

UMR, Inc. (UMR)  
RFP # 270-20220830TPAS  
Third Party Administrative Services  
September 28, 2022

**Request for Clarification #1**

- 1. Minimum Requirement #4:** The Plan requests UMR to confirm if the following systems listed below will be the only systems used for the purpose of collecting, storing, transmitting or exchanging the Plan’s data to perform TPA services. If not, the Plan requests UMR to provide a complete list of systems to be used for the purpose of collecting, storing, transmitting or exchanging the Plan’s data to perform TPA services.

System Name	Security Attestation Type	Initial Report Date	Bridge Letter 1	Bridge Letter 2
United Healthcare: Systems hosted in Optum's Shared Infrastructure - 10 99 eStatements Portal, ACIS (Automated Case Installation System), All Savers Portal (Adaptive Portals), Billing and Receivable Management Solution, Claim Payment System (UMR), Contact Management System (Authorized Rep Forms), EBill (UHCSB), EDI - Electronic Data Interchange (UBS), EDI Services Gateway (UMR), EEMS - Electronic Eligibility Management System, Employer eServices Portal, Enterprise Activation Messaging Platform (EAMP), eSB (OBS) - eServices Billing Online Bill Service, Exodes Application Suite, Facets (OHBS), Facets (UHOne), FMR- Field Management Reporting, HealthSafe ID UI, HealthSafe ID Admin Tool, HSS (WebStrat), ICES- Ingenix Claim Edit System Clearinghouse, ISET - Integrated Service Experience Tool, OnBase UHOne, ORS - Online Routing System, Overpayment Tracking System, Payment Systems Front-End, PRIME, PSS IVR (UMR), SAMX, SIFS- Self Insured Funding System, SPB Financial Protection Portals, TOPS - The Online Processing Systems, TRACR -Tracking and Check Receipt System, Treasury Check Data, UCAS - UNET Claim Accounting System, UDW - Unified Data Warehouse, UHC Global Portal, UHC Hearing Portals, UHC Level2 Adaptive Portal, UMR Portal, Unimerica Portal (Specialty Benefits), United CES Claims Editor (UCCE), United eServices Portal, Vision Administration System, and WAND - Workflow Automation for Non-keyable Documents	HITRUST	Mar 25 2022	n/a	n/a

**REDACTED**

- 2. Minimum Requirement #5:** UMR confirmed Minimum Requirement #5 that requires the submission of certain financial statements. The Plan requests UMR to either identify where in its proposal the Plan can find the required audited financial statements that demonstrate

UMR's financial stability or provide the required audited financial statements.

**REDACTED**

- 3. Minimum Requirement #9:** Minimum Requirement #9 requires UMR to complete and submit two (2) signed originals of ATTACHMENT G: BUSINESS ASSOCIATE AGREEMENT (BAA). The Plan requests UMR to either identify where in its proposal the Plan can find the signed BAAs or provide the completed and signed BAAs.

**REDACTED**

- 4. Minimum Requirement #10, Attachment H: HIPAA Questionnaire, Question #11:** In response to Question #11 that requires UMR to provide copies of all internal/employee-facing security policies and procedures, UMR only provided two (2) specific security policies that seem to give an overview of its security program. Therefore, the Plan requests UMR to provide copies of all internal/employee-facing security policies and procedures in order for the Plan to evaluate the sufficiency of UMR's security practices.

**REDACTED**

- 5. Minimum Requirement #10, Attachment H: HIPAA Questionnaire, Question #15, #16, #21:** UMR's response to Questions 15, 16, and 21 indicates the last HITRUST Certification occurred on April 30, 2021, and refers to three (3) documents titled:  
Optum\_2021-\_HITRUST\_CSF\_Cert.Ltr.\_1020-1574\_(Final)  
Optum\_2021-\_HITRUST\_Interim\_Letter  
UnitedHealthcare E&I 2022-HITRUST r2 Cert.Ltr.Final(2)

However, the supplemental exhibits are as follows:

UnitedHealthcare E&I 2022 HITRUST r2 Certification Letter dated March 25, 2022

Optum 2021 HITRUST Interim Letter dated April 28, 2022

UHC 2022 – HITRUST R2 Validated Assessment Rpt Final with Watermark dated March 25, 2022

The Plan requests UMR to confirm the exhibits included in UMR's submission are the intended responsive materials for the Plan's review and consideration.

**REDACTED**

- 6. Minimum Requirement #10, Attachment H: HIPAA Questionnaire, Question #22:**

UMR's response to Question #22 indicates UMR has not responded to any HIPAA complaints from the Office of Civil Rights (OCR). UMR did not respond to the number of HIPAA violations reported to OCR, including detailed information on any HIPAA violations. This information is necessary for the Plan to make a full and complete evaluation. Therefore, the Plan requests UMR to provide the number of HIPAA violations reported to OCR in the last five (5) years, the details of the violation, and include the amount of the fine incurred (if any).

**REDACTED**

7. **Minimum Requirement #10. Attachment H: HIPAA Questionnaire. Question #25:**

Although UMR provided a list of subcontractors in response to Question #24, UMR did not provide copies of the executed BAAs with these subcontractors in response to Question #25. The Plan requests UMR to provide copies of all executed BAAs with the subcontractors named in its response to Question #24.

**REDACTED**

8. **Minimum Requirement #12:** Responses to Questions 18 and 19 in RFP Addendum 1, state Vendors shall either provide wet signatures, preferably in blue ink, or digital signatures on all forms requiring signatures. A digital signature is a type of electronic signature that provides more security than a traditional electronic signature and includes a "Certificate of Completion" or "Audit Log" as documentation of the authenticity of the signatures.

The Plan requests UMR to confirm the signatures of Scott Hogan and Garland Scott on Attachments E, H, I, and J are digital and you have signature certification authorities on file.

**REDACTED**

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**Sign Clarification:**

**Offeror:** UMR, Inc.

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**Authorized Signature:**



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**Name and Titled (Typed):** Scott Hogan, President and Chief Executive Officer

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**Date:** 09/29/2022

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