

Exchange Establishment - Semiannual Progress Report Data Elements

Estimated Annual Hours	230
Estimated Annual Line Items	233
Estimated Semiannual Hours	115
Estimated Semiannual Line Items	117
Estimated Avg Hours/Line Item	1.01

Previous

Report Section	Line Items
<u>2012-2017 Total</u>	
Activity Areas	48
Activities	106
Overall Project	6
Budget Suppl.	44
Cost Allocation. Suppl.	1
IT Supplemental	28
Total	233
<u>Semiannual Average</u>	
Activities	12
Sub-Activities	13
Overall Project	3
Budget Suppl.	33
Cost Allocation. Suppl.	0.5
IT Supplemental	7
Total	69

PPR-B Activities

Legal Authority and Governance	What are the primary strategies your Program has used to approach this Core Area?	Free text
Legal Authority and Governance	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Legal Authority and Governance	What are some of the significant barriers your program has encountered?	Free text
Legal Authority and Governance	What strategies has your Program employed to deal with these barriers?	Free text
Consumer and Stakeholder Engagement and Support	What are the primary strategies your Program has used to approach this Core Area?	Free text
Consumer and Stakeholder Engagement and Support	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Consumer and Stakeholder Engagement and Support	What are some of the significant barriers your program has encountered?	Free text
Consumer and Stakeholder Engagement and Support	What strategies has your Program employed to deal with these barriers?	Free text
Eligibility and Enrollment	What are the primary strategies your Program has used to approach this Core Area?	Free text
Eligibility and Enrollment	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Eligibility and Enrollment	What are some of the significant barriers your program has encountered?	Free text
Eligibility and Enrollment	What strategies has your Program employed to deal with these barriers?	Free text
Plan Management	What are the primary strategies your Program has used to approach this Core Area?	Free text
Plan Management	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Plan Management	What are some of the significant barriers your program has encountered?	Free text
Plan Management	What strategies has your Program employed to deal with these barriers?	Free text
Risk Adjustment and Reinsurance	What are the primary strategies your Program has used to approach this Core Area?	Free text
Risk Adjustment and Reinsurance	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Risk Adjustment and Reinsurance	What are some of the significant barriers your program has encountered?	Free text
Risk Adjustment and Reinsurance	What strategies has your Program employed to deal with these barriers?	Free text
Small Business Health Options Program (SHOP)	What are the primary strategies your Program has used to approach this Core Area?	Free text
Small Business Health Options Program (SHOP)	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Small Business Health Options Program (SHOP)	What are some of the significant barriers your program has encountered?	Free text
Small Business Health Options Program (SHOP)	What strategies has your Program employed to deal with these barriers?	Free text
Organization and Human Resources	What are the primary strategies your Program has used to approach this Core Area?	Free text
Organization and Human Resources	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text

Organization and Human Resources	What are some of the significant barriers your program has encountered?	Free text
Organization and Human Resources	What strategies has your Program employed to deal with these barriers?	Free text
Finance and Accounting	What are the primary strategies your Program has used to approach this Core Area?	Free text
Finance and Accounting	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Finance and Accounting	What are some of the significant barriers your program has encountered?	Free text
Finance and Accounting	What strategies has your Program employed to deal with these barriers?	Free text
Technology	What are the primary strategies your Program has used to approach this Core Area?	Free text
Technology	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Technology	What are some of the significant barriers your program has encountered?	Free text
Technology	What strategies has your Program employed to deal with these barriers?	Free text
Privacy and Security	What are the primary strategies your Program has used to approach this Core Area?	Free text
Privacy and Security	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Privacy and Security	What are some of the significant barriers your program has encountered?	Free text
Privacy and Security	What strategies has your Program employed to deal with these barriers?	Free text
Oversight, Monitoring, and Reporting	What are the primary strategies your Program has used to approach this Core Area?	Free text
Oversight, Monitoring, and Reporting	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Oversight, Monitoring, and Reporting	What are some of the significant barriers your program has encountered?	Free text
Oversight, Monitoring, and Reporting	What strategies has your Program employed to deal with these barriers?	Free text
Contracting, Outsourcing, and Agreements	What are the primary strategies your Program has used to approach this Core Area?	Free text
Contracting, Outsourcing, and Agreements	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
Contracting, Outsourcing, and Agreements	What are some of the significant barriers your program has encountered?	Free text
Contracting, Outsourcing, and Agreements	What strategies has your Program employed to deal with these barriers?	Free text
State Partnership Exchange Activities	What are the primary strategies your Program has used to approach this Core Area?	Free text
State Partnership Exchange Activities	What are some of your Program's significant accomplishments or strengths in this Core Area?	Free text
State Partnership Exchange Activities	What are some of the significant barriers your program has encountered?	Free text
State Partnership Exchange Activities	What strategies has your Program employed to deal with these barriers?	Free text

Line Item per Sub-Activity	Response Format
What is the status of this sub-activity?	Drop-down [Complete, Ahead, On Schedule, Behind, No Activity Planned]
What is your targeted quarter for completion of this sub-activity?	Drop-down [Quarter and Year]
Document evidence of completion (if you marked Complete) or Corrective Action (if you marked Behind)	Upload attachment

Core Activity	Activity Nickname	Activity Full Description
Legal Authority and Governance	Enabling authority for Exchange and SHOP	The State has enabling authority to operate an Affordable Insurance Exchange, including a Small Business Health Options Program (SHOP), compliant with Affordable Care Act Section 1321(b) and implementing regulations.
Legal Authority and Governance	Board and governance structure	The Exchange has been established with an Exchange Board and governance structure in compliance with Affordable Care Act 1311(d) and 45 CFR 155.110.
Consumer and Stakeholder Engagement and Support	Stakeholder consultation plan	The Exchange has developed and implemented a stakeholder consultation plan and has and will continue to consult with consumers, small businesses, State Medicaid and CHIP agencies, agents/brokers, employer organizations, and other relevant stakeholders as required under 45 CFR 155.130.
Consumer and Stakeholder Engagement and Support	Tribal consultation plan	Applicable only to States with Federally-recognized Tribes: The Exchange, in consultation with the Federally-recognized Tribes, has developed and implemented a Tribal consultation policy or process, which has been submitted to HHS.
Consumer and Stakeholder Engagement and Support	Outreach and education	The Exchange provides culturally and linguistically appropriate outreach and educational materials to the public, including auxiliary aids and services for people with disabilities, regarding eligibility and enrollment options, program information, benefits, and services available through the Exchange, the Insurance Affordability Program(s), and the SHOP. In addition, the Exchange has an outreach plan for populations including: individuals, entities with experience in facilitating enrollment such as agents/brokers, small businesses and their employees, employer groups, health care providers, community-based organizations, Federally-recognized Tribal communities,

Core Activity	Activity Nickname	Activity Full Description
		advocates for hard-to-reach populations, and other relevant populations as outlined in 45 CFR 155.130.
Consumer and Stakeholder Engagement and Support	Call center	The Exchange provides for the operation of a toll-free telephone hotline (call center) to respond to requests for assistance from the public, including individuals, employers, and employees, at no cost to the caller as specified by 45 CFR 155.205(a).
Consumer and Stakeholder Engagement and Support	Internet Web site	The Exchange has established and maintains an up-to-date Internet Web site that provides timely and accessible information on Qualified Health Plans (QHPs) available through the Exchange, Insurance Affordability Program(s), and the SHOP, and includes requirements specified in 45 CFR 155.205(b).
Consumer and Stakeholder Engagement and Support	Navigators	The Exchange has established or has a process in place to establish and operate a Navigator program that is consistent with the applicable requirements of 45 CFR 155.210, including the development of training and conflict of interest standards, and adheres to privacy and security standards specified in 45 CFR 155.210 and 45 CFR 155.260.
Consumer and Stakeholder Engagement and Support	Agents/brokers	If applicable: If the State permits activities by agents and brokers pursuant to 45 CFR 155.220(a), the Exchange has clearly defined the role of agents and brokers including evidence of licensure, training, and compliance with 45 CFR 155.220(c)-(e). The Exchange will have agreements with agents/brokers consistent with 45 CFR 155.220(d), which address agent/broker registration with the Exchange, training on QHP options and Insurance Affordability Program(s), and adherence to privacy and security standards, as specified in 45 CFR 155.260.
Consumer and Stakeholder Engagement and Support	Web brokers	If applicable: If the State permits activities by agents and brokers pursuant to 45 CFR 155.220(a), the Exchange has clearly defined the role of web brokers including evidence of licensure, training, and compliance with 45 CFR 155.220(c)-(e). Specifically, the Exchange has agreements with web brokers consistent with 45 CFR 155.220(d), which address agent/broker registration with the Exchange, training on QHP options and Insurance Affordability Program(s), and adherence to privacy and security standards, as specified in 45 CFR 155.260.
Eligibility and Enrollment	Single streamlined application(s) for Exchange and SHOP	The Exchange has developed and will use an HHS-approved single, streamlined application for the individual market – or will use the HHS-developed application – to determine eligibility and collect information that is necessary for enrollment in a QHP for the individual market and for insurance affordability programs as specified in 45 CFR 155.405. The Exchange has developed and will use an HHS-approved application for SHOP or will use the HHS-developed application for SHOP employers and employees as specified in 45 CFR 155.730.

Core Activity	Activity Nickname	Activity Full Description
Eligibility and Enrollment	Coordination strategy with Insurance Affordability Programs and the SHOP	The Exchange has developed and documented a coordination strategy with other agencies administering Insurance Affordability Programs and the SHOP that enables the Exchange to carry out the eligibility and enrollment activities.
Eligibility and Enrollment	Application, updates, acceptance and processing, and responses to redeterminations	The Exchange has the capacity to accept and process applications, updates, and responses to redeterminations from applicants and enrollees, including applicants and enrollees who have disabilities or limited English proficiency, through all required channels, including in-person, online, mail, and phone.
Eligibility and Enrollment	Notices, data matching, annual redeterminations and response processing	The Exchange has the capacity to send notices, including notices in alternate formats and multiple languages; conduct periodic data matching; and conduct annual redeterminations and process responses in-person, online, via mail, and over the phone pursuant to 45 CFR 155, subpart D.
Eligibility and Enrollment	Verifications	The Exchange has the capacity to conduct verifications pursuant to 45 CFR 155, subpart D, and is able to connect to data sources, such as the Federal Data Services Hub, and other sources as needed.
Eligibility and Enrollment	Document acceptance and processing	The Exchange has the appropriate privacy protections and capacity to accept, store, associate, and process documents received from individual applicants and enrollees electronically, and the ability to accept, image, upload, associate, and process paper documentation received from applicants and enrollees via mail and/or fax.
Eligibility and Enrollment	Eligibility determination	The Exchange has the capacity to determine individual eligibility for enrollment in a QHP through the Exchange and for employee and employer participation in the SHOP. In addition, the Exchange has the capacity to assess or determine eligibility for Medicaid and CHIP based on Modified Adjusted Gross Income (MAGI).
Eligibility and Enrollment	Eligibility determinations for APTC and CSR	The Exchange has the capacity to determine eligibility for Advance Payments of the Premium Tax Credit (APTC) and Cost Sharing Reductions (CSR), including calculating maximum APTC, independently or through the use of a Federally-managed service.
Eligibility and Enrollment	Applicant and employer notification	The Exchange has the capacity to independently send notices, as necessary, to applicants and employers pursuant to 45 CFR 155 subpart D that are in plain language, address the appropriate audience, and meet content requirements.

Core Activity	Activity Nickname	Activity Full Description
Eligibility and Enrollment	Individual responsibility requirement and payment exemption determinations	The Exchange has the capacity to accept applications and updates, conduct verifications, and determine eligibility for individual responsibility requirement and payment exemptions independently or through the use of Federally-managed services.
Eligibility and Enrollment	Eligibility appeals	The Exchange has the capacity to support the eligibility appeals process and to implement appeals decisions, as appropriate, for individuals, employers, and employees.
Eligibility and Enrollment	QHP selections and terminations, and APTC/advance CSR information processing	The Exchange and SHOP have the capacity to process QHP selections and terminations in accordance with 45 CFR 155.400 and 155.430, compute actual APTC, and report and reconcile QHP selections, terminations, and APTC/advance CSR information in coordination with issuers and CMS. This includes exchanging relevant information with issuers and CMS using electronic enrollment transaction standards.
Eligibility and Enrollment	Electronically report results of eligibility assessments and determinations	The Exchange has the capacity to electronically report results of eligibility and exemption assessments and determinations, and provide associated information to HHS, IRS, and other agencies administering Insurance Affordability Programs, as applicable. This includes information necessary to support administration of the APTC and CSR as well as to support the employer responsibility provisions of the Affordable Care Act.
Eligibility and Enrollment	High Risk Pool Transition Plan	The Exchange has a transition plan for high risk pools including State-based PCIP programs and other similar programs.
Plan Management	Appropriate authority to perform and oversee certification of QHPs	The Exchange has the appropriate authority to perform the certification of QHPs and to oversee QHP issuers consistent with 45 CFR 155.1010(a).
Plan Management	QHP certification process	The Exchange has a process in place to certify QHPs pursuant to 45 CFR 155.1000(c) and according to QHP certification requirements contained in 45 CFR 156.
Plan Management	Plan Management system(s) for processes that support the collection of QHP issuer and plan data	The Exchange uses a plan management system(s) or processes that support the collection of QHP issuer and plan data; facilitates the QHP certification process; manages QHP issuers and plans; and integrates with other Exchange business areas, including the Exchange Internet Web site, call center, quality, eligibility and enrollment, and premium processing.

Core Activity	Activity Nickname	Activity Full Description
Plan Management	Ensure ongoing QHP compliance	The Exchange has the capacity to ensure QHPs' ongoing compliance with QHP certification requirements pursuant to 45 CFR 155.1010(a)(2), including a process for monitoring QHP performance and collecting, analyzing, and resolving enrollee complaints.
Plan Management	Support issuers and provide technical assistance	The Exchange has the capacity to support issuers and provides technical assistance to ensure ongoing compliance with QHP issuer operational standards.
Plan Management	Issuer recertification, decertification, and appeals	The Exchange has a process for QHP issuer recertification, decertification, and appeal of decertification determinations pursuant to 45 CFR 155.1075 and 155.1080.
Plan Management	Timeline for QHP accreditation	The Exchange has set a timeline for QHP issuer accreditation in accordance with 45 CFR 155.1045. The Exchange also has systems and procedures in place to ensure QHP issuers meet accreditation requirements (per 45 CFR 156.275) as part of QHP certification in accordance with applicable rulemaking and guidance.
Plan Management	QHP quality reporting	The Exchange has systems and procedures in place to ensure that QHP issuers meet the minimum certification requirements pertaining to quality reporting and provide relevant information to the Exchange and HHS pursuant to Affordable Care Act 1311(c)(1), 1322(e)(3), and as specified in rulemaking.
Risk Adjustment, and Reinsurance	Risk adjustment program	The State has the legal authority to operate the risk adjustment program per 45 CFR 153 and Affordable Care Act 1343, if the State chooses to administer its own risk adjustment program.
Risk Adjustment, and Reinsurance	Reinsurance program	The State operates its own reinsurance program per Affordable Care Act 1341 requirements.
Small Business Health Options Program (SHOP)	SHOP compliance with 45 CFR § 155 Subpart H	The SHOP is compliant with regulatory requirements pursuant to 45 CFR 155 Subpart H.
Small Business Health Options Program (SHOP)	SHOP premium aggregation	The Exchange has the capacity for SHOP premium aggregation pursuant to 45 CFR 155.705.

Core Activity	Activity Nickname	Activity Full Description
Small Business Health Options Program (SHOP)	Electronically report results of eligibility assessments and determinations for SHOP	The SHOP Exchange has the capacity to electronically report information to the IRS for tax administration purposes.
Organization and Human Resources	Organizational structure and staffing resources to perform Exchange functions	The Exchange has an appropriate organizational structure and staffing resources to perform Exchange activities.
Finance and Accounting	Long-term operational cost, budget, and management plan	The Exchange has a long-term operational cost, budget, and management plan.
Technology	Compliance with HHS IT Guidance	The Exchange technology and system functionality complies with relevant HHS information technology (IT) guidance.
Technology	Adequate technology infrastructure and bandwidth	The Exchange has the adequate technology infrastructure and bandwidth required to support all of the Exchange activities.
Technology	IV&V, quality management and test procedures	The Exchange effectively implements IV&V, quality management, and test procedures for Exchange development activities and demonstrates it has achieved HHS-defined essential functionality for each required activity.
Privacy and Security	Privacy and Security standards policies and procedures	The Exchange has established and implemented written policies and procedures regarding the Privacy and Security standards set forth in 45 CFR 155.260(a)-(g).
Privacy and Security	Safeguards based on HHS IT Guidance	The Exchange has established and implemented safeguards that (1) ensure the critical outcomes in 45 CFR 155.260(a)(4), including authentication and identity proofing functionality, and (2) incorporates HHS IT requirements as applicable.
Privacy and Security	Safeguard Protections for Federal information	The Exchange has adequate safeguards in place to protect the confidentiality of all Federal information received through the Data Services Hub, including but not limited to Federal tax information.
Oversight, Monitoring, and Reporting	Routine oversight and monitoring of the Exchange's Activities	The Exchange has a process in place to perform required activities related to routine oversight and monitoring of Exchange activities (and will supplement those policies and procedures to implement regulations promulgated under the Affordable Care Act 1313).

Core Activity	Activity Nickname	Activity Full Description
Oversight, Monitoring, and Reporting	Track/report performance and outcomes metrics related to Exchange Activities	The Exchange has the capacity to track and report performance and outcome metrics related to Exchange Activities in a format and manner specified by HHS necessary for, but not limited to, annual reports required by Affordable Care Act 1313(a).
Oversight, Monitoring, and Reporting	Uphold financial integrity provisions including accounting, reporting, and auditing procedures	The Exchange has instituted procedures and policies that promote compliance with the financial integrity provisions of Affordable Care Act 1313 (and will supplement those policies and procedures to implement regulations promulgated under the Affordable Care Act 1313), including the requirements related to accounting, reporting, auditing, cooperation with investigations, and application of the False Claims Act.
Contracting, Outsourcing, and Agreements	Contracting and outsourcing agreements	The Exchange has executed appropriate contractual, outsourcing, and partnership agreements with vendors and/or State and Federal agencies for all Exchange activities and functionality as needed, including data and privacy agreements.
State Partnership Exchange Activities	Plan Management agreements	The State has appropriate agreements in place to operate the Plan Management activities for a State Partnership Exchange.
State Partnership Exchange Activities	Capacity to interface with the Federally-facilitated Exchange	The State has the capacity to interface with the Federally-facilitated Exchange, as necessary, to ensure a seamless consumer experience.
State Partnership Exchange Activities	Consumer Assistance agreements	The State has appropriate agreements in place to coordinate with the Federally-facilitated Exchange and has a plan for providing the Consumer Assistance activity(ies), including in-person assistance, for its State Partnership Exchange consistent with 45 CFR 155.205(d) and (e).

PPR-Overall Project

#	Line Item	Response Format
1	Project Status	Drop-down [Complete, Ahead, On Schedule, Behind, No Activity Planned]
2	Percentage of project completed [by quartile]	Drop-down [0-24%, 25-49%, 50-74%, 75-99%, 100%]
3	Overall Progress Narrative	Free text
4	Document approved changes to your Program's work plan.	Free text/upload
5	Please describe any changes to key personnel assigned to this project, including contractual staff.	Free text/upload
6	Request CCIIO consultation	Free text/check box

Cost Allocation Supplemental

Cost Allocation Methodology

Budget Supplemental

Financial Progress Report	Total Federal Funds Authorized	Federal Share of Expenditures	Federal Share of Unliquidated Obligations	Total Federal Share	Unobligated Balance of Federal Funds
State Personnel	\$ -	\$ -	\$ -	\$ -	\$ -
IT				\$ -	\$ -
Non-IT				\$ -	\$ -
Fringe				\$ -	\$ -
Travel				\$ -	\$ -

Financial Progress Report	Total Federal Funds Authorized	Federal Share of Expenditures	Federal Share of Unliquidated Obligations	Total Federal Share	Unobligated Balance of Federal Funds
				-	
Supplies	\$ -	\$ -	\$ -	\$ -	\$ -
IT				\$ -	\$ -
Non-IT				\$ -	\$ -
Equipment	\$ -	\$ -	\$ -	\$ -	\$ -
IT				\$ -	\$ -
Non-IT				\$ -	\$ -
Contractual	\$ -	\$ -	\$ -	\$ -	\$ -
IT				\$ -	\$ -
Non-IT				\$ -	\$ -
Consultant	\$ -	\$ -	\$ -	\$ -	\$ -
IT				\$ -	\$ -
Non-IT				\$ -	\$ -
Other [please specify]				\$ -	\$ -
TOTAL DIRECT COSTS	\$ -	\$ -	\$ -	\$ -	\$ -

Contractual - Detail	
Award Date	
Contractor if known	
Amount	
Period of Performance	
Services	

IT-PROF

#	Line Item	Response Format
1	State Population (2010)	Free text
2	Medicaid Enrollment (as of 12/31/2010)	Free text
3	Projected Newly Enrolled in Medicaid	Free text
4	Identify the percentage of your State's population that is uninsured.	Free text
5	Identify the percentage of your State's population that receives employee-sponsored health insurance benefits.	Free text
6	Identify the percentage of your State's population that purchases health insurance coverage through the individual market.	Free text
7	Identify the percentage of your State's population that are Medicaid beneficiaries.	Free text
8	Identify the percentage of your State's population that are Medicare beneficiaries.	Free text
9	Identify the percentage of your State's population that are forms of public insurance other than Medicaid or Medicare.	Free text
10	Name of Medicaid Program	Free text
11	Name of State Medicaid Agency	Free text
12	Does your State have a 1115 Comprehensive Demonstration Medicaid Waiver, and if so, what is the demonstration period?	Free text
13	Does your State have an Early Option Coverage?	Free text
14	Current Delivery System(s): address Fee For Service, Managed Care, and Other systems.	Free text
15	Is Children's Health Insurance Program (CHIP) run as a Medicaid expansion, or separately?	Free text
16	Name of CHIP Program	Free text
17	Name of Agency that Administers CHIP	Free text
18	Identify Medicaid Management Information System (MMIS) Vendor	Free text
19	Identify MMIS Platform	Free text
20	Identify age of current MMIS core system	Free text
21	Identify Medicaid/IE Eligibility System Vendor	Free text
22	Identify Medicaid/ IE Eligibility Platform	Free text
23	Identify age of current Medicaid/IE Eligibility Core System	Free text
24	Identify Exchange Vendor	Free text
25	Identify Proposed Exchange Platform	Free text
26	Identify Vendor Performing IT Gap Analysis	Free text
27	Is your Program developing to 7 S&C's?	Free text
28	Current Status of APD and RFP	Free text