

AMENDMENT

It is agreed by and between the State of Vermont, Department of Vermont Health Access (hereafter called the "State") and Capitol Health Associates, LLC (hereafter called the "Contractor") that the contract on the subject of personal services demonstrating and refining a clinician-centered approach to building Health Information infrastructure, effective December 7, 2012, is hereby amended effective April 1, 2015, as follows:

1. The third paragraph in the standard Contract for Personal Services is amended to read as follows to increase the maximum contract amount:
3. **Maximum Amount.** In consideration of the services to be performed by the Contractor, the State agrees to pay the Contractor, in accordance with the payment provisions specified in Attachment B, a sum not to exceed \$888,300.00
2. **By adding to Attachment A (Specifications of Work to be Performed) Tasks 6 and 7, resulting in the following Attachment A :**

ATTACHMENT A SPECIFICATIONS OF WORK TO BE PERFORMED

The purpose of this contract is to deliver intensive project management for the State's project to establish reliable transmission of accurate healthcare information from electronic medical records (EMRs) and other health information sources, through Vermont Information Technology Leaders (VITL) Vermont Health Information Exchange (VHIE) or directly into the Blueprint (Covisint/DocSite) clinical registry. The measure of success of these complex "Sprint" processes is the achievement of error-free transmission and reporting of actionable information as demonstrated through a specific attestation by the local end users.

As directed and approved by the Blueprint Executive Director and/or designated Assistant Director(s), the Contractor will provide technical and functional consulting services related to discovery and pre-work related to the State's proposed source code license purchase for DocSite and migration of the system to a State-designated hosting environment. Additionally, the Contractor will provide expert technical and functional evaluation and consultation on an interface engine to feed data into the State's instance of DocSite.

Contractor shall ensure work will be performed by Katie McGee and Hans Kastensmith of Capitol Health Associates and that, as approved by the Blueprint Executive Director and/or designated Assistant Director(s), a subcontract with MDM Technologies, LLC, will be put into place for the provision of technical consulting services related to the proposed DocSite migration project, inclusive of services provided by Dave McCormack. Any proposed staffing changes of resources named above by the Contractor or the Subcontractor must be submitted in writing to the State and are subject to review and approval by the Blueprint Executive Director and/or designated Assistant Director(s).

The Contractor agrees to complete the following tasks:

Task 1: Program Management

This task pertains to expert consultation on the overall Health Information Technology (HIT)/Health Information Exchange (HIE) strategy and operations for the State of Vermont performed by the Principal of Capitol Health Associates, LLC, Hans Kastensmith, at a rate of \$200 per hour, and inclusive of major stakeholders and projects as requested by the Blueprint Executive Director.

Program Managers shall provide high-level oversight of and recommendations related to statewide data quality work (“Sprints”) in coordination with the primary Sprint project leader (Katie McGee), and expertise and input on other related initiatives and projects may be requested at the discretion and direction of the Blueprint Executive Director.

As directed and approved by the Blueprint Executive Director and/or designated Assistant Director(s), the Contractor shall also direct the work of the Subcontractor, MDM Technologies, related to expert technical consulting services to support discovery and pre-work of the proposed DocSite migration project.

Deliverables:

1. Involvement in HIT/HIE strategy and operations meetings as requested by the Blueprint Executive Director, examples of which may include:
 - a. Weekly check-in/status update meeting with Blueprint Executive Director and/or designated Assistant Director(s)
 - b. DVHA/VITL Quarterly Grant Review meetings
 - c. Weekly Blueprint analytics meetings
 - d. Analytic and Evaluation Workgroup meetings
2. Leadership of Sprint Management Team for prioritizing and coordinating statewide data quality and connectivity efforts
3. Any proposed staffing changes of named resources by the Contractor or the Subcontractor must be submitted in writing to the State and are subject to review and approval by the Blueprint Executive Director and/or designated Assistant Director(s)
4. The Contractor shall develop and submit program reports monthly that include the following information:
 - a. Programs/initiatives on which consultation services were provided
 - b. Actual hours spent on each program/initiative included in the report
 - c. High-level summaries of advisory expertise given on these programs/initiatives
 - d. Dates and times of meetings attended
 - e. Anticipated next steps based on direction given
5. The Contractor shall complete and submit the above reports as required for payments from the State
6. The Contractor shall coordinate with the State to implement Tasks 2-7

Task 2: Project Management of Active Statewide Blueprint Sprints

The Contractor shall commit the necessary resources and time allotments required to perform work and continue project management of active Sprint projects to completion.

The Contractor shall complete a set of key items to outline the high-level project management tasks for each Sprint project, including a monitoring system that ensures each Sprint process contains the following components:

1. Blueprint Community Evaluation

2. Initial IT Evaluation
3. Initial Data Mapping Verification
4. Project Plan
5. First Sprint Meeting Defining Tasks and Issues
6. Weekly Progress Meetings on Continuing Work
7. Final Data Continuity and Validation
8. Sprint Completion
9. Ongoing Maintenance

Performance Measures: For Sprint projects, the Contractor shall demonstrate progress towards stated goals using a combination of performance measures as follows:

- a. Schedule Performance Measure: Project schedule status will be tracked on a weekly basis. Actual progress will be tracked against the project baseline. The actual schedule will reflect tasks as completed (100% complete), in process (50% complete), and not yet started.
- b. Earned Value Performance Measure: The Contractor will generate an earned value metric that reflects a combination of budget, schedule, and deliverable value. This metric will be updated on a bi-weekly basis with the project status report.
- c. Weekly Meetings with Blueprint staff (as needed): The Contractor will meet on a regular basis with the State's Blueprint staff to review ongoing tasks, discuss issues with tasks, and recommend modifications to ongoing activities. These meetings will ensure that the tasks are meeting the State's needs.
- d. Project Status Reporting: The Contractor will provide Blueprint Management with transparent reporting on the project on a monthly basis. Status reporting will provide both metrics-based and narrative-based information about the progress of the task. This information will serve as a secondary summary of weekly telephonic meetings on project issues.
- e. Metrics-Based Management: The Contractor will use metrics on schedule, earned value, and deliverable acceptance throughout the project.
- f. Direct Communication with End Users in Development of Deliverables: The Contractor will interface with appropriate clinicians throughout the development of deliverables. This interfacing will help to ensure greater accuracy and utility of the produced deliverables. Deliverables will be considered completed upon a satisfactory review by the State.

Deliverables: For each Sprint, the Contractor will provide the following deliverables:

1. Project plan/timeline of Sprint submitted to the State within 15 days of project start
2. Sprint Initiation document of Sprint submitted to the State within 15 days of project start
3. Agendas for and leadership of weekly Sprint project team calls
4. Attendance sheets for weekly Sprint calls
5. Weekly, bi-weekly, and monthly progress reports as indicated under the Performance Measures section above
6. Attendance at and (upon request) leadership of Sprint Management Team calls as scheduled
7. Updates to Blueprint Executive Director and Assistant Directors as requested, including proactive escalation of issues presenting obstacles to Sprint completion and requiring timely attention

Task 3: Project Management for Onboarding of New Blueprint Sprints

The Contractor shall coordinate recruitment of practices for Sprint projects, including education and outreach activities on the Sprint process both proactively and upon request. Mentoring and management of other resources on Sprint project management and data quality work, including, for example, eHealth Specialists employed by VITL or State employees, is included in this deliverable.

The Contractor will evaluate practices for Sprint readiness based on several factors, including commitment of practice to completing data quality work in a timely manner and technical capabilities of the practice's Electronic Health Record (EHR) system for connectivity to the Vermont Health Information Exchange (VHIE) network, and prioritize new Sprints accordingly as Sprint slots and required resources become available.

Once a new Sprint is onboarded, the Contractor will perform all project management activities for the Sprint while active as defined in Task 2 and bring the Sprint to closure and completion as defined in Task 4.

The provision of technical expertise to State Health Information Exchange (HIE) partners and EHR vendors on data mapping and interface connectivity, in addition to direct work with practices on data quality evaluation and remediation methods, is required for successful onboarding of new sites.

Deliverables: During the Sprint onboarding process, the Contractor will provide the following deliverables:

1. Outreach to practices interested in the Sprint process via phone calls or on-site meetings (if required and travel approved through the Blueprint management team)
2. Prioritization of practices/systems for new Sprints as project slots become available in collaboration with Blueprint Executive Director and Assistant Directors
3. Tracking of prioritized Sprint projects in the queue awaiting a project slot and communication of status and level of urgency for Sprint onboarding to HIE vendors and Blueprint management team
4. Provision of technical expertise on connectivity (interface) setup efforts and data quality remediation at the source (EHR) systems to Sprint project teams
5. Mentoring and management of other identified Sprint project leaders
6. Monthly status report related to onboarding Sprints that includes the following information:
 - a. Names of practices in the onboarding stage and outreach performed
 - b. EHR vendors involved
 - c. Coordination of resources for the onboarding, such as individuals at State HIE vendors upon whom the Contractor may depend for project completion
 - d. Obstacles encountered during the onboarding process and, if applicable, feasibility of project continuation and estimated date for Sprint slot
 - e. Time spent mentoring other Sprint project leaders and status update on their capability for this role

Task 4: Completion of Blueprint Sprints

This task involves the activities required to bring Sprints to closure and then secure the necessary sign off on data quality from community project teams upon Sprint completion.

Deliverable: Attestation of quality data, either demographic, clinical, or both, depending on the specific focus of the Sprint work, through lead clinician and Blueprint Executive Director and/or designated Assistant Director signatures acquired on the Sprint Attestation form (Appendix A)

Task 5: Involvement in Projects Supporting Data Quality Work

Given the Contractor's technical and functional expertise in data quality work related to data mapping out of EHR source systems, establishing interface connections to State HIE systems and evaluating data quality within those systems, flat file transfers, data quality reporting mechanisms, master patient index (MPI) functionality, and in-the-field practice usage of the system, the Contractor will provide support to the Blueprint management team on IT projects related to data quality work, but not specifically part of Sprints.

Examples of projects supporting data quality work that require the Contractor's involvement and expertise include, but are not limited to, the following:

- Design, requirements writing, review, user acceptance testing, and approval of items, such as the Sprint Maintenance report by Covisint, the current State vendor for the Blueprint clinical registry (DocSite)
- Project management of the CINA integration work
- Identification of duplicate patient records and assistance with remediation of these duplicates in coordination with Covisint
- Participation in strategic planning sessions for future tool selection where technical expertise of the Contractor and risk assessment is brought to bear
- Advanced project management and implementation planning for the proposed DocSite migration project

Deliverables:

1. As directed by the Blueprint Executive Director or as required for proper support of Sprint project work, the Contractor shall participate in IT projects related to data quality efforts
2. The Contractor shall submit a monthly status report related to these projects (formatted as one status report listing all projects under subheadings) that includes the following information:
 - a. Name of project based on specific work in which the Contractor is involved, i.e. "DocSite Duplicate Remediation"
 - b. Report of work performed, including but not limited to: time spent on the project, meetings attended, etc.
 - c. Coordination of resources on the project, if needed, such as individuals at State HIE vendors upon whom the Contractor may depend for project completion
 - d. Report of project's current status including but not limited to: Obstacles encountered, project successes, anticipated timeline, upcoming project plans, etc.

Task 6: Discovery Participation and Technical Consulting for State's Proposed DocSite Migration Project

The Contractor and its Subcontractor, MDM Technologies, shall, in consultation with the State, perform discovery, technical and functional requirements gathering, and other preparatory work required for the proposed migration of the DocSite system from Covisint's Savvis hosting environment to the Vermont Information Technology Leaders (VITL) hosting environment at Rackspace®.

Contractor shall consult with both Covisint and VITL to ensure thorough requirements gathering and review of delivered documentation. Contractor shall provide expert technical consulting during the planning and preparation process for a proposed migration of DocSite such that the State DocSite System continues operation at the current functional level, including, but not limited to:

- Full current state manual data entry and reporting functionality available to end users
- Full operation of filing of data from existing interfaces (both from the VHIE and via flat file)
- Readiness for onboarding of new interfaces (both from the VHIE and via flat file)
- Operational scripts for extracting full database to a usable format for analytics

Deliverables:

1. In consultation with VITL, Covisint, and the State, Contractor shall provide the technical expertise and consultation services required to execute a successful migration of DocSite into a new hosting environment as a fully operational system within the State's timelines.
2. Based on input from Covisint, consult with VITL on specifications required for the DocSite hosting environment in Rackspace® to ensure its successful setup.
3. Working with Covisint, request, gather, and review required documentation to ensure the successful installation of an operational instance of DocSite and migration of all of the State's data onto the Test and Production servers according to State timelines.

Task 7: Preparation for Transition and Functional Testing Support Required During Proposed DocSite Migration Project

The Contractor shall, in consultation with the State, prepare and plan for functional testing (validation) of the DocSite system as part of the proposed DocSite migration project.

As part of this process, the Contractor shall solicit input on functional test plans from manual entry users of DocSite and recruit representatives from each group for future functional testing, including Support and Services at Home (SASH), Community Health Team (CHT) staff, Self-Management Support Programs (SMSP), Tobacco Cessation Counselors (TCC), and staff from practices who use the system for reporting activities.

Based on input received, the Contractor shall write functional test plans for each manual entry user group, coordinate future testing with representatives from each program, and develop a system for tracking testing results.

The Contractor shall report to the State on the services required to assist users of the current DocSite system in transitioning to the migrated system in preparation for the State's proposed DocSite migration project, which shall the development of a communication plan, the logistics involved in delivering new user credentials, and the creation of training materials in advance for anticipated new login processes and changes to the system.

Deliverables:

1. Contractor shall prepare and plan for functional testing (validation) of the system as part of the proposed DocSite migration project.
 2. Contractor shall solicit input on proposed functional test plans from current manual entry users of DocSite and recruit representatives from these groups for future functional testing
 3. Contractor shall prepare functional test plans for each manual entry user group for review and approval by the State.
 4. Contractor shall plan future testing with representatives from each program or practice
 5. Contractor shall develop a system, subject to State review and approval, for tracking testing results and reporting of issues to appropriate parties for troubleshooting and resolution during future testing period.
 6. Contractor shall draft a plan, subject to State review and approval and report on transition support required for users during the proposed DocSite migration project
3. **Attachment B (Payment Provisions) is hereby deleted in its entirety, and the following shall be substituted in lieu thereof:**

**ATTACHMENT B
PAYMENT PROVISIONS**

The maximum dollar amount payable under this agreement is not intended as any form of a guaranteed amount. The Contractor will be paid for products or services actually performed as specified in Attachment A up to the maximum allowable amount specified in this agreement. State of Vermont payment terms are Net 30 days from date of invoice, and payments against this contract will comply with the State's payment terms. The payment schedule for delivered products, or rates for services performed, and any additional reimbursements, are included in this attachment. The following provisions specifying payments are:

1. The Contractor shall submit invoices with a current date of submission, invoice number, itemized hours and days worked, contract number and a brief summary of services performed for each entry on or by the 15th of each month for the prior month's expenses. The Contractor shall invoice the State monthly for staff time, travel and operating expenses for work associated with Tasks 1 through 7 specified in Attachment A. Invoices shall include the actual expenses incurred for each Task.
2. Monthly invoices shall be accompanied by a completed financial reporting form (Appendix B). All reports and invoices related to this contract should be submitted in electronic format to:

Natalie Elvidge
Natalie.Elvidge@state.vt.us

Miki Hazard
Miki.Hazard@state.vt.us
3. The Contractor shall be reimbursed based on actual expenses incurred and acceptance by the State of progress reports and deliverables as completed. Payment for activities under

each Task will only be issued after all monthly progress reports are received and accepted by the State.

4. All payments to the Contractor shall be based upon the State's acceptance of the deliverables outlined in Attachment A.
5. The State reserves the right to withhold part or all of the contract funds if the State does not receive timely documentation of the successful completion of contract deliverables outlined in Attachment A. Any work product deemed unacceptable by the State will be subject to revision by the Contractor based upon a remediation plan that the State and the Contractor agree upon.
6. The estimated travel budget is set at a total not to exceed \$17,500 for the entire contract term. Contractor shall immediately notify the State if travel expenses are projected to exceed this amount. The State will be billed the actual documented cost of each trip.
7. Reasonable expenses for State approved travel shall not exceed the State approved mileage and per diem rates at the time at which the expense occurred. The Contractor is responsible for submitting invoices in compliance with the current per diem and mileage rates, which change periodically. Currently these rates are as follows:
http://humanresources.vermont.gov/salary/compensation/expense_reimbursement
8. The Contractor will not be reimbursed for other expenses, including supplies, benefits, or insurance.
9. Payments and/or reimbursement for meals, lodging, airfare, training/registration and other expenses shall only be issued after all supporting documentation and receipts are received and accepted by the State. Invoices with such expenses shall be accompanied by a Travel and Expense Form (Appendix I: Required Forms).
10. The total maximum amount payable under this contract shall not exceed \$888,300.00.
11. The State shall pay the Contractor at the following rates:

Task 1: HIT/HIE and Sprint (Data Quality) Program Management

The Contractor shall invoice the State monthly up to the sum of \$10,000 up to a maximum of \$158,866.68 during the contract term for HIT/HIE and Sprint (Data Quality) Program Management activities at a rate of \$200 per hour for work completed by Hans Kastensmith.

Task 2: Project Management of Active Sprints

The Contractor shall invoice the State up to a maximum of \$255,000 within the contract period for Project Management of Active Sprints at a rate of \$150 per hour.

The Contractor shall be able to divide billable hours amongst Tasks 2, 3, and 5 on an as needed basis, as requested by the Blueprint Executive Director. The Contractor may bill for a maximum of 100 hours per month amongst the three tasks, not to exceed \$15,000 per month.

Task 3: Project Management for Onboarding of New Blueprint Sprints

The Contractor shall invoice the State up to a maximum of \$255,000 within the contract period for Project Management for Onboarding of New Blueprint Sprints at a rate of \$150

per hour.

The Contractor shall be able to divide billable hours amongst Tasks 2, 3, and 5 on an as needed basis, as requested by the Blueprint Executive Director. The Contractor may bill for a maximum of 100 hours per month amongst the three tasks, not to exceed \$15,000 per month.

Task 4: Completion of Sprints

The Contractor shall invoice the State a maximum amount of \$4,360 for each completed Sprint for up to a maximum of \$54,733.32 during the contract term. Data quality Attestation forms (Appendix A) signed by both the lead clinician for the Sprint project and the Blueprint Executive Director, or alternate delegate on the Blueprint Management team, must be submitted and approved prior to invoicing for completed sprints.

Task 5: Involvement in IT Projects Supporting Data Quality Work

The Contractor shall invoice the State up to a maximum of \$255,000 within the contract period for Involvement in IT Projects Supporting Data Quality Work at a rate of \$150 per hour.

The Contractor shall be able to divide billable hours amongst Tasks 2, 3, and 5 on an as needed basis, as requested by the Blueprint Executive Director. The Contractor may bill for a maximum of 100 hours monthly amongst the three tasks, not to exceed \$15,000 per month.

Task 6: Discovery Participation and Technical Consulting for State’s Proposed DocSite Migration Project

The Contractor may invoice the State up to a maximum of \$27,600 within the contract period for technical consultation services provided related to discovery and preparatory work for the State’s proposed DocSite migration project at a rate of \$138 per hour.

Task 7: Preparation for Transition and Functional Testing Support Required During Proposed DocSite Migration Project

The Contractor may invoice the State up to a maximum of \$9,000 within the contract period for services provided to plan and prepare for functional testing of the DocSite system and transition of current users to the migrated system as part of the State’s proposed DocSite migration project at a rate of \$150 per hour.

Budget

Contract Period (Amendments 3 – 5) Beginning June 1, 2014 ending June 30, 2015

Blueprint Sprint and Data Quality Budget Summary			
Task	Description	Unit Amount	Total Amount Budgeted
Task 1	Program Management	Maximum of \$10,000 per month	\$158,866.68
Task 2	Active Sprint Project Management	Maximum of \$15,000 per month for Tasks 2,3, and 5	\$85,000

Task 3	Onboarding New Sprints	Maximum of \$15,000 per month for Tasks 2,3, and 5	\$85,000
Task 4	Sprint Completion Incentives	\$4,360 per Sprint	\$54,733.32
Task 5	Data Quality IT Projects	Maximum of \$15,000 per month for Tasks 2,3, and 5	\$85,000
Task 6	Discovery Participation and Technical Consulting on Proposed DocSite Migration Project	Maximum of \$27,600	\$27,600
Task 7	Preparation and Planning for Transition and Functional Testing Related to Proposed DocSite Migration Project	Maximum of \$9000	\$9,000
N/A	Expenses and Travel	Actual costs per trip	\$17,500
Total Amendments 3-5 Budget June 1, 2014 ending June 30, 2015			\$522,700

This amendment consists of 12 pages. Except as modified by this amendment and any previous amendments, all provisions of this contract, (#23423) dated December 7, 2012 shall remain unchanged and in full force and effect.

**STATE OF VERMONT
 DEPARTMENT OF VERMONT HEALTH ACCESS**

**CONTRACTOR
 CAPITOL HEALTH ASSOCIATES, LLC**

STEVEN CONSTANTINO, COMMISSIONER
 312 Hurricane Lane, Suite 201
 Williston, VT 05495-2087
 Phone: 802-879-5901
 Email: Steven.Constantino@state.vt.us

DATE

HANS KASTENSMITH, MANAGING PARTNER
 P.O Box 425
 Oakton, VA 22124
 Phone: 703-622-6896
 Email: hck@americanhmc.com

DATE

Travel and Expense Form															
Grantee/ Contractor Name:						Invoice #:									
Starting Location Address:						Invoice Date:									
Grant/Contract Number:															
			Travel				Meal Expenses			Other Expenses (Receipts Required)					
Travel Start Date	Travel End Date	Description (name of meeting, reason for travel, etc.)	Starting Location	Destination	End Location	Miles	Amount	Breakfast	Lunch	Dinner	Lodging	Airfare	Training/ Registration	Other	Total
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We the undersigned do hereby certify under that the reported information is accurate to the best of our knowledge and that all requests for services and expenses were incurred while performing work for the State of Vermont. The expenses I am requesting reimbursement for are in compliance with the State of Vermont Allowable Rates and Per Diems. The State reserves the right to withhold payment if the State does not receive required documentation and receipts.															
Claimant's Signature												Date			
Current State Reimbursement Rates: http://humanresources.vermont.gov/salary/compensation/expense_reimbursement_bulletin_3.4 ; http://aoa.vermont.gov/sites/aoa/files/pdff/AOA-Bulletin_3_4.pdf															