

Proposal to Provide:

Central and Regional Change Center Eligibility Operations

Indiana Family and Social Service Administration
Division of Family Resources (DFR)

REDACTED CLARIFICATION RESPONSE

RFP No. 22-68345

November 3, 2021



Transmittal Letter

November 3, 2021

Mark Hempel
Director of Account Management
Indiana Department of Administration
Procurement Division
402 W. Washington St., Room W468
Indianapolis, Indiana 46204
mhempel@idoa.in.gov

RE: Clarification of Response - Request for Proposal 22-68345 - Central and Regional Change Center Eligibility Operations

Dear Mr. Hempel.

Maximus acknowledges that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 et seq. Maximus seeks confidential treatment of certain portions of its proposal as exempt from release pursuant to *IC 5-14-3-4(a)(4): Records containing trade secrets* and/or *IC 5-14-3-4(a)(5): Confidential financial information*, as indicated below. We have distinctly marked the exempt items in the redacted versions of our clarification response. Also included in the table are the document, section or exhibit, and page number as well as the applicable APRA exemption that applies an explanation of the impact.

For ease of viewing, we have assigned letters to our explanatory categories, defined as follows.

| Reason Category | Redaction Justification |
|-----------------|--|
| A. Personnel | Maximus performs in an intensely competitive environment. Our employees and our company's ability to organize and manage projects constitute some of our most valuable corporate assets. Our project organizational structure has been developed through numerous projects over many years. As for the specific employees' names, roles, and responsibilities, Maximus cannot afford to have our competitors poach our best employees. Such a result could also have a negative impact on projects. As such, the personnel information constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy. |

| Reason Category | Redaction Justification |
|------------------------|--|
| B. Innovations | <p>These innovations are not available to the public; rather they are used internally by Maximus in the management and operations of our government projects. Some of these innovations involve the products of third-party vendors, and the innovations embody our intimate knowledge of the structure and operation of large government projects. The materials are protected by the trademark and copyright laws, and Maximus is careful to maintain the confidential and proprietary nature of the product. Because these innovations have been developed and modified over the years to reflect the evolving nature of such government programs, permitting a competitor to understand their functionality would also reveal the Maximus approach to managing government projects of this type. As such, the information regarding innovations constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy.</p> |
| C. Technology Approach | <p>This is not simply information that relates exclusively to a particular circumstance, but it represents the methods and approaches employed by Maximus in conducting business. One of the key elements that differentiate Maximus from our competitors is our ability to begin operations rapidly and to ensure a smooth start-up or transition of operations from the state or from a previous contractor. The technology approach reflects our thorough understanding of such government programs and has been developed at substantial expense over many years of government service. Additionally, Maximus describes methodology to externally host and meet security & audit requirements. Sharing how and where Maximus hosts could indirectly disclose Maximus financial investment and cost. The tools and methodologies included in this section are solutions for which Maximus has expended considerable time, effort, and expense. This information is a trade secret because it presents a "formula, pattern, compilation, program, device, method, technique or process" created by Maximus and used in its business. The information presented as part of this section is not necessarily unique to this proposal. However, it reflects many of the technical processes that Maximus undertakes for similar projects, a process that Maximus has and will continue to employ in similar procurements across the country. Therefore, the information is not related to a single event but is part of "a process or device" developed by Maximus at its sole expense, and used continuously in its business. As such, the technology constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy.</p> |

| Reason Category | Redaction Justification |
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| D. Corporate Management, Business Practices, or Policies, including staffing levels | <p>The policies and procedures set forth in the proposal constitute a step-by-step description of the detailed procedures employed by the company in implementing and operating a government project. These business rules embody how Maximus conducts our business and set Maximus apart from all other competitors in this market. This compilation of information describes and represents unique approaches to the provision of such services that sets Maximus apart from its competitors and provides the state with a distinct and superior system to meet the needs of our client population. The disclosure of Maximus project organization and detailed staffing plans, considered by Maximus to be a trade secret and confidential commercial information, could result in irreparable competitive harm because it would allow competitors to compare their organizational and staffing procedures to those developed by and unique to Maximus, and to use the resulting information as the basis for changing/improving their own plans to be more competitive in future similar procurements. Disclosure of Maximus' methods and techniques for estimating, assigning and controlling resources would also allow competitors to significantly and unfairly further such companies' competitive position in future procurements.</p> |
| E. Contractors | <p>Maximus contends that the identity of its contractors is a trade secret and confidential commercial information that is not disclosed to third parties. Maximus has expended substantial time and effort in selecting certain partners that contribute their services to its proposed solution. Therefore, the inclusion of the contractors along with the descriptions of the Maximus solution provides insight into our methodology in compiling those components into our overall proposed solution, and gives Maximus a significant competitive advantage in this procurement and future procurements. As such, the contractor information constitutes a trade secret, which would provide economic value to our competitors and substantial competitive harm to Maximus if disclosed. The trade secret information in this section is not readily known or readily ascertainable by proper means and is subject to commercially reasonable efforts and protective measures to maintain its secrecy.</p> |
| F. Cost and Cost Proposal Narrative | <p>The proposal includes a detailed narrative regarding how Maximus calculates fees and pricing assumptions. The Maximus solution includes distinctive pricing methods, specifications, and capabilities that have enabled Maximus to compete successfully with its competitors. Maximus devotes substantial time, efforts, resources and ingenuity to differentiate itself by offering unique and innovative services, capabilities, and delivery methods, and distinctive pricing methods and options. Even slight distinctions between Maximus and its competitors in these areas can be decisive in a government agency's selecting one company over its competitor. Competitors could also use the proprietary and confidential information, including the assumptions underlying the Maximus pricing structure, to attempt to undercut Maximus pricing and to unfairly make comparisons to prospective customers about Maximus pricing model. Even those portions of the proposal that alone and in the abstract would not necessarily constitute proprietary information, when strategically combined in the proposal, constitute a valuable, unique, and proprietary compilation. Maximus would be economically disadvantaged within the government outsourcing marketplace if the confidential financial information listed in this section is disclosed, particularly if used by our competitors who may obtain economic value from its disclosure and/or use. The confidential financial information in this section is not readily known or readily ascertainable by proper means and is subject to reasonable efforts and protective measures to maintain its secrecy.</p> |

| Document | Section /Page | APRA Statutory Exemption | Explanation |
|-------------------------|---------------|--------------------------|-------------|
| Clarification Response | 1 – 1 | Trade Secret | D |
| Clarification Response | 1 – 2 | Trade Secret | C, D |
| Clarification Response | 2 – 2 | Trade Secret | A, B, D |
| Clarification Response | 2 – 3 | Trade Secret | A, B, D |
| Clarification Response | 3 – 3 | Trade Secret | A, D |
| Clarification Response | 4 – 4 | Trade Secret | A, D |
| Clarification Response | 5 – 4 | Trade Secret | C |
| Clarification Response | 6 – 4 | Trade Secret | D |
| Clarification Response | 6 – 5 | Trade Secret | D |
| Clarification Response | 7 – 5 | Trade Secret | C |
| Clarification Response | 9 – 7 | Trade Secret | C |
| Clarification Response | 9 – 8 | Trade Secret | C, D |
| Clarification Response | 10 – 8 | Trade Secret | C |
| Clarification Response | 10 – 9 | Trade Secret | C |
| Clarification Response | 11 – 9 | Trade Secret | B, C, D |
| Clarification Response | 11 – 10 | Trade Secret | B, C, D |
| Clarification Response | 11 – 11 | Trade Secret | B, C, D |
| Clarification Response | 11 – 12 | Trade Secret | B, C, F |
| Clarification Response | 12 – 13 | Trade Secret | A, B, D |
| Clarification Response | 12 – 14 | Trade Secret | A, B, D |
| Clarification Response | 13 – 14 | Trade Secret | D |
| Clarification Response | 14 – 14 | Trade Secret | F |
| Clarification Response | 14 – 15 | Trade Secret | F |
| Vol. 3 Cost Assumptions | Pages 1-2 | Trade Secret | F |

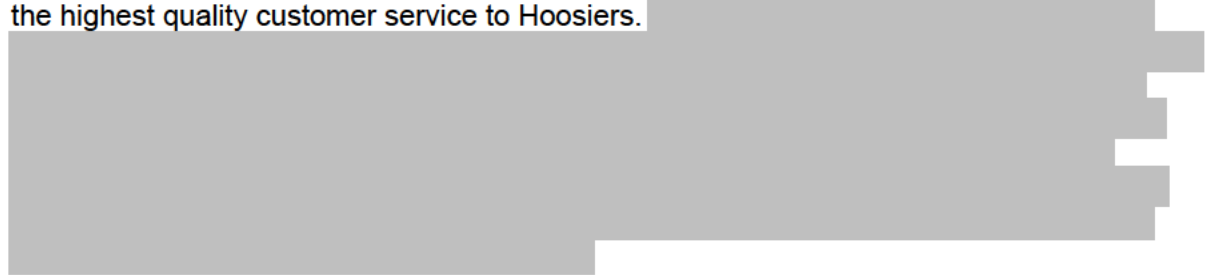
Sincerely,



Charlie K. Sweeney
Vice President of Contracts – Legal Counsel
Maximus US Services, Inc.


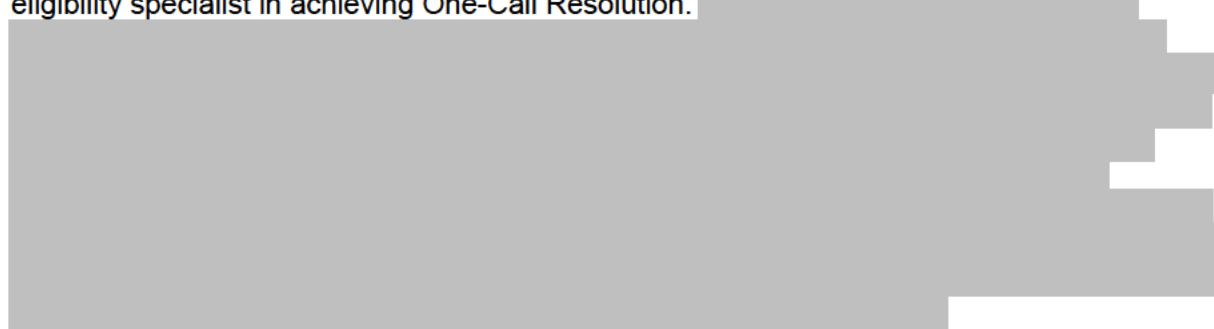
1. If you are the selected contractor, what practices will be put in place to ensure One-Call Resolution?

One-Call Resolution provides comprehensive responses to Hoosiers seeking critical benefits. Maximus developed our solution to engrain One-Call Resolution in every interaction. Maximus uses a multi-strategy approach to resolve client concerns in a single call to provide the highest quality customer service to Hoosiers.



Once we identify and hire the right staff, training is the next critical component to resolving client questions in a single call. Training involves two elements. The first is the technical training to understand Medicaid, TANF, and SNAP and how to process all case tasks. The companion part of training guides eligibility specialists on how to provide excellent customer service and it covers elements such as cultural diversity, working with the elderly and disabled, and how to de-escalate calls.

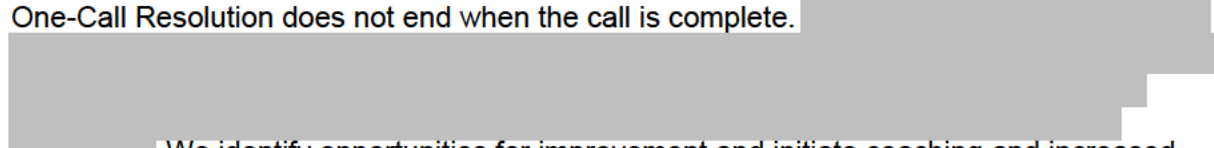
When taking calls, Maximus recognizes that scripting also plays a key role in directing the eligibility specialist in achieving One-Call Resolution.



Our leaders encourage this inclusive and open culture at all project levels to support communication and drive excellence.

At the end of each call our scripting will instruct the eligibility specialist to confirm with the client that all questions or issues were resolved and note the resolution in the eligibility system for reporting purposes.

One-Call Resolution does not end when the call is complete.



We identify opportunities for improvement and initiate coaching and increased monitoring as needed with eligibility specialists until One-Call Resolution is achieved.



[REDACTED]

Additionally, Maximus will use call data to identify potential reasons why One-Call Resolution was not achieved. A review of incoming phone numbers can identify when a phone number is repeatedly calling. When a number is identified, the call recordings can be pulled and reviewed by the quality team to determine the root cause and address any gaps or deficiencies as outlined above that resulted in One-Call Resolution not occurring.

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2. On page 42 of your Technical Proposal, you state "We will perform more than the required two tasks per FTE per month prior to the submission of the completed tasks to the State, enabling us to find and correct issues before submitting them." Can you clarify exactly how many anticipated reviews will be completed per ES? How will you ensure that you will have enough staff to conduct more than two reviews per ES? Can you provide further explanation on the different ES levels, roles, and responsibilities between the tiered roles?
-

Quality Team

When launching a new operation or program, Maximus regularly conducts enhanced quality oversight (particularly at the outset of the program) to ensure that every component of our operation is functioning according to program expectations as well as to validate that we have the data necessary to provide regular, detailed feedback to our staff. Our quality program is meant to catch errors before they result an incorrect eligibility determination and to limit work needed by State Eligibility Specialists.

[REDACTED]

[REDACTED]

[REDACTED]

Eligibility Specialists

Maximus has purposefully designed our staffing model to create viable, long-term career paths for our entire team. Our staffing structure forms a ladder that offers additional opportunities for skill development, leadership, and additional compensation as staff gain

more experience and take on more responsibility. We employ this approach because of the tremendous improvement in employee satisfaction and engagement that it has driven across our operations over the years. This encourages our staff to take ownership of their careers, and of the services that they are providing our clients, and positively impacts attrition metrics for our projects. Our model offers numerous opportunities and incentives for staff to develop new skills and move into more specialized and impactful roles. We recognize that the Indiana Eligibility Operations project does more than connect Hoosiers to the services they depend upon—it provides sustainable employment for 1,000+ individuals and families in Indiana.

Maximus takes responsibility for the well-being of our staff, and our solution is designed to offer careers, not just jobs. The career progression ladder we have designed, from eligibility specialist to advance to more specialized roles (benefit recovery and appeals), offers clear-cut, accessible avenues for career advancement and growth, as demonstrated [REDACTED]

| [REDACTED] | |
|------------|------------|
| [REDACTED] | [REDACTED] |
| | [REDACTED] |
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| | [REDACTED] |
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| | [REDACTED] |
| | [REDACTED] |

3. Will the CCC Operations Manager, who appears to be currently involved in a different engagement, relocate to Indiana if awarded this contract?

If Maximus is awarded this contract, [REDACTED]

4. Will the Project Director, who appears to be currently involved in a different engagement, relocate to Indiana if awarded this contract?

If Maximus is awarded this contract, [REDACTED]

5. In Section 7.1.1 of your Technical Proposal on page 215, you describe Verint WFM as a tool that “provides live monitoring of combined back-office tasks and call center activity...We can then assess areas where we may need to adjust staffing assignments and schedules...” Can you explain how you will rapidly adjust staffing to address shifts in call volume?

[REDACTED]

6. On page 233 of your Technical Proposal you respond, “We build staff incentives around quality goals and emphasize the importance of quality outcomes...” How do you establish quality standards for monetary incentives and bonuses based on quality performance not performance volume (i.e., completing the most calls/tasks without quality considerations)?

Maximus designs employee rewards around contract goals and quality outcomes and not around performance volume.

1. **Introduction**
 2. **Background**
 3. **Methodology**
 4. **Results**
 5. **Conclusion**
 6. **References**
 7. **Appendix**
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[REDACTED]

We will work, in conjunction with DFR, to align our goals, expectations, and staff incentives to drive quality outcomes.

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7. In your Technical Proposal on page 23 you state "Our virtual assistant chat bot allows clients to find answers to FAQs 24 hours a day, seven days a week, freeing up eligibility specialists to spend time assisting those with more complicated requests." Is it the expectation that all State-owned eligibility systems would be online on weekends and State holidays for this to function?
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- [REDACTED]
- [REDACTED]
- [REDACTED]
-
8. Please provide more detail on how you envision developing a formal process for handling complaints, grievances, and fair hearing requests, especially considering appeal timing considerations. In your answer, please note what would be considered a complaint or grievance, and how you would distinguish a complaint/grievance from a fair hearing request?
-

Based on our eligibility experience, Maximus understands that differentiating between a complaint, grievance, and a fair hearing is of critical importance due to the timeframe requirements associated with each process as well as the need to provide an appropriate outcome to the client.

It has been Maximus' experience that our state partners use the Centers for Medicare & Medicaid Services (CMS) definitions noted below when differentiating among a complaint, grievance, or fair hearing.

- Complaint: Verbal or written communication of dissatisfaction and the issue presented can be resolved immediately
- Grievance: Verbal or written communication of dissatisfaction and the issue cannot be resolved at the time of complaint was filed
- Fair Hearing: When a client wishes to appeal a decision that denies, suspends, reduces, or stops existing coverage or a failure to act upon application for eligibility

We understand that Indiana may have different definitions and we will coordinate with DFR to fully comply with State-specific policy and procedures.

We will train our staff to understand that differentiating between the categories of complaint, grievance, and fair hearing is as critical as their timely resolution. We will establish training and detailed procedures for our staff to follow so that regardless of how a complaint, grievance, or fair hearing is received it is handled correctly and timely. Our procedures are designed with the client as a central focus.

At a high level, our intake process will begin by gathering all issues and concerns from the caller and entering the information into the state eligibility system. Our staff will attempt to resolve or de-escalate the issues or concerns presented and provide education to the caller on determinations, program policies and/or processes as needed. This will allow us to elevate the client experience and deliver added operational value to DFR by having fewer complaints, formal grievances, and labor-intensive appeals.

If the eligibility specialist cannot satisfactorily resolve the issue at the time of the call, he or she will classify the call according to State policy. The team will identify and triage the issues to ensure the appropriate process and timeframes are adhered to.

For complaint handling, we will follow proven processes that we successfully use in multiple call centers:

- An RCC supervisor will handle client complaints and will document the issue in IEDSS, including any actions taken to resolve the issue.
- We will notify DFR of the complaint and email a full report to the DFR Executive Office email address no later than one business day of the client complaint.
- DFR will have access to complaint reporting data that we receive from Cognos to show all client complaints that resulted in disciplinary action or remedial training of RCC staff.

Maximus will also help DFR accurately adjudicate appeals from clients and applicants contesting eligibility and benefit-status decisions by the State using the following process.

- Upon receipt of the appeal request, the eligibility specialist will perform a case review to verify if the eligibility determination was correct and compile the necessary information and documentation to support the determination.
- The eligibility specialist will then contact the appellant to arrange for a pre-hearing conference during which we will discuss the client's issues and explain the various factors that drove the eligibility decision.
 - If appropriate, we will offer the client alternative means to resolve their issue, such as reapplying or applying for a different program. In many cases, we may be able to resolve the client's concerns through education and clear articulation of all relevant eligibility factors that were applicable to the client's individual circumstances.
 - If we can successfully mitigate the appeal, our eligibility specialist will document the details and outcome of the pre-hearing conference in IEDSS.
 - If the client would still like to move forward with an appeal, our eligibility specialist will outline the appeals and hearings process, including processing timeframes and what is required from the client.
- The eligibility specialist will explain that all appeal requests must be submitted in writing via mail, fax, or hand delivery to a Local Office, and that the request must be received within 33 days from the date of the action or issue being appealed.

- Eligibility specialists will administer all hearings and appeals processes in accordance with the following requirements:
 - Receive and examine all appeal requests and update the system within two business days of receipt of request.
 - An eligibility specialist will thoroughly examine each case to verify that appeals requests are received less than 33 days after an eligibility decision.
 - If the appeal arrives less than 33 days after an eligibility decision, staff will reinstate benefits, per client request, by the effective date of the adverse action, pending approval of continued benefits by a SEC.
 - Verify the accuracy of all information, correct any errors and deficiencies, forward the appeal to the State Hearings and Appeals Office, and send notice to the client acknowledging receipt of the appeal and, if necessary, a statement indicating the hearing date.
 - Research and compile all necessary information to develop evidence packets. This will include collecting screenshots, documents sent to and received from the client, and notes from the Maximus-facilitated pre-hearing conference(s), into a single PDF document to support the fair hearing.
 - The eligibility specialist will gather and organize information for evidence packets making certain that the documentation includes the dates of all relevant contacts and transactions, recheck eligibility requirements, and conduct pre-hearing conferences within 10 days of receipt of the hearing request.
 - Present the State's case at any hearing.
 - Once a decision is issued, we will update the case file and enforce any actions within five business days.
 - If the eligibility specialist discovers that an incorrect adverse action occurred to an individual's eligibility or benefits status, they will immediately take corrective measures to address the issue.
 - The appellant and the State Hearings and Appeals Office will be promptly notified in writing that the incorrect action is being withdrawn or rescinded

RCC hearings and appeals eligibility specialists will schedule, facilitate, and participate in all hearings by telephone. Our detailed workflow processes are depicted in Exhibit G.4.0.3-1: Process for Hearings and Appeals, Step 1 and Exhibit G.4.0.3-2: Process for Hearings and Appeals, Step 2 on pages 4-14 and 4-15 of our proposal response.

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9. On page 180 of your Technical Proposal, Exhibit G.4.7-1 shows a Policies and Procedures Lead, as well as Policies and Procedures Associates. Given that the State will manage policies and procedures, what role will this group of individuals play?
-

Maximus understands that the State will create and manage all policies and procedures and that anything created by the Maximus team will require review and approval by DFR prior to use on the project.

■

- [REDACTED]
 - [REDACTED]
 - [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

10. Please state all the responsibilities of your training unit. Please demonstrate how their work and responsibilities will not overlap with the State's existing training program and staff responsibilities.

The DFR State Training Director oversees and dictates all training for eligibility support services. As part of this role, they manage State training staff and content developers as well as all aspects of the Training Contractor, including management of the contracted Training Managers, trainers, and content developers. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

11. For each system and/or tool mentioned in your proposal, please respond to the following:

[REDACTED]

[Redacted]

| [Redacted] | [Redacted] | [Redacted] | [Redacted] |
|------------|------------|------------|------------|
| [Redacted] | [Redacted] | [Redacted] | [Redacted] |
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[Redacted]

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- c. Will the system/tool interface with existing State systems (e.g. CODY, IEDSS, iLMS, etc.)? Will the system/tool deployed by you be used in lieu of existing State infrastructure?
-

Given our long-standing ties in Indiana and our understanding of the State's priorities, we designed our systems to operate as independently as possible. In *Exhibit 3: Maximus-Provided Systems and Tools* and *Exhibit 4: Pilot Projects to Enhance Operations and the Client Experience*, Maximus provided information on the interface needs for each of our proposed systems. We would note that most of our proposed systems can operate on a standalone basis.

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- d. Will there be a test or pilot period to ensure the system or tool is beneficial to the State's operations?
-

Maximus regularly deploys the proposed systems in our projects and follows a defined implementation process including rigorous testing. We will work collaboratively with DFR to agree on the expected parameters for operational readiness and will demonstrate the functionality of each of the systems included in our proposal.

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- e. Will there be a cost to the State?
-

[REDACTED]

[REDACTED]

-
- f. If the State elects to not adopt your system and/or tool, do you have a backup plan for meeting the RFP requirements? If so, please describe.
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[REDACTED]

-
12. Can you identify and/or confirm the individuals who will be serving in Key Staff roles (including RCC Supervisors/Managers, CCC Supervisors/Managers, HR Lead, Quality Assurance Team, CCC Operations Manager, and Facilities Lead)?
-

As requested in RFP Attachment G - Technical Proposal Instructions, Personnel – D, we provided a breakdown of our key project personnel in our organization chart in Exhibit 4.5.1-2, page 4-108 of our proposal response. We also provide our organization chart below in *Exhibit 5: Comprehensive Indiana Eligibility Operations Organizational Chart*.

MAXIMUS®

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13. Will your staff need to use their Paid Time Off by the end of the calendar year or will it continue to accrue? If the former, how do you ensure there is no disruption in service at the end of the year?

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14. Cost Proposal Clarification: Attachment D – Cost Proposal has been updated to better reflect RCC operations and the hours typically worked by an Eligibility Specialist. A new version is attached. The formulas in Table 3 of the Proposed RCC Costs tab have been updated to multiply the Fully Trained ES rate and minimum / maximum staffing requirement by 1,920 hours instead of 2,080 hours. Please update your Attachment D – Cost Proposal in accordance with this assumption. Please note that this assumption may also affect your Transition Costs and Staffing Table. If necessary, please resubmit Attachment G1: Staffing Table.

