

## SERVICE LEVEL AGREEMENT (SLA) REQUIREMENTS

### ATTACHMENT 6

The State seeks to ensure that the selected vendor has a comprehensive Service Level Agreement (SLA) that defines performance expectations, service standards, and accountability for the services provided under this contract. The use of Key Performance Indicators (KPIs) are referenced in the SLA below as they are required CMS data elements that must be supported by the offeror's solution. The SLA provided by the offeror must align with the project scope and requirements outlined in this RFP.

The SLA will not be used as part of the proposal evaluation process but will serve as a basis for future contract negotiations and vendor accountability. The final agreed upon SLA will be incorporated into the contract. The highest ranked offeror will be required to provide their SLAs in accordance with the below requirements within one business day of request. The SLA will be reviewed during contract negotiations.

**Table 1. SLAs**

ID	SLA Name	Phase
<b>SLA-001</b>	Data Quality	Operations
<b>SLA-002</b>	Solution Availability	Operations
<b>SLA-003</b>	Privacy and Security	Operations
<b>SLA-004</b>	Operations Issue Management	Operations
<b>SLA-005</b>	EVV Solution Enhancements	Operations

**Table 2. SLA Terms and Definitions**

SLA-001: Data Quality	
<b>Description</b>	Data Quality Service Level is defined as the overall utility of the dataset(s) as a function of the ability of its qualitative and quantitative variables to be easily and accurately processed and analyzed.
<b>Performance Standards</b>	Alaska must report KPIs on key EVV compliance data elements to CMS on a quarterly basis. This compliance data located in the EVV solution must be accurate, easily accessible, and easily analyzed by the State. If the State fails to meet the quarterly KPI reporting requirements and timeframes to CMS, corrective action may be enforced against the State.
<b>KPIs – Reporting</b>	<p>The offeror’s solution must support the State’s requirement to obtain the following EVV compliance KPI data to accurately compile and report timely to CMS:</p> <ol style="list-style-type: none"><li>1. KPI 1: The number of paid claims using an EVV solution and captured as a qualified event, as a percentage of total paid claims in the designated period.</li><li>2. KPI 2: The number of paid claims (visits) that were verified against authorizations for the provider, client, services and units in the Medicaid enterprise system prior to payment, as a percentage of the total paid claims (visits) for PCS and HHCS.</li><li>3. KPI 3: The number of EVV records for verified visits with have no manual edits against the number of EVV records for verified visits received.</li></ol>
<b>Compliance and Calculation</b>	<ol style="list-style-type: none"><li>1. Provide suggested remedies for failure to meet this performance metric due to offeror solution data quality or access issues, including service credits, penalties, or other corrective measures.</li></ol>

## SLA-002: Solution Availability

### Description

The Solution Availability Service Level is defined as when the solution and the aggregator can perform its required functions. The system is considered up if the required data elements can be captured and providers can get the data to the state through alternate methods. Scheduled downtime for system maintenance during off-peak hours is not included in the calculation of solution availability.

### Performance Standard

The EVV Solution shall be available to end users 99.5% of the time, 24 hours a day, seven days a week, excluding EVV Solution approved planned downtime.

### KPIs – Reporting

Alaska must report on KPI 4 to CMS on a quarterly basis.

- KPI 4: Performance % = [Uptime outside of scheduled maintenance] ÷ [Minutes in the quarter not including scheduled maintenance] X 100

### Compliance and Calculation

1. Provide suggested remedies for failure to meet agreed upon performance metrics, including service credits, penalties, or other corrective measures.

## SLA-003: Privacy and Security

### Description

The Privacy and Security Service Level is defined as ensuring appropriate safeguards of electronic protected health information and personally identifiable information are implemented and maintained.

### Performance Standards

The EVV Vendor shall provide notification to DOH within twenty-four (24) hours following the identification of any data security incident. Reporting shall detail all actions taken concerning the incident, including the type of incident, the current status, and any potential impact(s).

### KPIs – Reporting

Alaska must report on KPI 5 to CMS on annual basis. The offeror is required to report to the State the following:

1. KPI 5:
  - a) A recent penetration test report and security and privacy controls assessment report (SAR). A penetration test must accompany a SAR to ensure the effectiveness of its baseline controls implementation (NIST SP 800-171 tailored controls or NIST SP 800-53 tailored controls).
  - b) Independent, third-party security and privacy controls assessment report that covers compliance with 1) NIST SP 800-171 and/or NIST SP 800-53 standards and all relevant controls in HIPAA; 2) aligning Health Care Industry Security Approaches pursuant to Cybersecurity Act of 2015, Section 405(d), and 3) the Open Web Application Security Project Top 10. Risks should be identified using NIST SP 800-30 Revision 1. The third-party audit should include, but need not be limited to, a penetration test, a review of all HIPPA compliance areas: user authentication; information disclosure; audit trail; data transfers; and information on correct data use (role-based testing of use). The audit should cover adequate audit trails and logs (ID, access level, action performed, etc.). Audit should also cover encryption of data at rest, in audit logs, and in transit between workstations and mobile devices (where applicable), to external locations and to offline storage.

### Compliance and Calculation

1. Provide suggested remedies for failure to meet agreed performance metrics, including service credits, penalties, or other corrective measures.

## SLA-004: Operations Issue Management

### Description

Operations Issue Management Service Level is defined as the approach, policies, and procedures used by the offeror to manage issues with the solution as they occur.

### Performance Standards

1. Provide descriptions of the priority levels of issues used by the offeror for performance monitoring.
2. Provide defined metrics for response times for each defined priority level.
3. Provide a description of the offeror's issue escalation procedures.

### KPIs – Reporting

1. Report quarterly to the State:
  - a) Previous quarter's overall performance to include issue resolution as measured against the agreed upon metrics.
  - b) Issue Report for previous quarter's priority level issues to include:
    - Affected area of the solution
    - Date of report
    - Date of issue
    - Reference number
    - Issue start time
    - Issue end time
    - Issue type
    - Impact severity
    - Detailed description of the issue
    - Description of the immediate resolution
    - Description of the permanent resolution
    - Party responsible for the resolution

### Compliance and Calculation

1. Provide suggested remedies for failure to meet agreed performance metrics, including service credits, penalties, or other corrective measures.

## SLA-005: EVV Solution Enhancements

### Description

The EVV Solution Enhancement Service Level is defined as the offeror's documented response approach/plan for handling any enhancements to the EVV solution. The offeror should notify the State of any EVV solution enhancements.

### Performance Standards

1. Notify the State of planned EVV solution enhancements including a summary of each enhancement with planned release at least fifteen (15) days date prior to beginning development of each enhancement.
2. Notify the State of EVV Solution Enhancement testing results in the test environment at least fifteen (15) days prior to release to production.
3. Notify and provide release note documentation, user guides, and training materials to EVV Solution participants and the State and solution users at least thirty (30) days prior to release.
4. Notify the State of any reported issues with the EVV solution enhancements within 24 hours of identification.

### Compliance and Calculation

1. Provide suggested remedies for failure to meet agreed performance metrics, including service credits, penalties, or other corrective measures.

### SPECIAL NOTES:

- The SLA provided by the offeror must align with the project scope and requirements outlined in this RFP.
- **The submission of an SLA is a mandatory requirement for the offeror selected for the negotiation phase.**
- The final SLA will be negotiated with the selected vendor and incorporated into the contract as a binding document.