Exchange IT Assessment

Phase 2A Workshop

November 23rd, 2010

Deloitte.

Workshop Agenda and Objectives

Workshop Agenda

Introductions & Workshop Objectives

HIX Assessment Project & Approach to Phase 2A

Technology Asset Profiles

- ICES
- QualCheck
- WFMS/FACTS
- AIM
- IN.gov
- HIE
- DOI (SERFF and SIRCON)

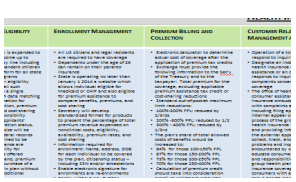
Looking Ahead to Phase 2B

Wrap Up

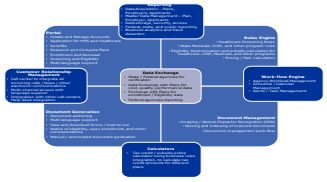
Workshop Objectives

- Review the approach for conducting the asset assessment and criteria used to profile the assets
- Present and obtain feedback regarding the asset profiles as they relate to a Health Insurance Exchange (HIX)
- Review mapping of Indiana assets to HIX requirements to develop a common view of the assets available to meet HIX requirements
- Preview Phase 2B activities and deliverables

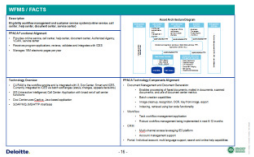
Exchange IT Assessment Project



PPACA Requirements and Considerations



Technology Operating Model



Indiana Technology Asset Assessment

Fit Gap Assessment

November – December 2010

Planning

Federal PPACA legislation passed

States must plan for implementing HIXs

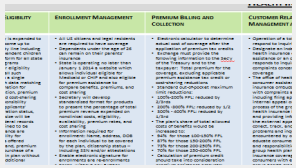
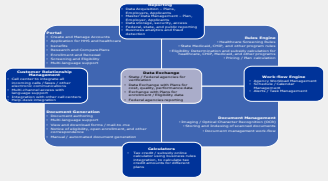
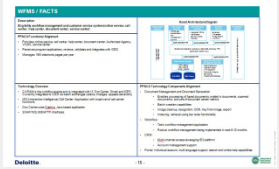
States must show adequate progress in setting up HIXs

All HIXs fully launched

HIXs must be self-sustaining

2010 | **2011** | **2012** | **2013** | **2014** | **2015 and on**

Project Deliverables

Deliverable	Description	Value to Indiana
PPACA Requirements and Considerations 	• Decomposes PPACA legislation and identifies Exchange requirements • Identifies additional functional considerations • Groups requirements into business functions • Identifies technology components by business function	Analyzes the PPACA legislation specific to the Exchange to define the business functions required to support HIX implementation and operations
Technology Operating Model 	• Illustrates technology required to support HIX business functions • Details definition and break down of each technology component	Establishes the reference HIX technology operating model that is used to perform the fit-gap analysis against existing technology assets
Indiana Technology Asset Inventory 	• Identifies relevant Indiana assets • Develops individual asset profile including assessment of functionality, scalability, reliability and other attributes	Provides Indiana with an understanding of the existing Indiana technology assets that could be leveraged to support the implementation of an HIX
Fit Gap Assessment 	• Compares existing Indiana technologies to HIX reference technology components • Identifies gaps between the current assets and the reference technology model components	Establishes the gaps and provides Indiana with a starting point for addressing and prioritizing the gaps from a technology perspective for implementing an HIX

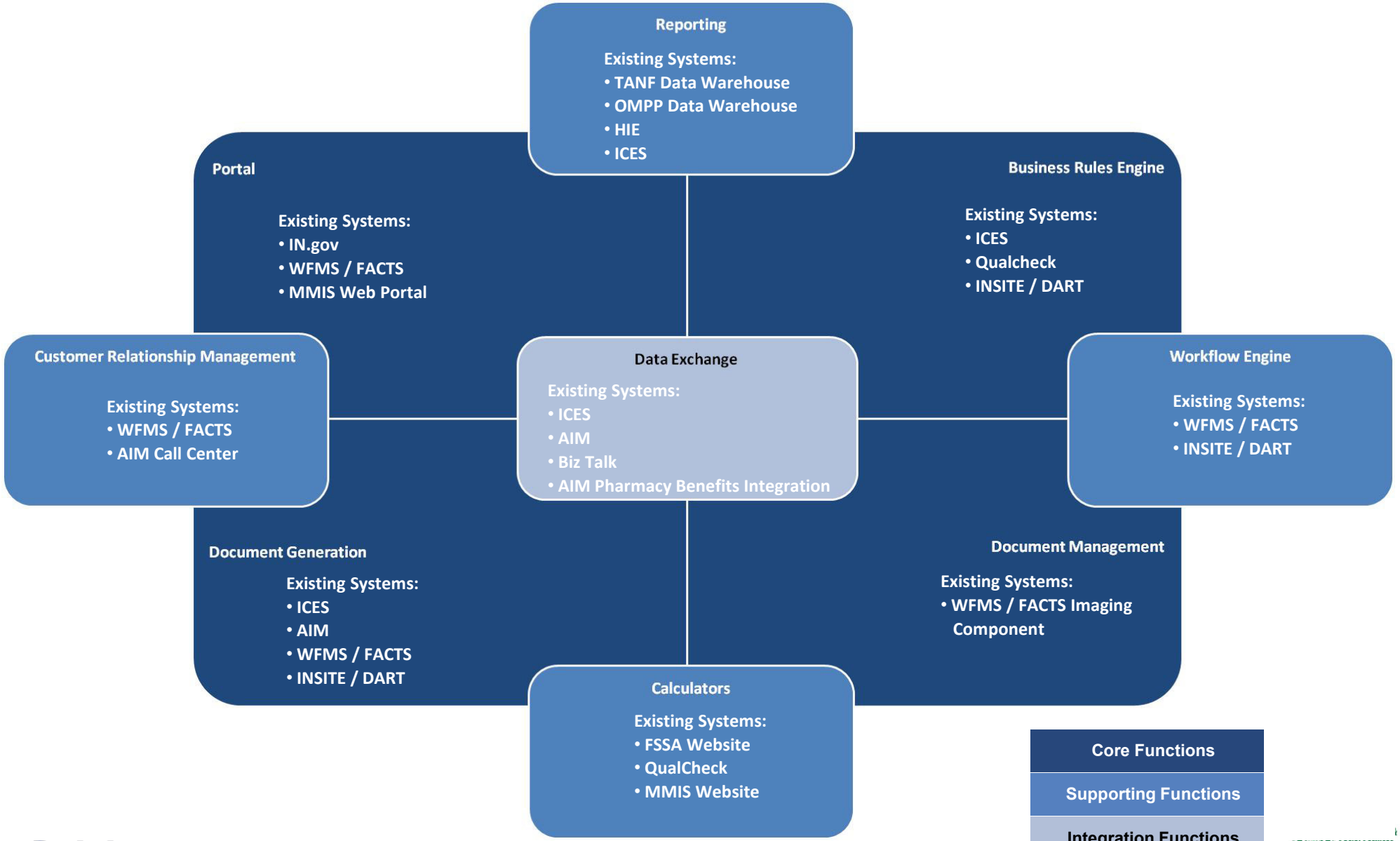
Phase 1

Phase 2A

Phase 2B

Phase 2A: Assess Existing Indiana Technology Assets

Technology Operating Model: Indiana Assets



Indiana Systems Inventory

Identified Assets

Through project discussions the following assets were reviewed:

- ICES
- QualCheck
- WFMS / FACTS
- AIM
- IN.gov
- HIE
- DOI (SERFF and SIRCON)
- AVATAR and DARMHA
- Insite and DART

Researched & Interviewed Asset Owners

- Developed interview template
- Developed assessment criteria
- Reviewed documentation and background information on asset
- Conducted interviews with asset owners and subject matter experts (SMEs)

Consolidated and Analyzed Asset Information

- Consolidated and analyzed findings against agreed upon criteria
- Determined assets with HIX functionality overlap to develop detailed profiles

Created Asset Profiles

Developed an asset profile for the following assets:

- ICES
- QualCheck
- WFMS / FACTS
- AIM
- IN.gov
- HIE
- DOI (SERFF and SIRCON)

Assessment Criteria

	PPACA Functional Alignment	PPACA Technology Alignment	Federal Guidance and Leading Technology Practices
Description	Evaluate the asset as it aligns to HIX Functional Requirements and Considerations defined during Phase 1	Evaluate the asset as it aligns to HIX Technology Components defined during Phase 1	Evaluate the asset as it aligns to technology guidance provided by the Federal government (CMS, MITA, OCIIO) and leading practices (ITIL - Information Technology Infrastructure Library)
Analysis	Focused on 11 core HIX business functions: • Outreach & Marketing • Screening & Eligibility Determination • Enrollment Management • Premium Billing & Collection • Customer Relationship Management & Support • Reporting & Performance • Plan Management • Employer Relations • Benefits & Actuarial • Program Finances • State and Federal Coordination	Focused on 9 core HIX technology components: • Portal • Business Rules Engine • Document Generation • Document Management • CRM • Reporting • Workflow • Calculators • Data Exchange	Questions were grouped based on the following areas: • In Progress and Future System Projects: Identifies projects that may need to be taken into account with HIX implementation • Reliability: Asset availability for performing business functions • Scalability: Asset ability to either handle increased user and/or transaction volumes • Security and Compliance: Asset capability for multiple levels of security and compliance with relevant regulations (HIPAA, 508 compliance, Fair Information Practices, PHI/PII) • Serviceability: Describes the ease with which the asset can be modified or configured to meet HIX requirements • Transparency and Accountability: Describes asset ability to present data to HIX users and reporting for State oversight and management of HIX

Indiana Technology Inventory

INDIANA HEALTH INSURANCE EXCHANGE TECHNOLOGY INVENTORY

HIX TECHNOLOGY COMPONENTS	IOT STANDARDS	EXCHANGE TECHNOLOGY GUIDANCE	ICES	QUALCHECK	WFMS / FACTS	AIM	IN.GOV	HIE	DOI: SERFF AND SIRCON
9 core HIX technology components defined during Phase 1 required to support HIX business functions	Current and future IOT standards	OCIIO, CMS, MITA, ITIL technology guidance and standards	State of Indiana's integrated eligibility determination system	State of Indiana's screening application for non-modernized counties and screening business rules engine for all counties	Eligibility workflow management and customer service system (online service, call center, help center, document center, service center)	State of Indiana's Medicaid Management Information System (MMIS) *Note: Blue text indicates planned functionality with new MMIS	State of Indiana's public portal for citizens and businesses	State of Indiana's Health Information Exchanges	SERFF: System for state regulators and insurers to communicate rate /form filings SIRCON: DB of record for all insurer licensing, producer licensing, education, consumer complaint and enforcement
PORTAL • INTEGRATION WITH SUPPORTING RULES ENGINE AND DATA EXCHANGE CAPABILITIES WITH STATE AGENCIES, FEDERAL AGENCIES, BUSINESSES • MULTI VIEW CAPABILITIES • SEARCH CAPABILITIES • MULTI LANGUAGE SUPPORT • ON-LINE HELP • INTUITIVE NAVIGATION • "INDIVIDUAL ACCOUNT"	• No specific standards • Use of Enterprise Content Management preferred	• System modularity and flexibility • Use of open interfaces • Exposed application programming interfaces • Separation of business rules from core programming, available in both human and machine-readable format • Level of interoperability with other State applications • Use of web services architecture / service architecture methodologies • Use of data sources and data exchange from Federal, commercial and State entities • Use of open architecture standards • Use of standard based business rules and technology neutral business rule repository **• Reliability** • Highly available system • Timely information transaction processing, including maximizing real-time determination and decisions **• Scalability** • Number of users supported by the system • Number of transactions supported by the system **• Security and Compliance** • HIPAA compliance • Section 1561 compliance • FIPS standards • Fair Information Practices • Accessibility for individuals with disabilities • PHI and PII management **• Serviceability** • Support structure and associated vendor contracts • Maintenance and deployment frequency **• Transparency and Accountability** • Provides data from a performance management, public transparency and program evaluation standpoint • Use of COTS BI functionality to support the development of new reports and to respond to queries	• No current functionality relevant to Exchange	• Integration with IN.GOV portal and provides ability to apply for benefits in addition to potential eligibility determination • Apache Web Server and Websphere Application Server	• Individual account: functionality to check on status / determinations • Multi language support • Search capabilities • Online help capabilities • Websphere Web Server • Integration with IN.gov portal	• Supports core MMIS functions • Online application for providers- provided by the vendor • Integration with IN.gov portal • Online application for providers and recipients- use of ECM	• Search capabilities using Google • On-line help • Intuitive navigation • Individual account functionality • Multi language support • Navigation and routing to external applications • Integrated with agency applications • Payment processing • Apache Web Server • Custom ECM tool used for content management	• Web functionality available to public providers	• SERFF: Web based Insurer portal • Individual account functionality • Document storage • Portal integration with IN.gov through API • SIRCON: • Web based Broker portal • Individual account functionality • Document storage • Consumer complaints management • Violations and enforcement for plans and brokers
BUSINESS RULES ENGINE • DATA ROUTING CAPABILITIES • LIST OF ENTITIES WITH WHICH SYSTEM IS INTEGRATED • BUSINESS RULES SEPARATE FROM CORE PROGRAMMING	• No specific standards • No specific product has been identified		• Embedded code in the program. Rules not separate from the code in a human readable format • Data routing and financial calculations capabilities	• Standardized rules engine with rules separate from code in a human readable format • Data routing capabilities	• CURAM software has a built-in rules engine not currently used	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange
DOCUMENT MANAGEMENT • IMAGING / OPTICAL CHARACTER RECOGNITION (OCR) • INDEXING AND RETRIEVAL OF SCANNED DOCUMENTS • DOCUMENT MANAGEMENT WORKFLOW	• Oracle Universal Content Management		• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• Enables processing of faxed documents, mailed in documents, scanned documents, and use of document center metrics • Image cleanup, recognition, OCR, key from image, export	• HP technology for imaging/OCR for claims processing	• No current functionality relevant to Exchange	• Ability to accept information from providers and create image / OCR	• Current functionality is limited
DOCUMENT GENERATION • MANUAL DOCUMENT GENERATION CAPABILITIES • FORMS ARE VIEWABLE AND DOWNLOADABLE • DOCUMENT AUTHORING • MULTI LANGUAGE SUPPORT	• No specific standards • No specific product has been identified		• Embedded code in the program • Use of outside vendor for printing • Combines documents in a single package • Each form has standard headers except for configurable address data • Languages supported include Spanish	• Allows self-printing of the results using standard web function	• Batch creation capabilities • Indexing and retrieval using bar code functionality • Embedded code in the program • Use of outside vendor for printing • Supports Spanish	• Embedded code in the program • Use of outside vendor for printing • Supports Spanish	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• SERFF generates limited number of documents that users can view using Adobe Reader
CRM • FIXED / VIRTUAL CALL CENTER • MULTI CHANNEL ACCESS • INTEGRATION WITH OTHER CALL CENTERS • HELP DESK INTEGRATION WITH TECHNICAL SUPPORT • ACCOUNT MANAGEMENT SUPPORT	• IP based system • Secured communication standards • Standardization for IVR/ACD, call center, unified messaging, and video conference • Single call center with single 800 number with routing to appropriate agencies		• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• Multi channel access • Integrated call center application using I3 software • Broad call center functions • Account management support	• Provider call center staffed by HP and uses Contact Tracking Management System (CTMS) to log inquiries and calls • CTMS not integrated with AVR system • Citrix used to connect to AIM outside of HP's network • Integrated call center with full CRM functionality for both providers and members	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• Limited functionality. Vendor runs a call center for state insurance commissioners • DOI runs call center for customer complaints. Call data is entered in SIRCON
REPORTING • AUDIT TRAILS FOR DATA VIEWING • DATA STORAGE LOADING PROCESS • DATA TRANSFORMATION TOOLS • ETL • MASTER DATA MANAGEMENT • BI CAPABILITIES • FEDERAL REPORTING PROCESS	• Oracle Business Intelligence Enterprise Edition		• Certain ICES screens require audit trail • COBOL extracts used for data acquisition • Extract - COBOL, Transform - Impromptu, Load - Oracle DB scripts • Limited BI capabilities for CHIP • Federal reports created from ICES extracts	• Oracle statistical reports	• Cognos reporting capabilities • Integrated data warehouse with DFS	• Business Objects data warehouse • MAR used for Federal reporting • Expansion of data warehouse	• Limited custom reporting capabilities	• Quality and Cost reporting by provider (Quality First by IHIE)	• SERFF has a set of canned reports • SERFF allows data to be extracted by individual state to develop additional reports • SIRCON includes hundreds of standard reports
WORKFLOW • AGENCY/ WORKLOAD MANAGEMENT • SCHEDULE / CALENDAR MANAGEMENT • ALERTS / TASK MANAGEMENT	• No specific standards		• Embedded code in the program	• No current functionality relevant to Exchange	• Task workflow management application • CURAM software has a built-in workflow engine that is not currently used	• Embedded code in the program	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange
CALCULATORS • ONLINE CALCULATOR FUNCTIONALITY • FINANCIAL CALCULATIONS AND ASSOCIATED RULES	• No specific standards		• Food Stamps calculator uses embedded code	• Rules engine can be used to provide calculator functionality	• Rules engine can be used to provide calculator functionality	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange	• No current functionality relevant to Exchange
DATA EXCHANGE • LIST OF PUBLIC ENTITIES WITH WHICH SYSTEM IS INTEGRATED • LIST OF PRIVATE ENTITIES WITH WHICH SYSTEM IS INTEGRATED • ABILITY TO REQUEST AND MANAGE EXTERNAL VERIFICATIONS	• Microsoft BizTalk (currently a focus area) • Websphere MQ		• Private closed interface with Federal agencies and other State agencies • Use of Websphere MQ for interface with WFMS and other agencies with real-time data transfer capability • Verifications managed include but are not limited to: Social Security, income, unemployment, DWD, Child Support	• No current functionality relevant to Exchange	• Interface with ICES using Websphere MQ	• All interfaces are batched • Delay between eligibility determination and enrollment in Medicaid managed care plan or reported on the provider system as Medicaid recipient • Private closed interface with Federal agencies and other State agencies • Use of Enterprise Service Bus to integrate with other systems in real-time	• Custom interfaces with specific agencies	• Interfaces with Plans and Providers using standard data exchange protocol	• SERFF has 3 custom developed standard interfaces

Technology Asset Profiles

Exchange IT Assessment Asset Profile: ICES

ICES

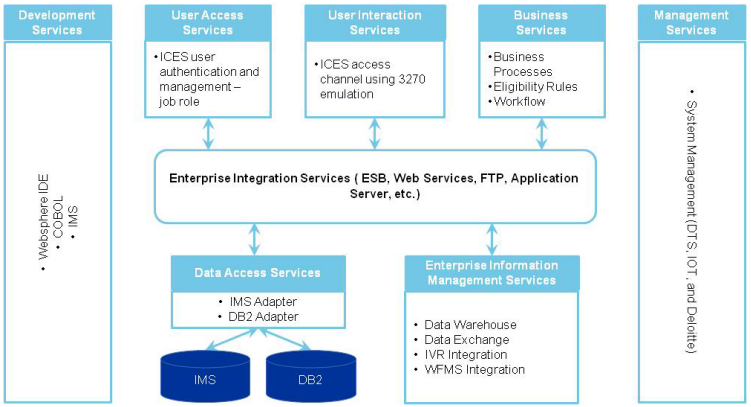
Description

ICES is the State of Indiana's integrated eligibility determination system

PPACA Functional Alignment

- Eligibility determination for Food Stamps, TANF, Medicaid, CHIP, HIP, Medicaid waiver (financial eligibility), spousal impoverishment (MCCA), Refugee Cash Assistance (RCA)
- Users include ACS, coalition partners, Federal agencies, AIM workers, State policy staff, child welfare staff, OMPP staff. Any department under FSSA also has access
- Public users do not have access to ICES
- Multiple application forms are used, most are managed by WFMS. Forms across programs share common data elements

Asset Architecture Diagram



Technology Overview

- Real time eligibility determination
- Highly interoperable system, used across broad range of agencies. Other agencies use ICES (Child welfare, child support etc.) and also interact through batch interfaces
- Use of IBM z10, Cobol II, IMS 11, DB2, Cognos, Easytrieve, CA Database Utilities
- Broad use of SOA methodologies
- Use of web services (15) to interact with WFMS, SACWIS, and other state agencies. Integration with State and Federal agencies
- Use of private network for all its interfaces
- Use of mainframe IMS technology for core processing
- Use of open architecture for new enhancements
- No current use of a standard rules engine

PPACA Technology Component Alignment

- Business Rules Engine: Data routing and financial calculations capabilities, all business rules are encoded in the program
- Data Exchange:
  - Majority of State agencies and systems are integrated with ICES
  - Verifications managed include but are not limited to: Social Security, income, IRS, unemployment, DWD, Child Support
- Document Generation:
  - Documents combined into a single package based on pre-determined criteria, each form has same headers except for the address, languages supported include English and Spanish
  - Creation limited to system generated documents, only the forms' data can be viewed
- Reporting:
  - Requirement of audit trail with certain ICES screens
  - Extract - COBOL, Transform - Impromptu, Load - Oracle DB scripts
  - Limited BI capabilities for CHIP program, Federal reports created from ICES extracts

Exchange IT Assessment Asset Profile: ICES (2)

ICES

In Progress and Future System Projects

- Upgraded last month as part of frequent upgrade process. The OS was upgraded 2 months ago, new mainframe 18 months ago
- Recently published a planning and feasibility study RFP
- Long term vision is to use a future version of ICES, and use it to determine eligibility across all the other programs such as subsidized housing, LIHEAP, WIC, WHN, etc. Looking to also define collaboration approach with the Department of Health

Reliability

- Highly available
- Timely information regarding transaction processing provided
- System brought down once a month during one of the batch entries, the DBA's also perform reorganization twice a month
- All applications currently on supported system software including DBZ and IMS
- Disaster recovery provided by IU

Scalability

- System currently supports 6-8 million transactions a day, which is 85-90% of its total capacity. Expandable with additional hardware purchases
- No major performance challenges reported to date
- Batch window is 3 hours daily and 6-9 hours monthly. It can be as long as 9-10 hours for a mass change that impacts all cases
- Hardware resources are shared with other agencies similar to a virtualized environment

Security and Compliance

- HIPAA compliance
- Section 1561 compliance
- Accessibility for individuals with disabilities compliance
- Each user group has a different access level which helps manage PHI
- Access is determined by a user's job function
- When going through a Web Server, SSL is used
- Internal private network used for most data communication
- Data encrypted in motion when communicated externally

Serviceability

- Vendor managed application
- Monthly maintenance unless more frequent need arises
- Maintenance changes are complex due to legacy technology

Transparency and Accountability

- Cognos used for reporting and business intelligence in addition to ICES standard reports
- Limited BI capabilities built in ICES itself for CHIP program
- Federal reports created from ICES extracts

Exchange IT Assessment Asset Profile: QualCheck

QualCheck

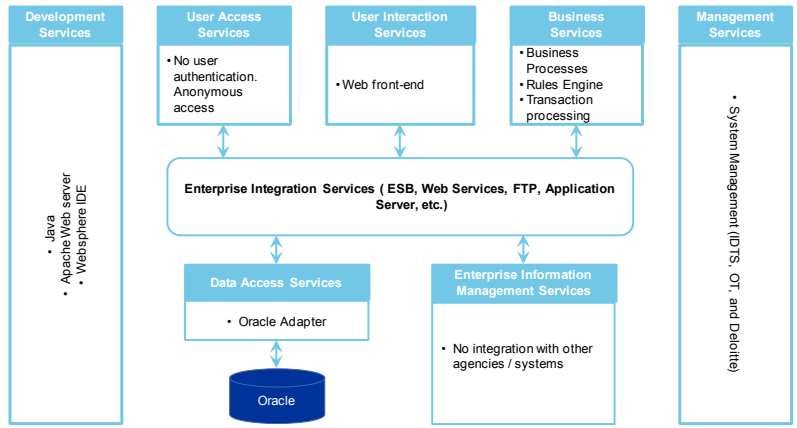
Description

State of Indiana's screening application for non-modernized counties and screening business rules engine for all counties

PPACA Functional Alignment

- Potential eligibility determination (screening) for Food Stamps, TANF, and Medicaid
- Supports anonymous screening
- Users include all citizens of Indiana who live in non-modernized and non-hybrid counties
- Provides business rules engine function for all counties
- Integration with the application for services included

Asset Architecture Diagram



Technology Overview

- Real time potential eligibility determination
- Built on a standard J2EE open technical architecture
- Websphere, Java, and Oracle used
- Broad use of SOA methodologies
- Uses a private network for all its interfaces
- Java technology for core processing used
- Standard rules engine for potential eligibility determination

PPACA Technology Components Alignment

- Business Rules Engine:
  - Data routing and financial calculations capabilities
  - All business rules separate from the core programming and available in both machine readable and human readable format
  - Provides business rules engine function for modernized and non-modernized counties
- Portal: Allows integration with state's IN.GOV portal and provides ability to apply for benefits in addition to potential eligibility determination

Exchange IT Assessment Asset Profile: QualCheck (2)

QualCheck

In Progress and Future System Projects

- J2EE technology architecture maintained as part of other web / Java components of ICES application

Reliability

- Highly available
- Timely information regarding transaction processing provided
- System brought down for routine maintenance as part of IOT's environment management schedule
- All applications currently on supported system software including Oracle and Java

Scalability

- Supports approximately 50% of the state residents to determine potential eligibility. Expandable with additional hardware purchases
- No major performance challenges reported to date
- Virtualization upgrades are planned as part of overall IOT effort to move all central windows servers to virtual environment

Security and Compliance

- No HIPAA compliance requirements
- No section 1561 compliance requirements
- Accessibility for individuals with disabilities compliance
- When going through a Web Server, SSL is used
- Application available from outside the state's private network

Serviceability

- Vendor managed application
- Limited modifications made to the system since it is a screening application

Transparency and Accountability

- Reporting capabilities for statistical reporting purposes only

Exchange IT Assessment Asset Profile: WFMS / FACTS

WFMS / FACTS

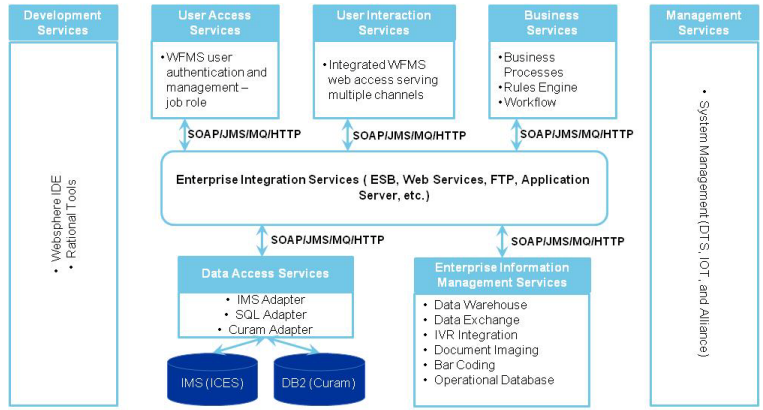
Description

Eligibility workflow management and customer service system (online service, call center, help center, document center, service center)

PPACA Functional Alignment

- Application for Food Stamps, TANF, Medicaid, CHIP, HIP, Medicaid waiver (financial eligibility), spousal impoverishment (MCCA), Refugee Cash Assistance (RCA)
- Provides online service, call center, help center, document center, Authorized Agency, VCAN, service center
- Receives program applications, reviews, validates and integrates with ICES
- Manages 15M electronic pages per year in the document center for imaging and OCR (documents include applications and verifications)

Asset Architecture Diagram



Technology Overview

- WFMS/ FACTS interfaces with ICES to exchange application and verification data
- CURAM, the workflow engine, is integrated with I3 Call Center, Doc Center, Smart and ICES. Currently integrated to ICES via batch exchanges (status, changes, appeals decisions)
- IE3 (Interactive Intelligence) Call Center: Application with broad set of call center functions
- Websphere web server
- Doc Center uses Captiva, Java based application
- SOAP/MQ/JMS/HTTP interfaces
- WFMS / FACTS operates inside the state's private network
- Solution provides web services capabilities. It currently has web services integration with ICES only

PPACA Technology Component Alignment

- Document Management and Document Generation:
  - Enables processing of faxed documents, mailed in documents, scanned documents, and use of document center metrics
  - Batch creation capabilities
  - Image cleanup, recognition, OCR, key from image, export
  - Indexing, retrieval using bar code functionality
- Workflow:
  - Task workflow management application
  - Robust workflow management being implemented in next 6-12 months
- CRM:
  - Mutli-channel access leveraging IE3 platform for broad call center functions
  - Account management support
- Portal: Individual account functionality to check on status/determinations, multi language support, search and online help capabilities, integration with IN.gov
- Reporting: Cognos reporting capabilities, integrated data warehouse with DFS

Exchange IT Assessment Asset Profile: WFMS / FACTS (2)

WFMS / FACTS

In Progress and Future System Projects

- Hybrid conversion activities intensifying in early 2011
- Next Maintenance windows:
  - MR-20: Medicaid/ICES functionality upgrades
  - MR-21: Upgrade to CURAM 5.2 which will enable application to meet OIT State Standards. ICES real time interface. Websphere and metrics DB upgrades
  - MR-22: Functionality upgrades
  - MR-23: System redesign: new applications, ICES interfaces, CURAM workflow, organism, structure, case ownership
  - MR-24: Smart replacement/integration with CURAM
  - MR-25: Smart replacement and new workflow functionality
  - MR-26: Smart replacement finalization. Shift from task to case workflow. Dashboard reporting implementation

Reliability

- Initial implementation was challenging due to usability and stability issues
- All applications on currently supported system software
- Database is currently an unsupported version but being upgraded in an upcoming maintenance window
- Fail over capabilities of certain parts of the application such as call center provided by the vendor

Scalability

- 15 Million pages electronically processed per year
- Expandable with additional hardware purchases
- Virtualization upgrades are planned

Security and Compliance

- Using Browsealoud application for disability access
- Security in place but faults exist. Planned upgrade in 2011 so as to align with IOT standards

Serviceability

- Maintenance windows every 2 months
- CURAM uses Java technology, however proprietary nature of underlying framework makes maintenance complex

Transparency and Accountability

- Cognos used for reporting and business intelligence as part of TANF data warehouse

Exchange IT Assessment Asset Profile: AIM

AIM

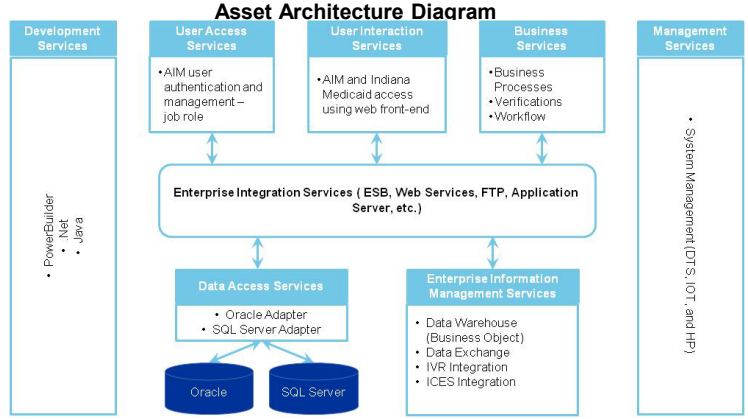
Description

State of Indiana's Medicaid Management Information System (MMIS)

PPACA Functional Alignment

- Includes core MMIS functions including claims processing, provider management, member management, financial, federal MAR reporting and TPL
- Claims processing system for Medicaid, Hoosier HealthWise, Care Select, M.E.D. Works, HIP, Waivers (Aged, Blind Disabled, Traumatic Brain Injury, Autism, Development Disability, Support Services), Pharmacy, and Presumptive Eligibility programs
- Eligibility determination and information received from ICES
- Provider call center staffed by HP and uses Contact Tracking Management System (CTMS) to log inquiries and calls. CTMS is not integrated with AVR system
- Pharmacy Benefit Manager (PBM) – ACS is vendor. Utilizes separate system for PA, RetroDUR, and Drug benefits

Asset Architecture Diagram



Technology Overview

- No real-time interfaces
- System interfaces with multiple systems including ICES, enrollment broker
- PowerBuilder code base and Oracle database
- Operated and maintained by HP (State's Fiscal Agent)
- Client Server Application. Also includes a web portal for providers to verify eligibility / enrollment and claims submission
- Runs on HP's private network
- Currently does not support any web services integration

PPACA Technology Component Alignment

- Document Generation: Limited capabilities in the embedded code
- Document Management: Uses HP technology for imaging/OCR for claims processing
- CRM:
  - Provider call center staffed by HP and uses Contact Tracking Management System (CTMS) to log inquiries and calls. CTMS is not integrated with AVR system so no screen pop ups, or associated functionality
  - Citrix used to connect to AIM outside of HP's network
  - Integration with other call centers
- Data Exchange:
  - All interfaces are performed in batch
  - Delay between eligibility determination and the individual being enrolled in Medicaid managed care plan or reported on the provider system as Medicaid recipient
- Reporting: Business Objects data warehouse, Open source Content Management Services, MAR used for Federal Reporting (part of the multiple universes in the data warehouse)
- Portal: Integration with IN.gov, online applications for providers

Exchange IT Assessment Asset Profile: AIM (2)

AIM

In Progress and Future System Projects

- AIM is currently in the re-procurement process for PBM, data warehouse, and call center functions. The RFP is currently under internal review and is expected to be released in February 2012
- No implementation of new AIM until after HIX requirements are defined. OMPP expects to be in the DDI phases in 2012-2013. Structuring of RFP in a way that allows for vendors to bid on discrete functions (PBM, CRM)
- With regards to health care reform, the RFP contains high level language requiring the selected vendor(s) to meet health care reform requirements and work with other vendor(s) to implement the requirements
- Incentive program implementation planning by the State using HP MAPPR solution

Reliability

- System (including hardware) owned by the vendor (HP)
- System is reliable and has been implemented across a number of States

Scalability

- User load without performance challenges
- System (including hardware) owned by the vendor (HP)
- HP responsible for meeting additional load related to technology assets as well as personnel required

Security and Compliance

- A separate decision support vendor utilized for actuarial, fraud detection, and other services
- Vendor obtains data from Business Object universe and performs the analysis in their own system
- SSL encryption used on the provider portal

Serviceability

- Identity management included in the code, no separate identity management tool is used
- Maintained by HP with frequent deployment windows
- PowerBuilder code base challenging to update, requiring remote deployment capabilities

Transparency and Accountability

- OMPP Warehouse is Business Objects. Multiple universes in the data warehouse (e.g., MAR for federal reporting, pharmacy)
- DSS used for ops reporting as well. Maintained both by OMPP and HP
- MAR used for Federal Reporting (part of the multiple universes in the data warehouse)

Exchange IT Assessment Asset Profile: IN.gov

IN.gov

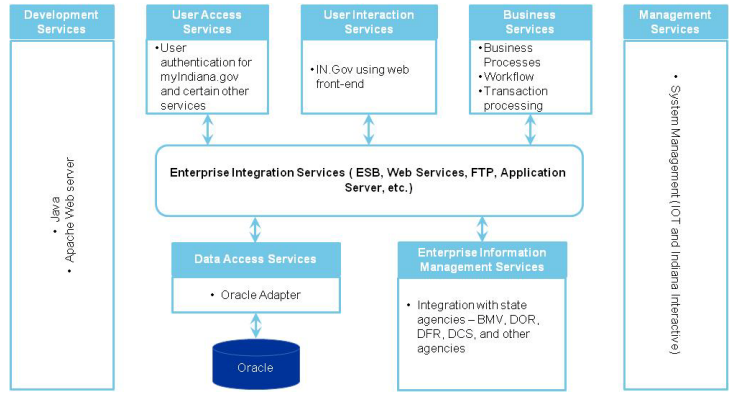
Description

State of Indiana's public portal for citizens and businesses

PPACA Functional Alignment

- Information sharing portal with links to supporting agency specific applications
- Additional agency applications/tools are directly integrated with IN.gov
- Supports Indiana residents with Tax filings and BMV related services in addition to other services offered on the site
- End-to-end customer experience
- Payment services: PCI compliance and relevant certifications

Asset Architecture Diagram



Technology Overview

- Custom developed portal application leveraging PHP, .NET and Java
- Oracle DB and VM environment
- Open Text: Red Dot CMS publishing to Apache
- Homegrown Content Management solution used by Agencies
- Transactions Payment: Metabonte service
- Content is provided by individual agencies. Application does not use any standard Enterprise Content Management solution
- Application runs on a private network
- Application supports web services with agencies performing transactions through IN.GOV

PPACA Technology Component Alignment

- Portal:
  - Search capabilities using Google
  - Multi language in English and Spanish
  - On-line help
  - Intuitive navigation
  - Individual account functionality
  - Navigation and routing to external applications and pages through links
  - Integrated with agency applications and associated rules engine
  - Plan and broker complaint routing to DOI

Exchange IT Assessment Asset Profile: IN.gov (2)

IN.gov

In Progress and Future System Projects

- Recent upgrade implemented to provide IN.gov with a web 2.0 feel
- Planned upgrades will focus on social media and mobile capabilities

Reliability

- Highly reliable and leverages 2 data centers for fail over capabilities
- PHP/.Net/Java code base and Oracle database support
- Application downtime aligned with IOT maintenance standards (typically every Sunday)
- Transaction capabilities for BMV and DOR provided by the portal

Scalability

- Supports user load without performance challenges
- Database size expendable with DB's ranging up to 5 Terabytes
- Virtualization using VMware implemented

Security and Compliance

- IOT defined security standards followed
- HIPAA, Section 1561, FIPS, and Fair Information Practices for applicable agencies
- Browsealoud for section 508 accessibility for applicable agencies and data
- Data in motion is encrypted when communicated externally. Data at rest is not encrypted
- IOT security standards for PHI and PII followed
- Roles based access provided by Content Management System

Serviceability

- Frequent upgrades through IOT maintenance windows
- Contractor is NIC and contract is managed by IOT
- 2 years remaining in NIC contract

Transparency and Accountability

- Tools such as WebTrans for full transparency and publication to public are used
- COTS BI solution at the agency level:
    - Cognos by FSSA
    - OBIE, the IOT standard, used by OMB, DOR, will be used by NDOT

Exchange IT Assessment Asset Profile: HIE

HIE

Description

Indiana has five Health Information Organizations (HIOs):

(1) Indiana Health Information Exchange (IHIE)

(2) HealthBridge

(3) HealthLINC

(4) Michiana Health Information Network

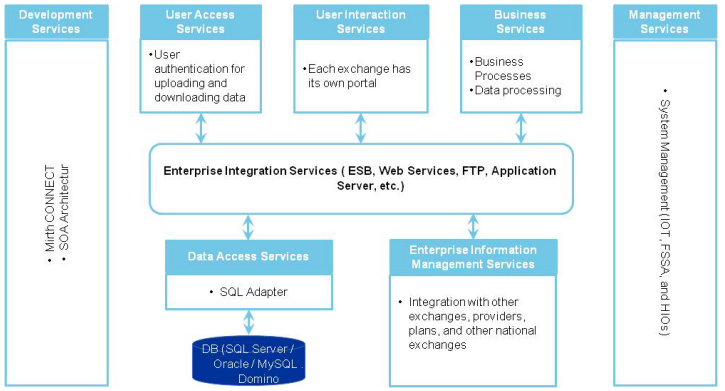
(5) Medical Informatics Engineering (MIE)

These HIEs mainly store clinical and quality data and provide services beyond exchange/routing of health data amongst users. Data within the HIE is used for public health reporting, quality reporting, patient point of care decision support, disease population management

PPACA Functional Alignment

- Reporting & Performance, Plan Management – Plan data including clinical and quality report cards for providers are produced in the IHIE

Asset Architecture Diagram



Technology Overview

- Quality Health First (QHF) used for reporting by IHIE
- National Health Information Network (NHIN) standards for interoperability used by IHIE
- MSSQL as the database used by all five HIO
- IHIE, HealthBridge and HealthLINC also use IBM Domino and PostgreSQL
- Michiana uses MYSQL, Oracle, and Domino

PPACA Technology Component Alignment

- Reporting: Quality and cost reporting by provider
- Portal: HealthBridge HIE provider portal
- Data Exchange

Exchange IT Assessment Asset Profile: HIE (2)

HIE

In Progress and Future System Projects

- Electronically capture health information in a coded format, use that information to track key clinical conditions, communicate that information for care coordination purposes
- By 2015, enable patient access to self management tool and access to comprehensive data

Reliability

- Serviceability and Reliability not a concern

Scalability

- Over 6 million messages per month to over 16,000 physicians handled by IHIE's clinical messaging service
- Data of over 2 million people stored by HealthBridge

Security and Compliance

- HL7 standards used by IHIE
- HHS interoperability standards adopted by HIOs
- User-type access and individual access

Serviceability

- Majority of HIE recently developed
- Serviceability and Reliability not a concern

Transparency and Accountability

- Regular status reports to the IHIT board of directors
- Publication of periodic publicly available IHIT reports

Exchange IT Assessment Asset Profile: SERFF

SERFF

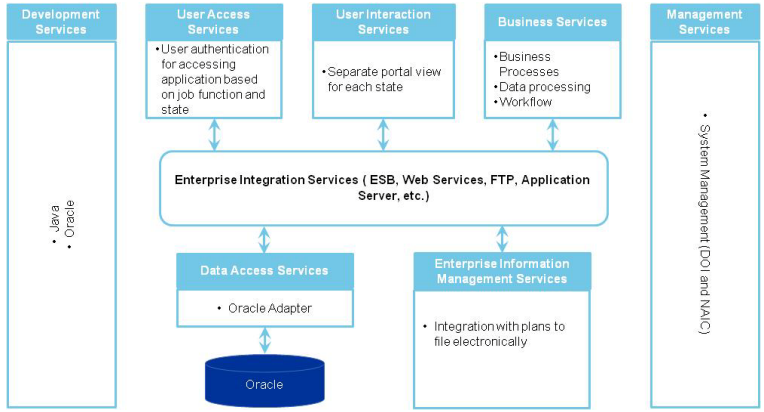
Description

The National Association of Insurance Commissioners (NAIC) developed SERFF to provide a cost effective method for state regulators and insurance companies to communicate rate and form filings

PPACA Functional Alignment

- Enables insurance companies to streamline their rate and form filing process
- Currently used by limited staff at DOI
- Products and premiums submitted by the insurers electronically through SERFF are reviewed by DOI and confirmation is provided (all filings are electronic)
- Communications, management, analysis and electronic storage of documents and supporting information facilitated

Asset Architecture Diagram



Technology Overview

- Decentralized point-to-point, web-based electronic filing system
- Stand alone application with data exchange service
- Web based, Java developed application with an Oracle DB
- 3 standard interfaces used
- User requirements for usage are supported web browser and the Adobe Acrobat Reader
- Runs on a private network
- Data exchange service supported

PPACA Technology Component Alignment

- Other: Insurer Portal
  - Individual account functionality
  - Integrated with agency applications
  - Document storage
  - Portal integration with IN.gov through API

Exchange IT Assessment Asset Profile: SERFF (2)

SERFF

In Progress and Future System Projects

- Periodic enhancements being made
- NAIC has begun working on PPACA changes so as to support potential new field requirements as well as additional integration touch points
- Federal reporting required per PPACA and the HHS Health Insurance Rate Review Grant and being built into the application by NAIC

Reliability

- High availability system
- Web based, Java developed application with an Oracle DB: all currently supported

Scalability

- 3,400 premium fillings per year processed
- Additional users can be supported as product is designed for the national scale
- Expendable database with additional hardware purchases

Security and Compliance

- Meets relevant compliance and security standards

Serviceability

- Product managed by NAIC across most States. States pay annual fee for access and support
- Periodic enhancements scheduled

Transparency and Accountability

- Several reporting options: Number of 'canned' reports as well as an Export Tool that allows the states access to all of the fields in SERFF, for those who wish to create their own reports
- IDOI requests 2-3 high level reports from SERFF that would require complex manipulation to create using the Export Tool. These reports are used for internal purposes

Exchange IT Assessment Asset Profile: SIRCON

SIRCON

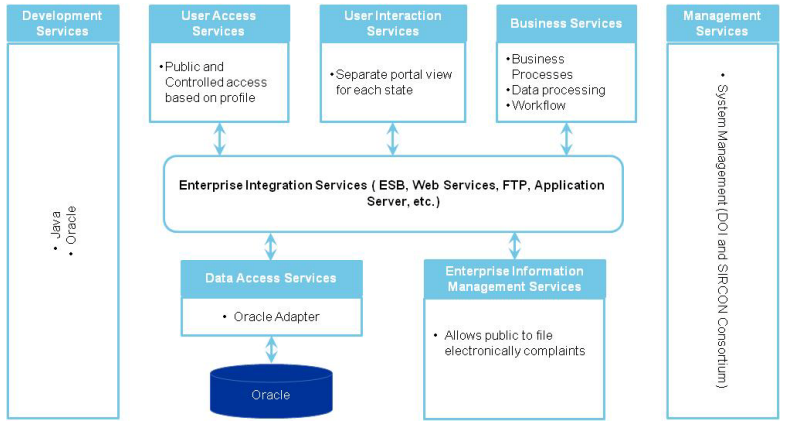
Description

Database of record for all insurance company licensing, producer licensing and education (agents and agencies), consumer complaint and legal/enforcement records for the Indiana Insurance Department

PPACA Functional Alignment

- Broker integration to validate licensing agents: tracks applications, test results
- Enforcement and violations for brokers (expired licenses) managed through website
- Enforcement and violations for plans (carriers not following rules, late payments, benefits) managed through website
- Users: 17 state insurance departments, including Indiana
- Supports IDOI call center

Asset Architecture Diagram



Technology Overview

- Web-based hosted platform on an Oracle 11g database
- Stand alone application
- Standard interfaces available but not being used by Indiana
- Runs on a private network
- Data exchange service supported

PPACA Technology Component Alignment

- Other: Broker Portal
  - Individual account functionality
  - Document storage
- Other: Consumer Complaints Portal
  - Enforcement and violations for plans
  - Enforcement and violations for broker
- CRM
  - IDOI runs call center for customer complaints. Call data is entered in SIRCON

Exchange IT Assessment Asset Profile: SIRCON (2)

SIRCON

In Progress and Future System Projects

- Currently working with a few states that were awarded the PPACA Consumer Assistance Grant to support reporting requirements that are still being documented by HHS

Reliability

- All current components are supported
- Web based platform with Oracle 11g database

Scalability

- Additional users can be supported as product is designed for the national scale
- No significant performance issues encountered

Security and Compliance

- Meets relevant compliance and security standards

Serviceability

- Used in 17 states but customizable for each state
- Release cycle approximately every 2 months for upgrades and maintenance

Transparency and Accountability

- Includes hundreds of standard reports and the ability for states to write their own reports using an open source reporting tool called Pentaho
- States may use any third party reporting tool of their choice to write reports against the production database or a replicated database
- Microsoft Access primarily used as a third party reporting tool by IDOI
- Accessible to general public

Looking Ahead to Phase 2B

Phase 2B: Gap Analysis

Indiana Asset	HIX Technology Component	Gap(s)	Overall Assessment
AIM/WFMS/ICES/HIE	Web Portal	•	
AIM/WFMS/ICES/HIE	Business Rules Engine	•	
AIM/WFMS/ICES/HIE	Data exchange	•	
AIM/WFMS/ICES/HIE	Reporting Tool	•	
AIM/WFMS/ICES/HIE	Customer Relationship Management	•	

High = Strong alignment to HIX Technology Component. Requires configuration but no major development or procurement to meet requirements.

Medium = Moderate alignment to HIX Technology Component. Requires development modifications to system and/or additional system procurement to meet requirements.

Low = Little to no alignment to HIX Technology Component. Requires procurement /development of new system(s) to meet requirements.

Wrap Up