

Establishment Review Process



DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS for MEDICARE & MEDICAID SERVICES
Center for Consumer Information and Insurance Oversight



Health Insurance Exchange System-Wide Meeting
May 21-23, 2012



Objectives

- Review the Purpose of Establishment Reviews and Cross-Functional Team Participation
- Discuss the Linkages of Establishment Review to Enterprise Life Cycle (ELC) Gate Reviews
- Introduce the Establishment Review Evidence and Alignment to the Blueprint
- Detail the Evidence and Expectations for Design Reviews

Purpose of Establishment Reviews

Establishment Reviews are intended to:

- Monitor progress to ensure a “glide path” to Exchange Approval
- Assess progress under the Establishment grant program leveraging the ELC Gate Review
- Provide feedback to States in a collaborative environment
- Review specific evidence to ensure that required Exchange activities operate effectively
- Identify State technical assistance follow up needs

Required for all Establishment grantees and optional for non-grantees

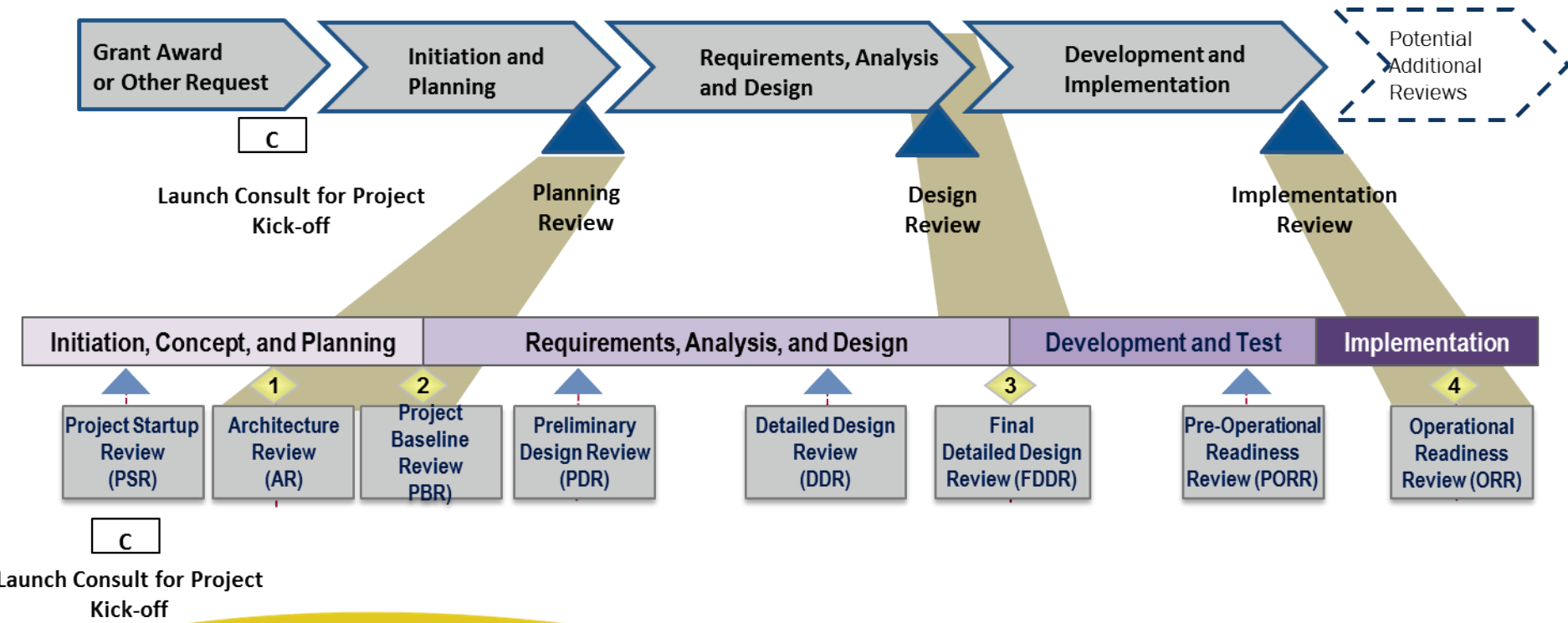
Cross-Functional Team Participation in Reviews

- State Officer (Leads the Establishment Review)
- CCIO State Exchange Team
- Office of Information Systems Team *
- CMCS Team *
- CMS Regional Staff *
- IRS and HHS
- Operational Subject Matter Experts *
 - Eligibility and Enrollment
 - Plan Management
 - Financial Management
 - Consumer Support and Outreach
 - Quality
 - SHOP

** Team members will vary at each review depending on the required expertise*

Establishment Review Process and Linkage to ELC Gate Reviews

The Establishment Review Process aligns with CMS IT lifecycle requirements and is customized to incorporate an expedited review schedule with consultations to meet State needs for review and support



Establishment Review Framework

The Establishment Review Framework is comprised of:

- Activities
- Evidence

ID	Exchange Activities
1.0	Legal Authority and Governance
2.0	Consumer and Stakeholder Engagement and Support
3.0	Eligibility and Enrollment
4.0	Plan Management
5.0	Risk Adjustment and Reinsurance
6.0	SHOP
7.0	Organization and Human Resources
8.0	Finance and Accounting
9.0	Technology
10.0	Privacy and Security
11.0	Oversight, Monitoring, and Reporting
12.0	Contracting, Outsourcing, and Agreements
13.0	State Partnership Exchange Activities

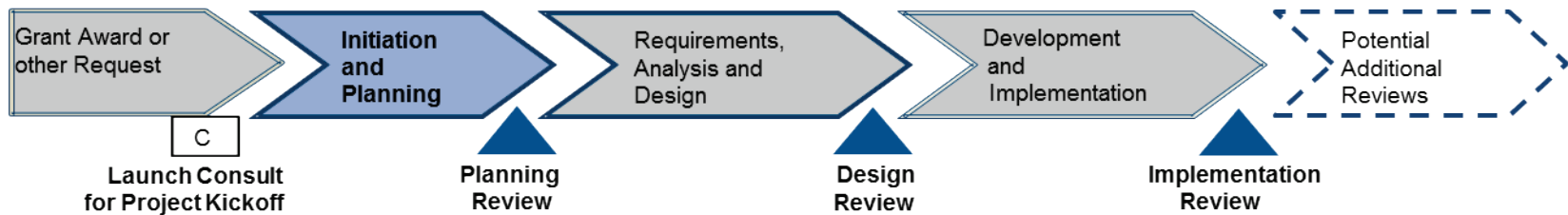


Planning Review	Design Review	Implementation Review
Evidence 1	Evidence 1	Evidence 1
Evidence 2	Evidence 2	
	Evidence 3	

Establishment Review and Exchange Blueprint Alignment

- **Establishment Reviews are intended to serve as a glide path to Exchange Approval**
- Establishment Review evidence (particularly Design Review evidence) is directly aligned to the requirements of the Exchange Blueprint
- If the State has successfully completed an activity as demonstrated through Establishment Reviews, State may waive out of submitting supporting documentation requested as part of Exchange Blueprint

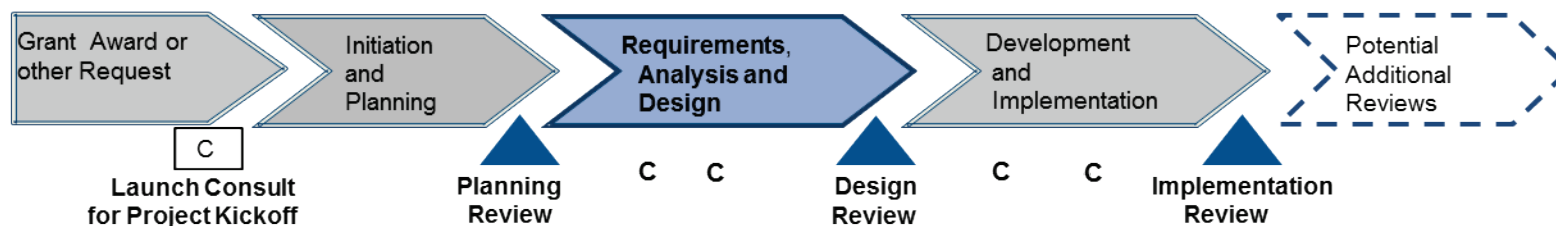
Establishment Review #1 – Planning Review



- Set the framework for future guidance and assessment of the State’s progress
- Demonstrated State progress toward building the foundation and framework of the Exchange
- Focused on review of preliminary documentation (e.g., project management plan, concept of operations, architectural diagrams)

The building block to establish ongoing dialogue and ramp to the next set of Reviews

Establishment Review #2 – Design Review



C = Potential Consults

- Entails assessment of Exchange activities on a modular basis in order to meet States where they are in the design phase of lifecycle – may result in *multiple* Design Reviews or Consultations
- Involves review of operational and IT design documentation (e.g., business requirements, system design documentation, test plans) that address key Exchange activities

Aligns with requirements set forth in the Exchange Blueprint

Design Review: Evidence/ Documents Requested

Types of evidence/documents* requested for Design Review:

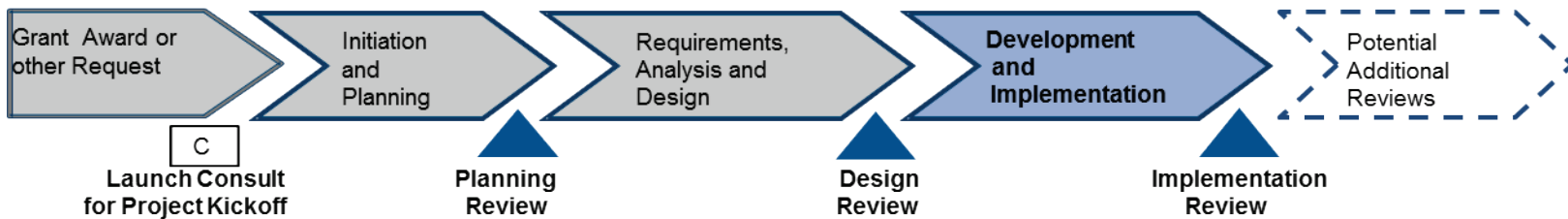
- Project Management documentation
- IT documentation
- Operational documentation

Evidence/documents should be uploaded on Collaborative Application Lifecycle Tool (CALT) 2 weeks prior to Design Review: <https://calt.hhs.gov>

**See "Overview of Documents Requested for Design Review" handout for complete listing of documents*

**See "Design Review Evidence" handout for assessment criteria related to evidence/documentation*

Establishment Review #3 – Implementation Review



C = Potential Consults

- Will occur at the completion of development and implementation of the Exchange
- Will involve review of final evidence (e.g., testing summaries/results, standard operating procedures), which can exhibit an Exchange’s operational readiness

Best Practices and Lessons Learned

Questions and Suggestions

If you have further questions, comments, concerns please reach out to:

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or your **State Officer**