Transportation Provider network database, including updating training, violations, screenings, and other compliance measures. The receipt of a trip or standing order request initiates transaction processing. Requests arrive directly from a member or treating facility by telephone or via the web sites, or by fax from a treating facility. During transportation, all vehicles are tracked real-time using the free driver mobile application and real-time vehicle tracking.

- Transportation Provider Assignment Volume** - LogistiCare emphasizes predictability in Transportation Provider assignment volume. This helps Transportation Providers plan, allowing for more efficient use of their vehicles and drivers. We also focus on continuity for the members and facilities that we assign to Transportation Providers. LogistiCAD permits special links to be created among members or facilities and certain transportation companies, so that various levels of choice and continuity can be built into the assignment process. If the member has requested a particular transportation company, that preference is noted on the reservation intake screen.

Transportation Providers are assigned trips using criteria such as region, mode of transportation, and most recent Transportation Provider used to optimize operating efficiency. For example, the module simply assigns trips based on overall aggregate capacity estimates for each Transportation Provider. The assigned trips are spaced as evenly as possible throughout the day so that each Transportation Provider can accomplish their trips with the minimal number of

vehicles. LogistiCare works to keep trips as close as possible to their operating locations and dedicates facilities to Transportation Providers based on proximity, to maximize the possibilities for appropriate multi-loading.

The module takes advantage of multi-loading opportunities to transport members to their appointments efficiently while ensuring members are never forced to wait beyond the timeframes established in the SOW. Our Transportation Coordinator (TC) regularly runs a Destination Address Report to assist with routing and multi-loading. The TC enters several common facilities (hospitals and dialysis centers) to determine if different Transportation Providers are scheduled to pick up or drop off at the same time. If this is the case, the TC will reassign trips so that multi-load opportunities can be fulfilled, thus making better use of the Transportation Provider's resources and increasing the revenue per vehicle hour for the Transportation Provider.

As a further precaution, procedures are in place to prevent excessive multi-loading of vehicles and excessively long trips. LogistiCare routinely monitors routing data derived from Transportation Provider trip logs that are received real-time from our vehicle tracking system. Using this data, we can determine each vehicle's actual "stop order" and flag any excessive multi-loading that might intentionally or unintentionally occur. Corrective actions, if deemed necessary, are taken immediately.

- **Trip Assignment Oversight** - The Trip Assignment module provides the coordinator with a powerful tool for automatically assigning trips to Transportation Providers based upon a set of assignment rules. LogistiCAD works through a hierarchy of trip assignment criteria until it finds a Transportation Provider that matches one of the criteria or until all possibilities are exhausted. If LogistiCAD does not select a Transportation Provider for a particular trip, the Transportation Coordinator (TC) makes a manual assignment. The module assists the process of trip assignment; however, trained TCs also review and adjust final trip assignments to produce the fairest and most efficient outcomes.

As with all trip assignments, the TC reviews LogistiCAD-generated trip assignments. While trip assignment criteria are configurable, the hierarchy of criteria typically used by LogistiCAD is the following:

- Standing-order trip
- Rider-preferred Transportation Provider
- Facility-preferred Transportation Provider
- Preferred Transportation Provider by zip code
- Preferred Transportation Provider by city
- Preferred Transportation Provider by county
- Lowest cost Transportation Provider

Multiple Transportation Providers can be linked to each of these criteria, in accordance with adjustable volume percentages for each Transportation Provider. For example, 20% of trips to a particular healthcare facility could be automatically assigned to one Transportation Provider, with 30% going to a second Transportation Provider, and 50% going to a third Transportation Provider.

Benefits from Optimized Trip Assignment are as follows:

- Greatly reduces the number of trip assignment errors and re-routes.
- Reduces average call time, allowing more calls to be taken with fewer staff.

- Improves the productivity of our Transportation Providers by facilitating more efficient vehicle routing, which in turn lowers their per-trip costs.

iv. Monitoring of Transportation Providers – After the trip is assigned to a provider, the Transportation Management Module is able to locate a vehicle in the network in real-time to determine whether there are any service deficiencies or potential deficiencies based on appointment times/traffic conditions. Our operations team determines corrective actions to minimize any deficiencies impacting a member’s quality of care. Provider performance is incorporated into the monthly scorecard.

Our staff uses the LogistiCAD transportation management system to monitor and manage the ongoing process of:

- **Transportation Provider credentialing** - Analyzes information such as insurance details, coverage area, dates during which Transportation Providers were on active duty, and reasons for any termination or suspension of service, as well as extensive details, including renewal dates, for all credentialing requirements of our Transportation Providers.
- **Training** - LogistiCAD compliance reports capture information on drivers who have not renewed appropriate customer service training or whose other credentialing documentation is about to expire. These drivers are flagged in our LogistiCAD system and highlighted on compliance reports, which are used to verify if established drivers meet requirements.
- **Claims Payments** - Our team of billing specialists link trips submitted for payment to driver and vehicle compliance information, using LogistiCAD functionality. If a trip is submitted for payment using a vehicle or driver not currently in compliance, the trip is flagged and payment is denied.
- **Vehicle Compliance** - LogistiCare tracks key identification and compliance data for each vehicle in our NET/NEMT transportation network, including vehicle identification number; manufacturer’s vehicle identification number (VIN); the vehicle’s make, type, and model year; and the vehicle’s current transportation status. Inspection histories on each vehicle include inspection date, inspector, results of inspection, odometer reading at time of inspection, and inspector’s comments.

The Transportation Provider web portal gives Transportation Providers advance notice when any vehicle or driver credentialing information is up for renewal. For example, when providers log into the portal, they receive notification if expiration is upcoming for vehicle registration, driver’s license, insurance, or other credentialing item.

v. Vehicle Location Service – GPS technology allows Transportation Providers to have a more dynamic and robust way to dispatch and route trips to their network, as well as monitor the location and performance of the network.

Benefits to Transportation Providers

- Transportation Providers and LogistiCare can respond to complaints with data.
- Transportation Providers use real-time monitoring to track fleet vehicles and make route adjustments as needed.
- Transportation Providers monitor drivers’ compliance to company policy.
- Ability to boost on-time performance through real-time monitoring.

Benefits to LogistiCare

- Oversight of subcontracted fleet.
- Complaint resolution, such as safety issues (speed), Provider Late, Provider Early, and Provider No Show complaints.
- Attendance review and recovery through scheduled transportation confirmation.
- Visibility of coverage provided by the overall transportation network.

- On demand ability to make trip assignment decisions for same day services.
- Real-time monitoring of on-time performance

LogistiCare dispatchers can view all Transportation Providers across a specific region and conduct real-time monitoring of all network vehicles. The following features are also accessible to the dispatcher:

- Make route adjustments as the daily manifest changes
- Monitor on-time performance and complaint resolution
- Assign trips from LogistiCare to Transportation Providers
- Exchange and view electronic driver manifest
- Provide instant distribution of scheduling updates
- Provide real-time data capture of odometer readings and times
- Review and edit completed trip data uploaded from GPS software
- Accept electronic driver logs with signatures

LogistiCare developed a robust set of secure APIs (application programming interfaces) that allow our system to communicate with provider systems in real-time. If a provider has not invested in a system, they can either purchase one from our Gold Seal Partners or they can simply download our free application that works with their existing Android or IOS based device.

Transportation Platform Offers Three GPS Implementation Options for Transportation Providers

Our experience using GPS software in markets of similar size and scope confirms that a “one-size-fits-all” approach to exchange GPS data is not the best offering to our Transportation Providers. The provision to provide GPS solutions is an industry-wide challenge encountered by all NET/NEMT transportation managers and is not resolved by simply mandating the use of a specific solution. We offer the Transportation Provider options that are designed to meet their business needs.

Options Available to Transportation Providers	Option Approach
Gold Seal Partner GPS Software Integration	Option 1 —Numerous third party vendors offer GPS solutions through the use of mobile devices. LogistiCare has developed relationships with preferred vendors that we refer to as our Gold Seal Partners. Through these partner relationships, we have created system interfaces that can exchange trip and billing data. The Gold Seal Partners include RouteMatch, CTS Software and MediRoute, frequently used GPS vendors. Transportation Providers can select this option and LogistiCare will assist with integration.
Integrating Other Third Party GPS Software	Option 2 —Transportation Providers can choose their own vendor and/or purchase a turnkey GPS system and LogistiCare will develop a system interface with their chosen vendor.
LogistiCare Dispatch Portal (No cost to the Transportation Provider)	Option 3 —If the Transportation Provider does not want to use their current GPS system or does not have one in place, LogistiCare offers the option to simply download the LogistiCare Dispatch Portal.

Option One—Gold Seal Partner GPS Software Integration

LogistiCare has collaborated with several Gold Seal preferred vendors to offer the GPS technology to network Transportation Providers. Working with these vendors in ongoing development, LogistiCare is creating the data bridges that allow Application Programming Interface (API) integration and the direct communication of trip manifests, real-time routing or re-routing information, and electronic verification of arrival times and locations.

For our approach, LogistiCare has undertaken a major enhancement to our network vehicle tracking and reporting capabilities with investment in tight integration of our proprietary NET/NEMT management platform, LogistiCAD, with industry leading transportation routing application and system vendors. Utilizing the tablet-based routing and

tracking systems they provide, we can interface with real-time vehicle tracking and routing technology partners, such as RouteMatch, CTS Software, and others, to provide tablet-based, real-time vehicle tracking and routing.

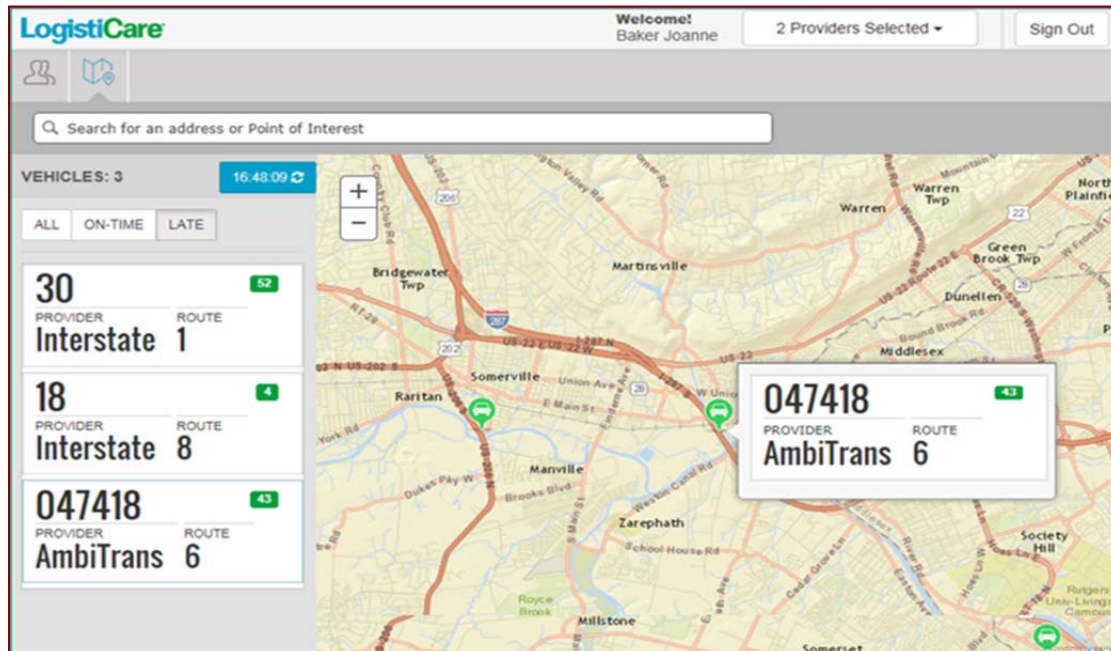


Figure 4 - Tracking Vehicle Location for Routing. In this example, a tracking view provides a real-time view of transporting vehicles within a specified service area. Vehicles that are on-time appear in green. If a vehicle were running late, it would appear in orange and would not be considered for the discharge trip assignment.

Option 2—Integrating Other Third Party GPS Software

This option accommodates Transportation Providers choosing another third party vendor's GPS software (other than the Gold Seal Partners) and is an extension of Option 1 above. This option applies the same technical approach and management processes used to integrate with the Gold Seal Partner's applications with that of another third party vendor's GPS software. Once the Transportation Provider identifies a third party vendor, we perform a vendor qualification analysis to explore the potential of establishing a formal relationship with the vendor. During the vetting process, LogistiCare performs the following activities:

- Determines vendor's willingness to collaborate in the effort
- How personal health information (PHI) is handled
- Determines degree of HIPAA compliance
- Determines the security features embedded in the software
- Performs a technology exchange
- Determines interface requirements
- Develops interfaces
- Performs integration testing

After completing the above, LogistiCare will assess the results and make a determination as to whether or not the proposed vendor interface is compatible. If not, the Transportation Provider will be asked to select from the other two options available. It is solely the decision of the Transportation Provider to decide which option they will pursue. LogistiCare does not voice a preference and accepts any choice that is made, although the Transportation Provider must adopt an option that complies with the GPS requirements of the RFP.

Option 3—LogistiCare Transportation Provider App

The Transportation Provider App offers Transportation Providers a free GPS solution. This option is not dependent on third party vendors and is developed, managed, and supported by LogistiCare directly. The Transportation

Provider App offers a simple Dispatcher App and a Driver Smartphone App. It reduces installation costs, uses devices already owned or easily purchased, and is rapidly deployable. This option has three components:

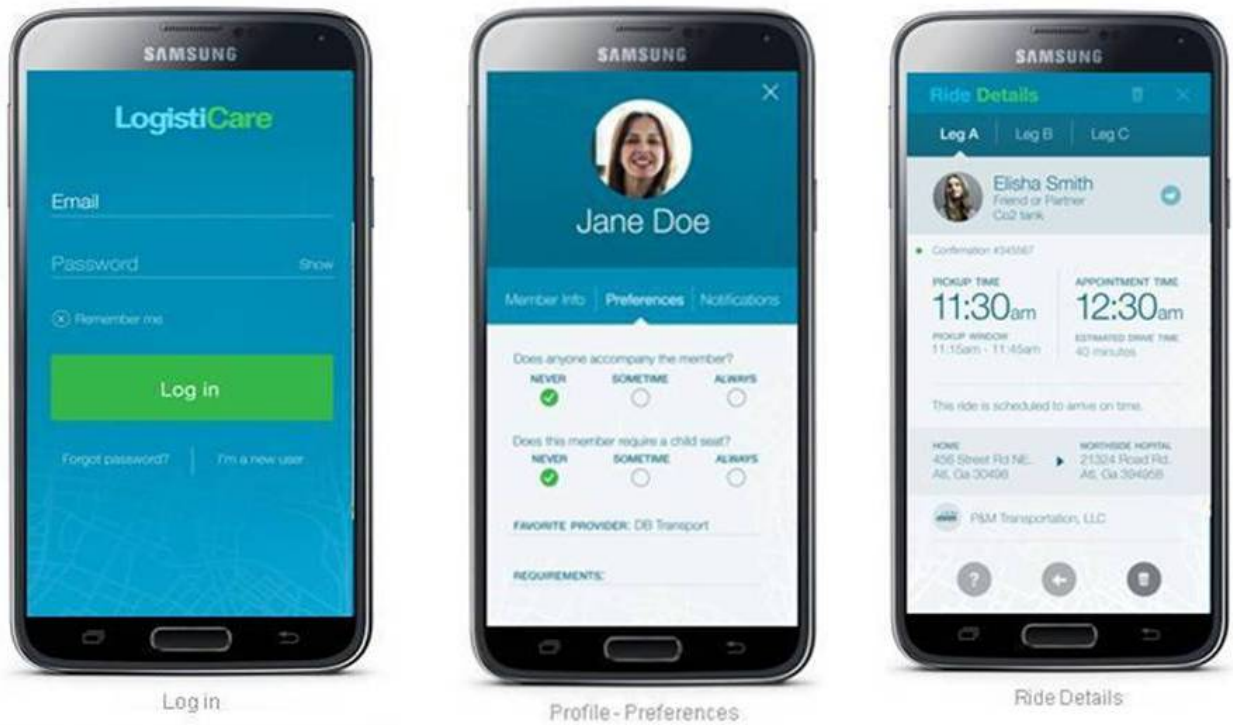
- The Transportation Management Platform
- The Dispatch Portal residing with the Transportation Provider’s dispatcher
- The Driver App installed on the driver’s Smartphone

Utilizing the Transportation Management Platform in Trip Management

The following example demonstrates how the platform works throughout the day to integrate several processes through easy to navigate gateways. The scenario describes how it facilitates, expedites, and manages trips while improving service to members. It enhances the experience for the driver, the member, and the dispatcher by replacing a web- and paper-based process with mobile devices exchanging GPS and trip data electronically.

- **Step One**—The driver logs into the driver mobile application and the scheduling system immediately reads the driver’s GPS position in relation to members needing transportation. Appropriate trips are sent to the Smartphone App.
- **Step Two**—The driver receives turn-by-turn directions from the mobile application to the location of the first member pick up. During the trip, the member is notified through LogistiCare’s Trip Manager of the driver’s location and estimated time of arrival.
- **Step Three**—Through the exchange of GPS data, the first member is picked up and the vehicle manifest is updated with member data.
- **Step Four**—After picking up the first member, the driver is notified by the app that two more members require a pick-up and transport to the same location as the first. The respective pick up times and turn-by-turn GPS instructions to the locations of each member are transmitted from the Transportation Platform to the Smartphone App. The vehicle manifest is updated with member information.
- **Step Five**—At the appointed times, the second and third members are picked up.
- **Step Six**—The members are dropped off on time at the appropriate destination. The driver captures the member’s electronic signature. The signature is transmitted to LogistiCAD
- **Step Seven**—The Transportation Platform notifies the driver’s Smartphone App of a same day appointment request. LogistiCAD determines that this driver is the best choice to pick up the member. The driver receives an update to the schedule and turn-by-turn GPS instructions. The vehicle manifest is updated with member information.
- **Step Eight**—The driver drops off the member at the appropriate time and destination. The driver captures the member’s electronic signature. The signature is transmitted to the Transportation Platform
- **Step Nine**—The first member uses LogistiCare’s Trip Manager to notify the Dispatcher App of an anticipated pick up time. The Transportation Platform provides the Smartphone App turn-by-turn GPS instructions from the driver’s current location back to the facility.
- **Step Ten**—The driver arrives at the facility on time and picks up the member and receives turn-by-turn GPS instructions back to the member’s original point of embarkation.
- **Step Eleven**—The driver captures the member’s electronic signature. The signature is transmitted to LogistiCAD.

The Transportation Management Platform delivers an up to the minute real-time GPS solution that meets the requirements of the contract. This system can be modified and enhanced to meet additional standards set by our clients in the future.



Log in

Profile - Preferences

Ride Details

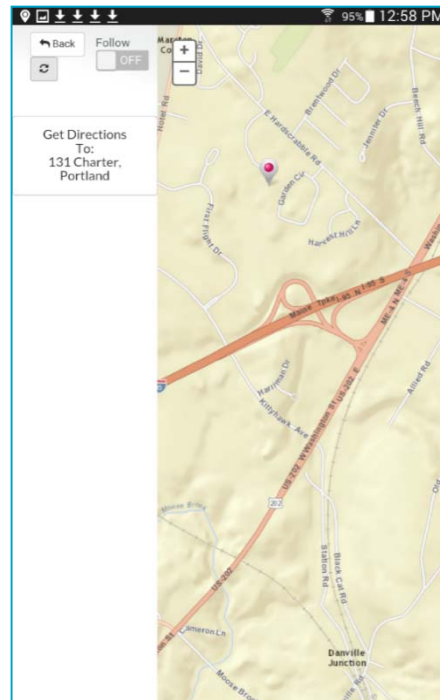
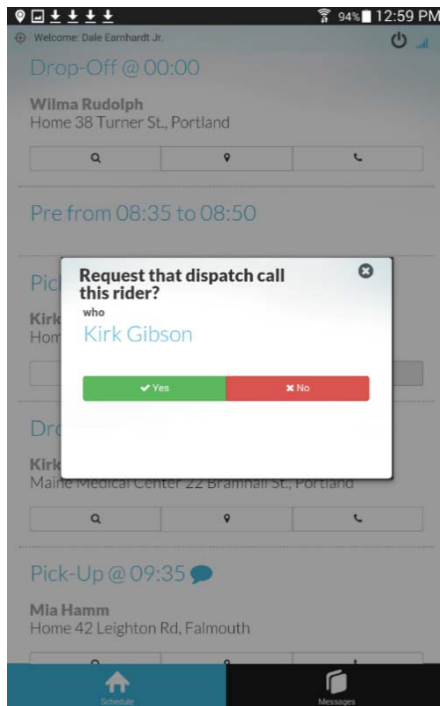


Figure 5 - Sample Screenshots for the Exchange of Trip-Related Data and Real-time Vehicle Tracking. The screenshots depict some of the information that is exchanged through our mobile solution. It contains both GPS tracking data and trip-related data.

- vi. **Performance Metrics** – The Transportation Management Module provides for LogistiCare’s operation team to understand in real-time the ability of the network to meet the needs of members. It serves as a way for LogistiCare to perform real-time adjustments to the network and add capacity based on real

world conditions of the network and move trips from underperforming providers. Importantly, these metrics are reported back to the providers so they can continuously improve their operation to meet our stringent requirements.

- vii. Claims Module** – With the real-time trip information that is gathered with our Vehicle Location Module, all claims information can be submitted electronically and is systematically adjudicated if all of the trip information and billing is submitted accurately. If there are exceptions or anomalies, the Transportation Provider can submit corrections and documentation electronically to speed the payment of claims. This system provides for increased speed of Transportation Provider Claims while insuring the proper gatekeeping on all trip encounters.

Transportation Provider’s claims are submitted via the Transportation Provider Services Portal directly from the real-time vehicle data collection. The Transportation Management Platform allows Transportation Providers to review and submit approved, completed trip data directly to the services portal from a mobile device at the moment the trip is completed. The application transmits all required claims submission information needed to process a clean claim, in real-time. This data is submitted to the Transportation Provider Services Portal for submission and payment. Our billing functions within the Transportation Provider Services Portal include pages for Completed Trips, Review Open Batch, and Payment Schedule.

- Completed Trips page allows the Transportation Provider to enter information about actual trips that were completed on behalf of its contract with LogistiCare. This functionality provides the first level of automated adjudication by comparing the data entered with information stored on the trip in LogistiCAD. By accepting the actual trip information before submitting invoices to LogistiCare, the functionality helps streamline the determination of a clean claim and its payment process.
- Review Open Batch page allows the Transportation Provider to modify a trip already entered into the system in an open-batch format, allowing the user to make corrections to the trip in the event the data entered during initial entry was incorrect or changed as sometimes occurs.
- Payment Schedule page displays the current payment schedule for Transportation Providers based on specific trip data and submitted trip invoice. This allows Transportation Providers to see precisely when trips will be paid. Our Transportation Providers appreciate being able to follow their payments.

See **Figure 6** for two screen shots depicting the completed trip information entry process.

LogistiCare

HOME | TRIPS | BILLING | REPORTS | OTHER | LOGOUT

LogistiCare Transportation Provider - Add Trip To Batch Logged in as Provider Test Acct - David 'Rip' Norton

Enter the date, number and leg for the trip you want to bill for (date format MM/DD/YYYY).

If you have entered all the trips for this batch, click on the Finish Batch button.

Server ID:

Trip Date:

Trip Number:

Trip Leg:

Back to LogistiCare.com | Terms And Conditions | Privacy Statement | Copyright

The **Completed Trips** process allows transportation providers to enter information online about trips that were completed, which speeds up the payment process and increases accuracy of claims submissions.

LogistiCare

HOME | TRIPS | BILLING | REPORTS | OTHER | LOGOUT

LogistiCare Transportation Provider - Trip Actuals Logged in as Provider Test Acct - David 'Rip' Norton

Enter the actual information about the completed trip. Remember, this information will be verified by LogistiCare.

Trip ID: 08/02/2015 76-A

Rider Name: Rider, Test

Pickup Location:

Vehicle:

Driver:

Signature Received:

Pickup Time:

Drop Off Time:

Drop Off Next Day:

Billed Amount: (DD.CC for dollars and cents)

Billing Notes:

The information entered includes the trip numbers and the data from the driver log including the vehicle used, driver used, times the rider was picked up and dropped off, etc.

This functionality provides the **first level of automated adjudication** as the system compares the data entered with information stored on the trip in LogistiCAD for accuracy.

Note: If the vehicle or driver is not available as a selection please send an e-mail to credentialing@logisticare.com. The e-mail subject line should include the state of service and the transportation company name (e.g., "GA - LGTC Transit"). The body of the e-mail should include the date of service of the trip, the driver name as listed on the driver license, and the last six digits of the VIN of the vehicle.

Figure 6 - LogistiCare Transportation Provider Service Portal 'Completed Trips' Entry View. The Completed Trips option via the Transportation Provider Services Portal is used by most Transportation Providers. As we begin to deploy the mobile technology with Transportation Providers, we anticipate an increase in the use of this new and more efficient method of submitting claims.

Claims Review. The next level of LogistiCare’s claims adjudication process requires a detailed verification of Transportation Provider invoices. As part of our claims payment protocol, LogistiCare reviews Transportation Provider invoices and all supporting documentation to verify:

- Billed trips have valid trip numbers.
- Billed trips are supported by a trip log.
- Trip details (pick-up and drop-off times, locations, Medicare/Medicaid Member name, etc.) listed on the trip log match the details saved in LogistiCAD for that particular trip number.
- Mileage billed is appropriate as determined by LogistiCare’s proprietary mapping software or similar third-party software.
- Level of service billed matches the level of service pre-authorized for the trip.
- Trip log is signed by the member transported, unless the member has been previously designated by the healthcare provider as “unable to sign” (a designee will sign as appropriate). Trip log is signed by the driver attesting to the accuracy of the information on the log.

Claims are further audited by billing specialists who link trips submitted for payment to driver and vehicle compliance information using LogistiCAD functionality. Drivers and vehicles are adjudicated 100% of the time to ensure that LogistiCare pays Transportation Providers only for services properly rendered. If a trip is submitted for payment using a vehicle or driver that LogistiCare has excluded from service under the contract, the trip will be flagged and payment denied. After all trips in an invoice batch are approved for payment, a report is generated from LogistiCAD, which tracks and monitors the claims payment process. This report can indicate, by Transportation Provider, the number of billed trips for each date of service, when the invoice (claim) was received by LogistiCare, when the invoice was submitted to accounts payable for payment, when it was paid, and the amounts billed and paid.

Note that once the appropriate transportation level is determined through our gatekeeping and medical review process, our LogistiCAD system does not allow providers to bill for a higher level of service. In situations where a member’s normal mode of transportation must be changed, such as when a normally ambulatory member has had surgery and must be moved in a wheelchair, LogistiCAD allows a temporary override of a member’s normal level of service, but only after review and management approval.

b. Communications Services

The Communications Services component of our platform is responsible for all communications between operations and all stakeholders. We accommodate all stakeholders through a variety of modalities, including calling to speak with a live person, logging onto to a web site, using a smartphone app, or, communicating via fax.

- i. **Integration Module** – LogistiCare understands the need to integrate with our clients’ systems to manage information (such as eligibility files or electronic health records) and submit information (e.g. encounter files or electronic health records). Our system was designed to be highly customizable based on the client’s IT needs as well as scalable to handle millions of transactions in a highly secure manner.
- ii. **Management Overview Module** – Given NET/NEMT is a delegated program, LogistiCare understands the need to ensure clients have proper oversight of the program. We developed a cloud-based solution, self-service business intelligence (built on QlikSense technology), which provides our clients the ability to access the same data repository that our operations use to manage our service on a daily basis. The Management Overview Module provides clients with the reports required contractually as well as the ability to perform a range of ad hoc reports. All reports can be securely downloaded into a range of data files (e.g. CSV, XLS, and DB) for better integration with your system.
- iii. **Web Sites** – LogistiCare has dedicated web sites for clients, Transportation Providers, members, and facilities. In addition, LogistiCare recognizes the unique nature of stakeholders in the healthcare system and has integrated into different software systems used in healthcare facilities. As an

example, we have integrated with hospital discharge software, Curespan, and are currently coordinating vehicle scheduling for hospitals.

a. Member Services Web Portal

The Member Services Web Portal enables members to request new trip reservations, edit pending requests, view pending requests and processed reservations, withdraw pending requests, and cancel existing reservations. Operation center personnel will place requests in a request queue within the system database for review. Other features include:

- Online Scheduling
- Frequently Asked Questions (FAQs)
- Determining eligibility
- Authorization process
- Member rights and responsibilities
- Member Guidelines
- Brochures
- Downloadable User Guide

Members log in securely to the Member Services Web Portal through a guided online script that walks the user through the process. The portal is customized for members' use. Once a member enters a request for NET/NEMT services, LogistiCAD will treat the request as if one of our Customer Service Representatives (CSRs) had entered it through the operation center. Our proprietary database management platform will determine whether the requester is eligible for NET/NEMT services and will assure that LogistiCare receives all the required information to process the request.

Under the new contract, members and facilities will have the ability to request NET/NEMT services (advance, same day, urgent requests, cancellations, changes) or register a complaint through the secure Web Portal. The member will begin by logging into the online scheduling tool and registering an account. To ensure proper gatekeeping oversight, a CSR must arrange the first trip to assign level of service. Once a member receives a mode assignment, the web portal can be used for subsequent trip requests. If the member is not eligible at the time of the initial request, they will have the ability to partial-register, which will be completed once LogistiCare can confirm eligibility. The member will receive a prompt to contact the Arizona operation center and a CSR will work to confirm eligibility and screen for appropriate mode.

b. Transportation Provider Services Web Portal

The Transportation Provider Services Web Portal is a multi-user, web-based application suite that helps to manage the flow of information between LogistiCare and the Transportation Providers. To access the site, Transportation Provider companies must sign up for the site and fill out certain Electronic Data Interchange (EDI) forms. The portal includes all Client-approved guidelines, forms, and written procedures for the NET/NEMT program deemed pertinent and helpful to Transportation Providers. The portal provides access to a secure section that allows the provider to:

- Review and accept assigned trips, make trip changes via change request form, enter trip attestations, enter cancellations
- Download trip manifests, accept and reject trips, retrieve and manage information about assigned trips
- Obtain training materials
- Bill for completed trips, and access reports and documents necessary to support their relationship with LogistiCare

Many providers run small businesses and need the flexibility of managing their LogistiCare workload after hours. Our HIPAA-compliant transportation web portal allows providers to have 24x7 access to critical information and real-time electronic communication with LogistiCare. In the end, this real-time collaboration results in better service to the member.

The Transportation Provider Web Portal includes all client-approved guidelines, forms, and written procedures for the NET/NEMT program as they relate to Transportation Providers. It provides information tailored to the needs of Transportation Providers and includes instructions on how to access LogistiCare's secure web-based systems. The portal also presents information on:

- How we work with Transportation Providers to deliver the highest quality transportation for members.
- All required forms, brochures, FAQ, and information necessary to become a credentialed Transportation Provider.
- Content describing the new program requirements and responsibilities of Transportation Providers and drivers.
- Secure page to review and accept assigned trips, make trip changes using a change request form, enter trip attestations, enter cancellations, and download trip manifests.

The web portal provides access to critical information 24/7/365 and maintains real-time communication between the Transportation Providers and LogistiCare.

The information and tools available in our proposed Transportation Provider information site include:

- An Overview section includes rules governing the transportation service, process, and methodology for receiving trip assignments, guidelines on how to quickly interact with LogistiCare, credentialing, and on accessing the secure Transportation Provider web portal.
- A Frequently Asked Questions (FAQ) section lists questions and answers commonly asked by Transportation Providers on the NET/NEMT program and a range of related topics such as qualifying to provide transportation.
- A Downloads section offers Transportation Providers a flexible approach to accessing downloadable items pertinent to the program. Each approved document and/or form may be accessed and viewed as separate Adobe Portable Document Format (.pdf) files, or items may be downloaded and saved locally.
- A News Bulletin section is similar to the Downloads section, provides a list of timely bulletins pertinent to the NET/NEMT program as a whole, issued by our client, or approved bulletins issued by LogistiCare.
- Useful Links section provides a variety of links to web pages related to the NET/NEMT program, which may prove helpful to a Transportation Provider. Examples of these links include, but are not limited to, Medicaid updates issued by our clients.

c. Facility Services Web Portal

The Facility Services Web (FSW) portal supports transportation requests by healthcare facilities on behalf of their clients. The goal of this portal is to provide a system to request and manage trip requests online—without the need to call the operation center. Healthcare providers can sign on to a secure portal and make a request for transportation on behalf of a member. Providers can review and accept assigned trips, make trip changes via change request form, enter trip attestations and cancellations, download trip manifests, and upload claims for payment files. The site provides access to an overview, required forms, brochures, FAQ, downloads and useful links, and outlines program requirements and responsibilities of medical providers and their representatives.

The portal offers 24/7 access to enter a trip request and allows the user to:

- Enter a single trip or standing order request
- Look up and view trip requests
- Modify or update pending requests
- Enter a Medical Necessity Form
- Verify and report monthly attendance

The Facility Services Web Portal has information tailored to the needs of health care facilities and medical providers. The site provides required forms, brochures, FAQ's, and information to successfully request NET/NEMT transportation on behalf of members, and outlines the program requirements and responsibilities of medical

providers and their representatives. The portal includes a secured section where requests for transportation can be made, attendance can be confirmed, and medical necessity forms can be submitted.

To ensure facilities understand how to use the various tools and processes associated with NET service, LogistiCare conducts outreach to facilities and ordering practitioners through personal visits and webinars in all of our operations. Facility staff appreciates the convenience of webinar training for new staff on NET processes.

The information and tools available in the Facility Services Web Portal include:

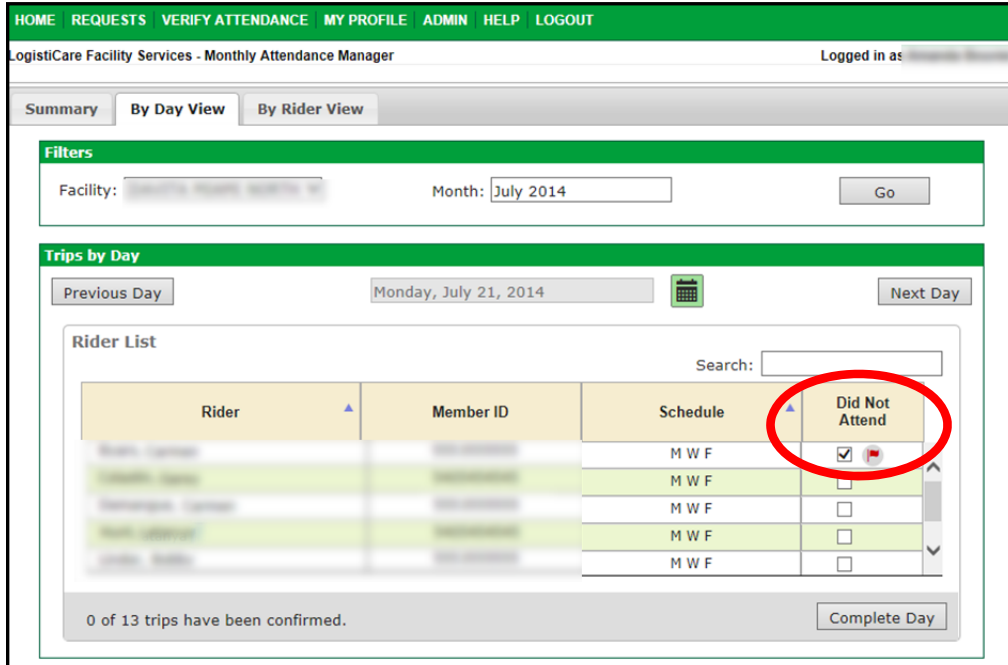
- **Overview section** includes information on the NET/NEMT program and on the information contained within the sub-site. Examples of the type of information included in the overview are the rules governing the transportation service, the hours of operation for standard requests, the minimum advance reservation requirements for such requests, contact information, and types of trips that can only be ordered by medical providers. This page will include links to more information on transportation requirements and other facility-focused topics approved by the client.
- **Frequently Asked Questions (FAQ)** section lists questions and answers, commonly asked by medical facilities on the NET/NEMT program and for eligible members of the NET program, and pertaining to a range of related topics on eligibility and accessing services. The format we provide will present a list of questions that will then display answers by clicking on the drop-down arrow associated with each question.
- **Downloads** section offers facilities a flexible approach to accessing downloadable items pertinent to the NET/NEMT program. Each approved document and/or form may be accessed and viewed as separate Adobe Portable Document Format (.pdf) files, or items may be downloaded and saved locally. We can provide a combination of either or both approaches.
- **News Bulletin section**, similar to the Downloads section, presents a list of timely bulletins pertinent to the NET/NEMT program as a whole, issued by our client, or approved bulletins issued by LogistiCare on behalf of our client. Each approved bulletin may be accessed and viewed as separate Adobe Portable Document Format (.pdf) files, or items may be downloaded and saved locally.
- **NET/NEMT Network Provider Locator** section provides a listing and search methodology for facilities to find transportation network providers who are currently enrolled with the NET/NEMT program, and who are credentialed and authorized to provide transportation services. Medical providers and members will have access to this tool and can select the enrolled transportation network providers to obtain information on them. The list is presented in alphabetical order and may be filtered in a number of ways including, but not limited to, alphabetically, by region, and/or by text search.
- **Useful Links** section provides a variety of links to web pages related to the NET/NEMT program that may be helpful to the facility user. Examples of these links include, but are not limited to, Medicaid updates issued, transportation routes and transit system information, and Transportation Provider manuals.

d. Monthly Attendance Manager

LogistiCare requires facilities to identify members with standing orders who were absent on their scheduled appointment dates. Healthcare providers are offered the option of using the Monthly Attendance Manager (MAM)—an online tool that eliminates the requirement to submit attendance based reports via paper and facsimile. This allows for real-time tracking of member compliance, which focuses on standing order trips taken for such treatments as dialysis, rehabilitation, and other appointments that can be scheduled in advance. Healthcare facility staff work together with LogistiCare in monitoring member absences, which can contribute to declines in health and continuity of treatment. MAM replaces paper and facsimile-based attendance reporting and creates efficiencies for the facilities; however, the facilities choose whether electronic or paper-based submissions are best for their office staff.

The Monthly Attendance Manager (MAM) provides the following efficiencies:

- Reduces transcription and data errors
- Supports automation of cancellations
- Provides input for mail merge form letters to Transportation Providers to recover payments
- Reduces paperwork
- Eliminates the need to fax reports
- Provides an efficient workflow for attendance reporting by the facilities
- Improves data collection at the operations center and corporate levels



Note: Facilities not using Monthly Attendance Manager still have the option to submit paper and fax-based reporting.

Fax Transmissions - To accommodate facilities that use fax transmissions to request NET/NEMT, LogistiCare provides a well-monitored fax line. The requesting entity will complete a trip request form and fax it to the Arizona operation center. LogistiCare uses Right Fax enterprise Faxserver appliances in a high-availability configuration to provide electronic desktop faxing for all employees. Using electronic Faxservers increases employee productivity, reduces wasted paper, and helps to maintain privacy of member’s personal health information (PHI). The Faxservers also provides optical character recognition (OCR) functionality to allow us to store documents within our enterprise document management system for easy retrieval and search functionality.

e. Client Services Web Portal

The Client Services Web Portal is provided as a complimentary service to LogistiCare’s clients. This interface allows clients to monitor basic statistics of their NET/NEMT program and to obtain assistance in resolving simple questions and complaints. The portal is a transparency tool whereby clients have access to their data for real-time management and analysis of key metrics. Clients can view a single trip, complaint, and demographic information with 24/7/365 access. Clients also have access to a wide range of standard and ad hoc reports and can query and customize reports utilizing a self-service reporting tool.

LogistiCAD generates 200+ standard reports that help to measure and analyze our performance on a daily, weekly, monthly, or annual basis. We also have the flexibility to produce any type of mutually agreed-upon operational,

management, or ad hoc report that will be useful in examining and strengthening our procedures and program outcomes.

Clients and their designees are granted 24/7/365 access to the system. LogistiCare offers a suite of standard reports through the system including, but not limited to, monthly summary reports, member reports, and utilization reports. The web portal supplements the required reports we produce and deliver to our clients on a monthly basis. The website meets all pertinent security and HIPAA requirements and will give clients access to the following system capabilities and data:

- Trip, complaint, and member eligibility verification information (Ability to look up by member's ID or name)
- Member information that will convey basic demographics (the member's last known address and phone number)
- Basic summary reports about trip volumes, complaints, usage, etc.
- Download and print capabilities (as in PDF format)
- Convey report parameters such as county, date range, level of service codes, etc.
- Options to include trending graphs or charts through the Qlik Sense report generator software, Data Discovery.

Other features include:

- Ability to add multiple users
- Downloadable User Guide

Training on how to use the web portal is provided by local operations staff.

f. QLIKSENSE Client Reporting System

With 24/7/365 access, clients and their designees can query real-time statistics and customize reports through QlikSense, a self-service reporting tool. Its product, called Data Discovery, generates a wide range of standard and ad hoc reports through the portal.

QlikSense offers clients full capabilities on any device; mobile phone or tablet, desktop, and cloud-based including exploration, analysis, creation, and collaboration. It is designed to adapt visualizations, data, and functionality to create the best possible experience on any device. With QlikSense, users can instantly access data and respond to inquiries - anywhere, anytime they arise.

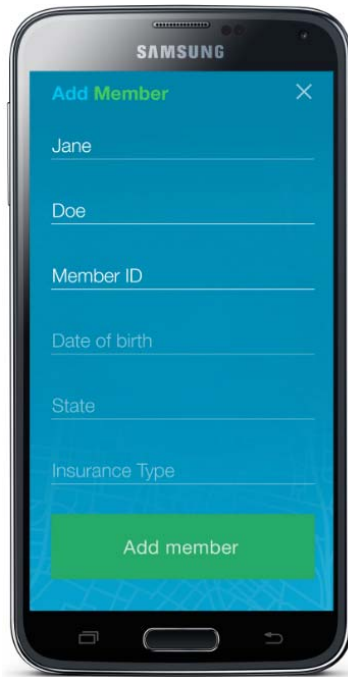
The tool collects data from multiple sources such as LogistiCAD and any of its functions/ features and communications platform. The tool analyzes the data and connects the various data based on subjects selected (month, provider, report). Clients can use the snapshot tool to select data for insertion into a PowerPoint presentation. Alternatively, with the storyteller feature, clients can deliver a presentation while logged in, display the report or visualization, and with a click, go directly to the data that created the report or visualization.

iv. Mobile Apps

a. Trip Manager – Member App

Trip Manager is accessible to members as free application software (App) easily downloaded onto a personal cell phone or tablet. Trip Manager lets members experience on-the-go access to NET/NEMT services and benefits and provides ease of scheduling. The same benefits, functions, and features provided on our Member Services Portal will be accessible in real-time on mobile devices (smart phone, tablet) upon award, making it easier for members to schedule and manage NET/NEMT services. All trip requests through the Trip Manager app will verify eligibility similar to the Web Portal. We provide trip reminders 24-hours before the scheduled NET/NEMT services and all trip requests received through the Web Portal and Trip Manager app undergo eligibility verification. With our client's approval, we will promote the online service features and the Trip Manager during on-hold messaging.

Trip Manager provides the following functions and features:



- Enrollment** - Provides a capability for members to sign up for NET/NEMT services
- Add a Member** - Provides a capability to add family members to the account
- Account Management** - Change important information (e.g., phone number; email address)
- Make/Change/Cancel Reservations** - Manage reservations
- Manage Interactions** - More effectively communicate with drivers and Transportation Providers using their mobile device
- Ride Assist** - Provides a capability to use a mobile device instead of a toll-free number to check on the status of their ride
- Will Call** - Use their mobile device to notify LogistiCare when they are ready for a return pick-up as opposed to using the Ride Assist Line
- View Pick-Up/Drop-Off** - GPS timestamps enable verification of pick-up and drop-off times and locations
- View Schedule and Alerts/Notifications** - Use their mobile device to track the location of their ride and receive notification if it is going to be late or early.

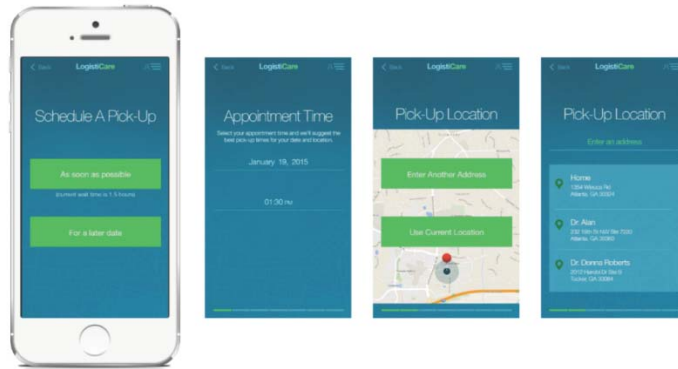


Figure 9 - LogistiCare’s NET/NEMT Member Mobile App: Scheduling Screens. Should our client wish to deploy a mobile app that enables access for members to a myriad of NET/NEMT service functions, LogistiCare will deliver. Other services accessible through the app include, but are not limited to, viewing scheduled reservation information, obtaining transportation statuses, and contacting LogistiCare support staff.

The advantages of the program include the following:

- **Self-service Flexibility for Members**– Members will avoid spending time in phone queues and will experience the benefit and flexibility of self-service.
- **Expanded Service Capacity**– LogistiCare will be able to provide enhanced service, touching more NET/NEMT stakeholders. Our long term goal is to provide continuity of care within the LogistiCare ‘ecosystem.’ For example, once a member has been picked up, the destination medical facility could be notified that he or she is on route. Taken further down the development roadmap, integration with hospital discharge systems is possible.

Users find their messages on the ‘Your Messages’ screen. The messages, which can also be sent by text or email, are used to notify users of changes in their trip requests, reply to requests for pick up, or answer Ride Assist inquiries.

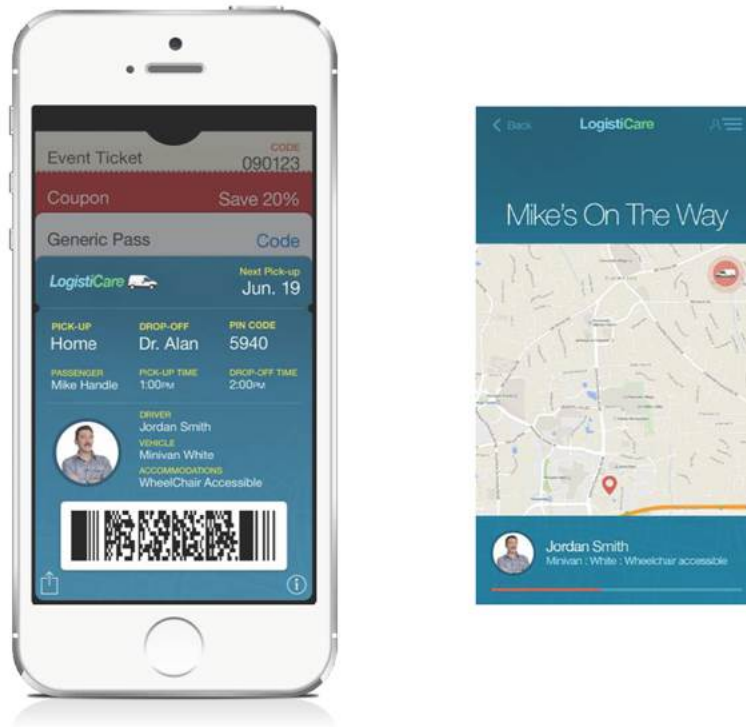


Figure 10 - LogistiCare's NET/NEMT Member Mobile App: Trip Confirmation/Status Screens. The Member Mobile App can provide real-time information on the NET/NEMT network provider, driver, and vehicle assigned to the reservation. In addition, a view to the vehicle's current location may also be presented.

Our app will deliver security while extending the convenience of mobile technology to Medicaid members. LogistiCare deems the delivery of safe, reliable, and discreet NET/NEMT services to NET/NEMT service-eligible Medicaid populations of paramount importance. Since mobile technology carries risks, which include the potential exposure of Medicaid recipients' protected health information (PHI)—an obvious violation of HIPAA and related Federal regulatory statutes—LogistiCare will apply the same prudent, measured approach to data security that it applies across the entire spectrum of its support technology.

The Trip Manager will deliver security while extending the convenience of mobile technology to Medicaid members. LogistiCare applies the same prudent, measured approach to data security that it applies across the entire spectrum of its support technology.

- Electronic driver manifest
- Real-time data capture of odometer and times
- Instant scheduling updates
- Safe messaging between drivers and dispatch

b. Driver App

The Transportation Management Platform (as described in the section above) is comprised of **three main components**; 1) Dispatch Portal, 2) Driver App and 3) the Vehicle Locator, which transmits data from each of the two apps.

The platform queries the LogistiCAD repository and then transmits the data. The data transmitted to the Dispatch App and the Driver App includes AVL and Trip Management information (Trip Manifests, Trip Re-routing, Trip Cancellations, and Trip Billing).

The Dispatch Portal exchanges the following data with the Driver App:

- Vehicle Locator data
- Trip Assignments
- Driver Messaging
- Messaging from LogistiCare dispatchers

Features of the Dispatch Portal include:

- Real-time trip manifest download
- Uploading completed trips to Transportation Provider portal
- Ability to view trips and dispatch trips to the Driver App (drag and drop feature)
- Distribution of turn-by-turn instructions (routing/rerouting) from the Transportation Provider to the driver
- Cancel and re-route trips
- Update “will call” time and dispatch to drivers
- Ability to dispatch from a tablet
- Ability to schedule and run reports
- Provides a batch user interface to allow users to view completed trips, apply bill amounts, and submit the batch to the Transportation Provider Portal

The Driver App exchanges the following data with the Dispatch Portal

- Real-time GPS Data
- Trip Management Data
- Event Capture Data
- Signature Capture Data
- Route Guidance
- Driver Messaging

The Vehicle Location component receives a data feed from the Driver App which is uploaded to the Dispatch Portal and to LogistiCare Dispatcher:

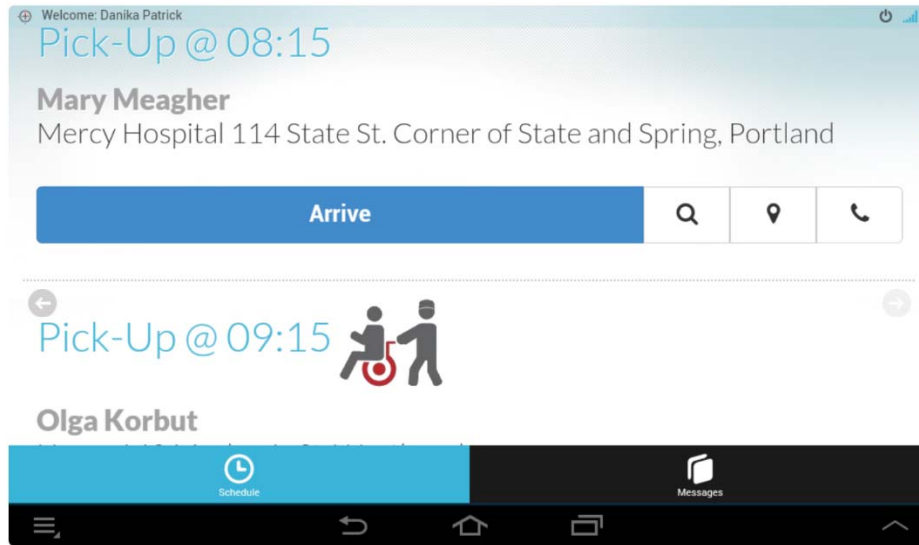
- Provides a real-time map view (drivers can be located on map and can follow trip progress)
- Search trip information by Trip ID, Driver name, Rider name, or Address
- Ability to view –
 - Driver pick-up and drop-off driver locations
 - Ability to see if driver is on or off schedule
 - Driver speed
 - Historical trip and “bread crumb” route data
 - Allows for Transportation Provider dispatcher view

LogistiCare dispatchers can view all Transportation Providers across a specific region and conduct real-time monitoring of all network vehicles.

The following features are also accessible to the dispatcher:

- Make route adjustments as the daily manifest changes
- Monitor on-time performance and complaint resolution
- Assignment of trips from LogistiCare to the Transportation Providers
- Exchange and view electronic driver manifests
- Provide instant distribution of scheduling updates

- Real-time data capture of odometer readings and times
- Review and edit completed trip data uploaded from GPS software
- Accept electronic driver logs with signatures



4. Technology Infrastructure

The central aim of information technology (IT) management is to generate value through the use of technology tools that make it easier to use, create, manage, and exchange information. Our approach to IT management is about the business processes and practices that underpin the creation and use of information. It encompasses people, process, information content, and technology.

a. IT Support Team

LogistiCare’s dedicated information technology support team consists of more than 100 full-time employees, headed by a Chief Information Officer. The team includes an experienced and diverse group of IT specialists who are responsible for IT networking, system administration, software systems development and application support, and information security. The table below details the resources that support IT management.

LogistiCare Information Technology Resources	
Position Focus	Description
IT Service Delivery	The Service Delivery group provides technical assistance to LogistiCAD users and other infrastructure.
IT Infrastructure	The infrastructure, networking, and systems administration staff support the LogistiCare IT infrastructure relied upon by the software. A systems administrator will deploy the releases of LogistiCAD and other software into the production environment.
Software systems development	The software development staff develops and maintains all of the custom software for LogistiCare. This includes LogistiCAD, supporting utilities and reports, and the external web sites that interact with the backend LogistiCAD data. The staff includes software developers, database administration, software quality assurance, and technical writers.
Information security	The information security staff supports the LogistiCAD system indirectly by monitoring internal and external security threats. The information security

	team, consisting of a Security Officer and a Senior Security Specialist, is responsible for management of information security throughout the organization. The information security team is responsible for developing, maintaining, and enforcing LogistiCare’s information security policy.
IT Integration Services	IT Integration Services manages the client interfaces for LogistiCAD. This includes processing client-supplied membership and eligibility files; producing encounter claims files, and other client-oriented data (capitation files, error reports, remittance advice, etc.).
Telecommunications	Telecom maintains the voice communications environment, provides user support to LogistiCare, and resolves communication problems. They do not directly use LogistiCAD; however, they provide LogistiCAD with support as well as disaster recovery assistance.
HIPAA	LogistiCare has a HIPAA compliance officer responsible for managing and monitoring the HIPAA compliance program, which has a defined information classification scheme for the labeling and handling of data.

These services are supported by LogistiCare’s information technology department that supports LogistiCAD 24 hours a day, 7 days a week, and 365 days a year. The key support services include:

- System development and maintenance
- Service delivery for system users
- Infrastructure support
- Data center operations, network operations, and performance monitoring
- Security administration and auditing
- Implementation support
- Business recovery planning

b. Stable, Redundant Technology Infrastructure

LogistiCare designs our communication and technology systems for high availability and deploys redundant components so that no single point of failure exists. The configuration consists of the two very redundant Firewall, Application Server, Database, and telephony systems across two hosted data centers in Atlanta, Georgia and Phoenix, Arizona.

Our enterprise systems are also designed with diverse connectivity and redundant networks that are configured to allow fault tolerance and automatic failover in the event of any service or hardware failure. The effectiveness of our emergency preparedness has been tested at least quarterly each year. Key technologies include the following:

- Onsite diesel backup generators are used for power outages in our 24/7 Atlanta; Norton, VA; and Phoenix locations
- APC UPS systems are used for monitoring power usage and routing power
- FM-200 or Sapphire pre-action fire protection system
- Multiple data lines per site (T1, DS3) from different carriers are used to minimize WAN downtime
- Redundant network appliances in a failover configuration are used so that a hardware or circuit failure does not bring down the network.
- Clustered servers for key applications in an active/passive mode are used. If one server fails, the secondary server takes over automatically. We use Microsoft Clustered Servers for Windows systems and LifeKeeper for Linux on our Linux systems.
- Databases are stored on DAS or SAN devices with redundant processors, power supplies, fans, etc.

- Data are stored on RAID 5 or 10 drives for maximum safety. Data logs captured since the last backup are stored on multiple devices so that if a tape is restored, the data captured up to the failure can be applied to the restored database.
- All key applications are available to remote users using Citrix application servers.
- Common hardware is used across all locations for ease of support and streamlined recovery procedures (Dell servers/computers, HP switches, Cisco network appliances, etc.).
- 24-hour-a-day, 4-hour response support contracts with key hardware vendors
- All sites use Avaya phone systems, which are linked for moving call load from one office to another.

With LogistiCare’s enhanced technology platform, clients have assurance that our infrastructure and systems will always be up and supporting the delivery of Medicaid transportation services. LogistiCare’s Information Technology group manages and maintains all of our systems and applications. We perform weekly maintenance to all systems every Thursday night. Updates and system changes are managed with various management systems.

c. Call Center Redundancy

LogistiCare’s operation center network currently includes four (4) back-up operation centers—all of which operate twenty-four (24) hours a day, seven (7) days per week, 365 days per year. We leverage the power of advanced technology and telephony mechanisms to forward incoming calls to designated sites for live after-hours and weekend coverage, as well as to backup operation centers as the needs arise. Such circumstances for using a backup center would include, though not necessarily be limited to, the necessity to maintain seamless operations while disaster recovery processes are underway as a function of power loss or weather driven challenges or the necessity to provide live after-hours and weekend coverage as a standard operating procedure. LogistiCare trains and instructs those CSRs who deliver services from its backup centers to adhere to the same policies and follow the same procedures as the CSRs for whom they act as backup support.

Our advanced platform allows for automatic immediate call routing management for all of our operation centers and delivers unprecedented business continuity and disaster recovery capabilities, strengthening LogistiCare’s position as the leader in NET/NEMT service models.

This type of active planning and technology ensures LogistiCare has extensive real-world experience successfully managing NET/NEMT services in disaster situations and contributing to overall disaster recovery efforts. Following Super Storm Sandy in 2012, residents were faced with major electric blackouts throughout the state. Regardless of the situation, LogistiCare has consistently and effectively provided uninterrupted levels of service in all areas of the country.

Technology and processes used in LogistiCare operation centers facilitate the delivery of high measures of stability and continuity in situations posing unusual and dramatic challenges to our operations. Our enterprise software systems and data centers are designed with severe weather safeguards to maintain operations in times of crisis and inclement conditions. These safeguards include daily backups, alternative power sources, physically and digitally secure locations, and redundant design. Our enterprise systems are designed with diverse connectivity and redundant devices that are configured to allow fault tolerance and automatic failover in the event of any service or hardware failure. Additionally, LogistiCare maintains four-hour response maintenance services with our major suppliers to assure a rapid solution in the event of hardware issues. The effectiveness of our emergency preparedness has been tested numerous times in a wide variety of conditions and has been proven effective in every circumstance.

Our system ensures cumulative ITS unavailability caused by factors within LogistiCare’s span of control will not exceed 1% during any continuous 20-calendar day period. Our server configuration consists of clustered servers, RAID disk configurations, disk and tape backup systems, and Uninterrupted Power Supplies (UPS). Each server employs RAID technology that enables LogistiCare to replace hard drives without downing a server. By employing

clustered servers, the need to repair a failed component in one server will not require LogistiCare to down a working server while repairs are being made. LogistiCAD data stored at each NOC is also replicated real-time to the database cluster at the other NOC using EMC's RecoverPoint solution. Should one NOC go completely down, users can be directed to the database cluster in the other NOC so that business continues normally. Once the failed NOC is brought back online, the new data is replicated back to the original database cluster and users are pointed back to their original NOC.

Protection for NOC computer room servers and its 24/7 operation is provided by Data Center UPS equipment, which provides immediate electric power to the computer room if the outside power fails. Individual workstation UPS units provide emergency workstation power. In addition to the battery backup systems, an on-site diesel standby generator to provide power for extended periods of time protects the NOC. In addition, NOCs are also protected from fire by a pre-action FM-200 or Sapphire fire protection system. For more information on our maintenance and issue resolution processes please see Attachment XX, page XX.

Proactive Monitoring

SmartPoint performs real-time monitoring of our voice assets (e.g., servers, gateways, SIP registrations, contact center applications) and the network connectivity to develop Business Service Intelligence. By combining insights gained from synthetic transactions processed through the WAN, SmartPoint renders a comprehensive representation of converged network topology. This visibility into our entire voice ecosystem is a critical component for our successful unified communications strategy.

Reporting

The details are in the data. Our SmartPoint monitoring platform allows us to gain intelligence on the health and availability of our infrastructure. Asset Inventory, QoS, and critical resource utilizations are delivered via real-time dashboards and historical reports. This information provides the trend analysis and capacity planning required for optimal performance.

Day-to-Day Operational Support

Our SmartPoint Managed Services also provides third party oversight to ensure that all system alarms are quickly reacted to and escalated as needed.

- Break/Fix Hardware Support – Whether delivered from Avaya or directly from SmartPoint's field technicians, SmartPoint provides complete support coverage and response in the time frames required.
- Patch Management – SmartPoint will provide formal notification of software and firmware updates for the equipment, while scheduling and performing the updates around your change controls so that systems are always running the latest software and protected from security vulnerabilities.
- Incident Management – A special combination of escalation, priority-call and problem management, this feature is designed to seamlessly facilitate an event from initial identification, notification, and diagnosis to closure and final resolution, efficiently and effectively.
- Change Management – SmartPoint provides system administration for remote programming and move, add, and changes(MAC). We leverage our industry proven risk assessment policies and procedures when working on assets in the DHS environment to minimize outage potential and downtime.
- Third Party Agency – True to SmartPoint's collaborative approach, this compilation of Carrier Agency and vendor management provides a means for customers to ensure third- party relationships run smoothly – a critical factor for an intelligent and proactive management strategy.

d. Physical Security and Environmental Controls [IV-4.6]

LogistiCare has extensive physical security around its information technology systems. All of our systems are housed in our two hardened level-1 Network Operation Centers (NOCs) in Atlanta, Georgia and Phoenix, Arizona. These Network Operation Centers are protected by a badge security system with only approved individuals having access to the network rooms. Access to the rooms is logged and reviewed quarterly. Third-party contractors who must work on our systems must have an employee with them at all times while in sensitive areas. Network and phone rooms at our operation centers and regional offices are locked, with access limited to top local management employees.

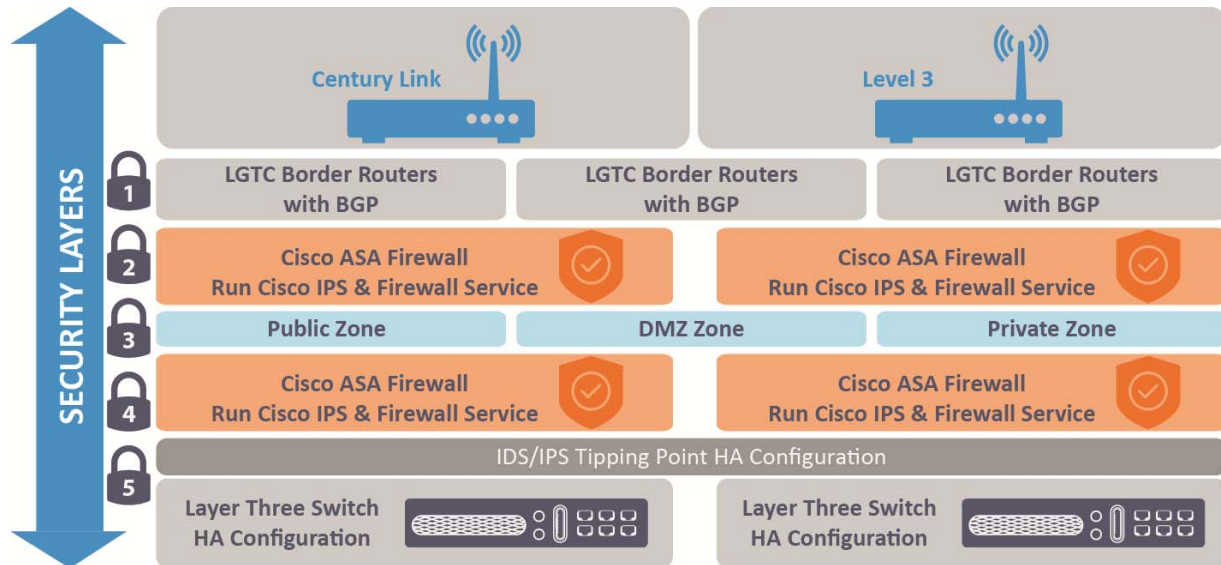


Figure 11 - Network Logical Diagram. Our multi-tiered network infrastructure prevents against unauthorized entries.

Figure 11 shows the multi-level logical network diagram for each LogistiCare core NOC facility. LogistiCare has designed its network using the layered security approach to protect our systems, data, and services. Each layer of the network provides only the level of access that is needed for the identified task. Each appliance within the data path has a hot standby to provide full availability in the case of a hardware failure. Each data route is set up with multiple transmission paths so a loss of one path does not disrupt the network.

Our LogistiCAD system currently handles millions of transactions per month and has an uptime of greater than 99.8 percent.

Software engineers monitor the systems 24/7/365 and during times of emergencies and disasters are available help resolve any issues that might occur.



Email scanning tools, anti-virus software, and anti-Spyware software are used to scan all systems and network traffic for spam, viruses, Spyware, and hacking tools. The software is updated on a daily basis and performs detail pattern matching against known threats. The use of heuristic scanning technologies is also deployed.

Traffic patterns within the network are scanned and logged. The patterns are matched against a set of defined filters to identify any possible breach or data loss. By employing traffic pattern analysis and doing correlation with the other devices within the network, we increase our likelihood of identifying traffic that does not belong in our environment.

e. System Monitoring

The security administration team uses a variety of security utilities to identify and detect possible security threats and incidents. These utilities include, but are not limited to, firewall notifications, Tipping Point IDS/IPS alerts, vulnerability assessment reports, and operating system event logs. These alerts and notifications are reviewed daily by the security administration team using RSA enVision’s Security Incident and Event Monitoring (SIEM) product. Additionally, the security administration team has developed and reviews the following SIEM reports:

✓ Failed object level access	✓ Failed login detail
✓ Daily IDS / IPS Attacks	✓ Firewall configuration changes
✓ Critical IDS / IPS Alerts	✓ Windows policy changes
✓ Devices not reporting in the last 24 hours	✓ Windows system shutdowns and restarts

f. Data Security

LogistiCare maintains all electronic NET/NEMT information, including member, provider, and vehicle and driver records in our proprietary data management system, LogistiCAD. We have designed this system and our network infrastructure to provide multiple layers of electronic security for systems, data, and services. Users can only access protected information via the LogistiCAD application and all access/changes to information are tracked for auditing purposes. Only limited IT personnel have access to the database clusters, which helps guarantee that patient information is protected.

All LogistiCAD data that is stored on backup tapes for disaster recovery is encrypted using AES 256 encryption methodologies. This process allows only authorized users to be able to view this data. The tapes are tested on a quarterly basis for integrity to verify the backup process is valid and the data is truly recoverable. All user access, including authorized access and unauthorized access attempts, are logged and reviewed. Our systems keep full audit trails of all changes performed by users in our systems.

g. Web Site Security

LogistiCare’s website and website portals use an HTTPS address with Transport Level Security (TLS), with a minimum of 128-bit encryption. All Health Insurance Portability and Accountability Act (HIPAA) security authentication access mechanism guidelines are followed. Providers are only given access to information that is required to fulfill their transportation duties. Each user of the systems is given a unique user ID and password. User ID sharing is not allowed. The web systems are protected in our Network Operation Centers (NOC) by multiple firewalls and Intrusion Protection/Detection systems. LogistiCare employs a third-party security-consulting firm that performs an “ethical” hack on our websites each year to ensure they are properly protected.

h. Protect Passwords for Electronic Data

LogistiCare has detailed procedures for password protection and security of electronic data. We utilize a layered approach for access to protected information. First, employees are assigned a network login. Our Active Directory setup includes levels of access based on an employee’s physical location, role, and department. When the user logs into the network, their access to file shares, documents, applications, and other system resources is immediately set and controlled. Users are only given access to authorized applications, documents, and data. Passwords in our Active Directory system are stored with AES 256-bit encryption. System administrators cannot view users' passwords - they can only reset them in accordance with our internal security policies. Passwords must be a minimum of six characters and include numbers and special characters. Users are required to change their password every four months.

Our enterprise application, LogistiCAD, has similar capabilities. Each user is assigned a unique ID and password that is associated to a function group. That function group controls what information the user can view, add, or modify. All activity is logged to audit tables for review if needed. Unused logins are inactivated automatically by our systems after 30 days.

i. HIPAA Security Measures [IV-4.6]

LogistiCare fully supports and complies with HIPAA requirements for Protected Health Information (PHI), and we are sensitive to the privacy of members. To help protect the rights of members, providers, and our employees, we have built an organizational awareness of HIPAA and created confidentiality best practices throughout the company. HIPAA and its Administrative Simplification and Privacy (AS&P) rules specify how any Medicaid transportation manager must collect, store, transmit, and release PHI. As a health care provider that transmits PHI electronically, LogistiCare meets the definition of a “covered entity” under the HIPAA regulations. Therefore, we are constantly working to comply with both key segments of the HIPAA regulations - privacy and technical/physical security.

We ensure that all of our ITS maintain compliance with current and future versions of HIPAA Transaction and Code Set requirements, privacy, security, and identifier regulations by their designated compliance dates for electronic health information data exchange and Privacy and Security Rule standards. Further, we ensure the ITS meets all required transaction formats and code sets with the specified data sharing agreements required under the national standard guidelines. All of the HIPAA transaction sets are checked through third-party systems such as ClarEDI. We remain abreast of changes in the HIPAA transaction sets and make every effort to plan accordingly for announced changes.

We continually review and update our technology infrastructure and procedures for compliance with the HIPAA Security Rules Administrative Safeguards, Physical Safeguards, and Technical Safeguards as well as the HIPAA Privacy Rule. We have also reviewed and updated our procedures for compliance with the Health Information Technology for Economic and Clinical Health (HITECH) Act. We are particularly cognizant of the requirement that we comply with the provisions set forth in Subtitle D of the HITECH ACT, which addresses the privacy and security concerns associated with the electronic transmission of health information. We will continue to monitor and maintain our HIPAA compliance program in accordance with all federal and state requirements and regulations.

j. SOC3: Compliance, Control, and Continuity



LogistiCare’s SOC 3: SysTrust for Service Organization seal is assurance that LogistiCare systems and data centers are secure and highly available, and that our data processes operate at high levels of integrity and consistency. This certification is the gold standard by which data center operations are benchmarked, and is awarded only after an independent audit confirms that the organization meets stringent requirements established by the AICPA. Auditors evaluate the design and operating effectiveness of controls in four key categories: security, availability, processing integrity, and confidentiality/privacy. LogistiCare successfully meets all criteria.

SOC3 : Compliance, Control, and Continuity	
SOC3 Control Criterion	LogistiCare Controls in Place
Security	<ul style="list-style-type: none"> • Security systems from top-tier vendors such as Cisco, Symantec, HP, PGP, and RSA are used to manage and monitor all system traffic • NetBotz remote monitoring system (encrypted security system) are used for physical and environmental monitoring of data rooms • FM-200 or Sapphire fire protection capabilities are state of the art
Availability	<ul style="list-style-type: none"> • All system capabilities are supported by advanced infrastructure dedicated to redundancy • All major systems, including transactional, web and other servers, firewalls and VPN concentrators, are mirrored with complete fail-over capabilities • Allows for up to two TB of online redundant data storage

SOC3 : Compliance, Control, and Continuity	
SOC3 Control Criterion	LogistiCare Controls in Place
	<ul style="list-style-type: none"> • Daily tape backups and offsite storage ensure recovery • Citrix XenApp (formerly Presentation Server) provides remote access to all corporate applications for DR and business continuity • LogistiCAD data replicated in near-real-time between our two NOCs; if one NOC goes down, users can access the system at the alternate NOC
Processing Integrity	<ul style="list-style-type: none"> • Network operation centers (NOCs) are staffed with technical support experts • Features NET/NEMT Support DNA for remote support, training, software installation, and debugging at a work station level • All NOCs and other offices can be remotely managed • Real-time automated monitoring system used to remotely monitor all IT systems • UPSs, battery backups, and diesel generators provide uninterrupted power
Confidentiality/ Privacy	<ul style="list-style-type: none"> • HIPAA-compliant security, including full audit trails of all data changes

k. Sarbanes-Oxley (SOX) Act of 2002 Compliance

LogistiCare has adopted SOX-type governance and internal control structures that govern users of all in scope applications which include: LogistiCAD, Epicor, Sage FAS, and Active Directory. A review is conducted quarterly to review the status of each user and determine if they still have access to the systems and if they have the proper level of authorization. Users must have the level of access required to do their jobs; however, no more access than is required to perform their role. We also check other items such as our ability to backup and restore our applications in case of an emergency recovery. We verify that only authorized individuals have access to our data center, and verify all of our backup tapes are rotated for recovery purposes if needed.

l. Change Management

LogistiCare has a formalized change management process in place, which requires identification and recording of significant changes, assessment or risk and potential impact of such changes, approval of proposed changes, and testing of changes to verify operational functionality. All changes are evaluated to determine if the proposed change has a security risk and what mitigating actions, including employee and client notifications, must be performed. The IT management team meets for a weekly review and schedules changes to the IT environment.

Emergency changes follow the standard change management process, but at an accelerated timeline. Prior to initiating an emergency change, all necessary approvals are obtained and documented.

Changes to system infrastructure and software are developed and tested in a separate development or test environment before implementation. Additionally, developers do not have the ability to migrate changes into production environments.

We have a formalized security and systems development methodology that includes: project planning, design, testing, implementation, maintenance, and disposal/decommissioning. LogistiCare uses a standard serve build checklist to help secure its servers, as well as conducts monthly vulnerability assessments to identify potential system vulnerabilities. Patches are applied regularly in accordance with LogistiCare’s patch management process.

The change management policy applies to all parties operating within the company’s network environment or utilizing Information Resources. It covers the data networks, LAN servers, and personal computers (stand-alone or network-enabled) located at company offices/company production related locations, where these systems are under the jurisdiction and/or ownership of the company or subsidiaries, and any personal computers, laptops, mobile devices and or servers authorized to access the company’s data networks. No employee is exempt from this policy.