

The Health Insurance Enforcement and Consumer Protections Grant Program Cycle I Annual Report Template

Report Date	
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Organization Information	
State	
Project Title	
Grant Project Director (Name and Title)	
Phone/Email	
Grant Authorizing Representative	
Phone/Email	

Grant Information	
Date Grant Awarded	
Amount Granted	
Project Year (ex. 2017)	
Cycle	
Project Reporting Period (Example: Annual Report 10/1/2016-9/30/2017)	

The purpose of the Annual Grant Reports is to:

- Describe the planning and/or implementation for several of the market reforms under Part A of Title XXVII of the Public Health Service (PHS) Act over the prior year
- Summarize the initiatives funded through the grant program over the prior year
- Provide States participating in the Health Insurance Enforcement and Consumer Protections Grant Program with the opportunity to share information, highlight successes and reflect upon the progress of their programs

PRA Disclosure Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **0938-NEW**. The time required to complete this information collection is estimated to average **26 hours** per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

Exp. Date: xx/xx

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Grant Performance Period-Cycle I: Date of award through October 18, 2017

The provisions in Part A of title XXVII of the Public Health Service (PHS) Act include market-wide reforms in the group and individual private health insurance markets intended to protect consumers, increase transparency, and regulate health insurance industry practices.

One of the goals of the Cycle I Health Insurance Enforcement and Consumer Protections Grant is to provide States with the opportunity to ensure their laws, regulations, and procedures are in line with Federal law and that they are able to effectively enforce the pre-selected market reform provisions under Part A of title XXVII of the PHS Act.

States are required to submit annual progress reports to CCIIO's Health Insurance Enforcement and Consumer Protections Grant Program. The annual progress report describes significant advancements towards the State's goal of planning and/or implementing the pre-selected market reforms provisions under Part A of Title XXVII of the PHS Act, over the prior twelve month period.

Funding under the Health Insurance Enforcement and Consumer Protections Grant Program, Cycle I was made available to States for activities related to planning and/or implementing the following pre-selected provisions of Part A of title XXVII of the PHS Act:

- I. Section 2707 - Non-discrimination under Comprehensive Health Insurance Coverage (Essential Health Benefits Package)
- II. Section 2713 - Coverage of Preventive Health Services
- III. Section 2718 - Bringing down the Cost of Health Care Coverage (MLR)
- IV. Section 2719 - Appeals Process
- V. Section 2726 - Parity in Mental Health and Substance Use Disorder Benefits

Each annual report is due ninety days following the end of the Federal fiscal year. For example, the first Cycle I annual report are due by December 30, 2017. All annual reports must be submitted electronically through the Health Insurance Oversight System (HIOS). For the final grant year, the Cycle I Final Report will replace the Cycle I Annual Report.

The following reporting guidelines are intended as a framework and can be modified when agreed upon by the CCIIO Health Insurance Enforcement and Consumer Protections Grant Program and the State. A complete annual progress report must detail how grant funds are being utilized, describe program progress, barriers and provide an update on the measurable objectives of the grant program.

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PART I: NARRATIVE REPORT FORMAT

Introduction:

The Annual Narrative Report represents the culmination of activity and accomplishments throughout the past twelve months of the Cycle I Grant Program. In the Annual Narrative Report please support your explanations of grant progress with quantitative data when available and other evidence to support the success of your Health Insurance Enforcement and Consumer Protections Grant.

In answering the questions below, please articulate the annual progress made under the grant, towards the goals, measurable objectives, and milestones for each proposed enhancement of the market reforms under Part A of Title XXVII of the Public Health Service (PHS) Act, and provide updates to the original grant proposal where necessary.

In order to provide metrics for CMS to monitor the progress of each activity, grantees are required to report quantitative measurements using the following **Progress Metrics Guide:**

<u>Level of Stages</u>	<u>Description of Stages</u>
Stage 0	No work has begun on stated goal.
Stage 1	Project Plan has been created and staff has been assigned to task. The work on achieving the goal has initially begun.
Stage 2	Goal of the Project Plan is underway, and any refinements or adjustments to original Project Plan were made.
Stage 3	Goal of the Project Plan is half way complete and continuously being worked on.
Stage 4	Deliverables are beginning to finalize and proposed goals are nearly completed.
Stage 5	100% of stated goal has been completely achieved.

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EXAMPLE: Objective 1 was to hire additional staff to begin reviewing additional processes as part of the MLR oversight: “We worked throughout quarter 1 and quarter 2 to hire staff. We hired one new staff member, and are continuing to look for a second hire. Objective 1: Stage 3.”

Please use this guide when answering the following questions. In addition, please use charts and graphs to highlight progress when appropriate.

Annual Program Implementation Status: Include an update on progress towards the following:

1. *Accomplishments to Date:* Describe achieved implementation milestones and outcomes, include the above Progress Metrics towards each stated goal, objective and milestone outlined in the Health Insurance Enforcement and Consumer Protections Grant Work Plan.
2. *Progress as, or towards, becoming or maintaining an active enforcement role of the ACA Market Reforms:* For States that are currently enforcing the ACA market reforms, the States must discuss how the grant is helping them maintain their active enforcement role for the ACA market reforms. States that are not currently enforcing the ACA market reforms under Part A of Title XXXVII of the PHS Act must transition to an active enforcement role for all ACA market reforms by the end of the first year and a half of the grant program and must describe the barriers and challenges faced. Please discuss in detail, progress over the last year towards transitioning to an active enforcement role for all ACA market reforms. Per the instructions given in question #1 above, please include detailed progress toward each stated goal, objective and milestone outlined in the original grant application and the proposed Health Insurance Enforcement and Consumer Protections Grant Work Plan. In your explanation, please include Progress Metrics (where necessary) to indicate progress. HHS may restrict future grant funds for certain grant activities if proposed milestones are not met.
3. *Challenges faced this year:* Provide a detailed description of any encountered challenges in implementing your program, the response and the outcome. Please include a list of any proposed grant activities that were not completed during the prior twelve months. Please include Progress Metrics for each activity not completed. Describe future plans to complete the originally proposed grant activities.
4. *Variations of Work Plan and Timeline:* List any required variations from the original Health Insurance Enforcement and Consumer Protections Grant Work Plan and companion timeline. Provide explanation for variations and provide Progress Metrics

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where necessary.

Significant Activities: Undertaken and Planned

Please list the most significant activities that occurred during the past year, or are anticipated to occur in the near future, that affect the progression of implementing the ACA market reforms in your State. Please include Progress Metrics to illustrate progress.

Operational/Policy Developments/Issues

Identify all significant program developments/issues/problems that have occurred in the past twelve months and proposed ways to rectify the barriers.

Public Access Activities

Summarize activities and/or promising practices undertaken during the previous year working towards increased public access and awareness from the pre-selected ACA market reforms activities for your State. To illustrate progress, please include Progress Metrics for each activity or practice.

Materials Produced

Please list any materials produced or developed over the past year, including website upgrades, consumer materials, reports/studies, and any other relevant documents. Please provide detail where available. For example, if a new website related to the pre-selected ACA market reforms was developed, please provide the link, date the website went live, number of visitors to the website (total or monthly). Please include Progress Metrics for each material produced, or that is in the process of being produced or developed.

Annual Impact

Summarize the overall impact Cycle I grant funds had on planning and/or implementing the pre-selected ACA market reforms in the State over the past twelve months. State's that are actively enforcing the ACA market reforms should include how the grant funds improved their compliance and enforcement of the pre-selected market reforms. State's that are pursuing an active enforcement role, should indicate how the grant funds have impacted their progress towards reaching an active enforcement role for the ACA market reforms. Provide evidence when available. Examples may include dollar amounts, statistics, personal stories, anecdotal evidence, media articles/mentions, etc.

Annual Lessons Learned

Provide additional information on lessons learned and any promising practices. For example, what approaches in your planning and/or implementation strategy worked/are working and why?

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Annual Updated Budget

Provide a detailed account of expenditures to date and describe whether the current allocation of funds follows the progression of the detailed budget provided in your original application. Also, provide any unforeseen expense and a brief description of the event that led to its occurrence. Attach an updated detailed budget, including an updated SF-424A as necessary, with the State's annual report submission.

Updated Annual Work Plan and Timeline with Progress Metrics

Provide an updated Health Insurance Enforcement and Consumer Protections Grant Work Plan and Timeline with Progress Metrics to reflect the events of the previous year. Highlight any additional time frames or items that were not included on the State's original submission as well as completion of milestones. Please continue to use the Progress Metrics guide, and assign a measurement to each objective outlined in the work plan.

Updated Evaluation Plan

Please provide an update to the Evaluation Plan originally described in the Cycle I Health Insurance Enforcement and Consumer Protections Grant application, including updates to the established measurable objectives, key indicators, and methods and/or resources to monitor progress. If contracting for an evaluation, discuss progress with the contract.

Annual Report Summary Statistics:

Please fill in the data below for grant activity occurring over the past year:

Annual Statistics	FFY17 Quarter 1	FFY17 Quarter 2	FFY17 Quarter 3	FFY17 Quarter 4	Total
Funds Expended					
Number of Staff Hired with Grant Funds					
Number of Contracts in place with Grant Funds					
Number of ACA					

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Market Reforms Provision Funded by Grant. List Provisions					
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