All Documents Received to Clear Inconsistencies
Through 5-27

	Annual Income	Citizenship / Immig.	Current Income	ESC MEC	Residency	Incarcer-ation	Indian Status	Non-ESC MEC	SSN	Total
	Types that Cannot Be Cleared by FFM Systems					Types That Can Be Cleared by FFM Systems				
# of Inc. Generated*	1,619,423	1,460,445	86,562	424,164	NA	132,034	28,719	128,071	219,415	**4,098,833**
Documents Received**	398,941	371,137	29,091	41,864	46,963	22,876	9,748	18,216	50,283	**989,120**
Inconsistencies Mapped***	252,725	246,277	21,717	9,355	42,888	9,981	6,603	7,211	28,929	**803,796**
Resolved **** Affirmatively	0	62,235	0	0	0	6,645	5,128	4,380	18,536	**96,924**

* Data from ACN audit reports (not Midas) at Application Level

**Documents received, including scanned documents and electronic uploads, that have already been mapped to an inconsistency + estimate of Documents in house that will be mapped to an inconsistency. Does not include permanently archived or documents received for other business lines (RIDPs, Exemptions, Applications, etc.). Documents may be mapped to more than one inconsistency

*** Number of individuals for whom we have identified an inconsistency by mapping documents, including work in progress

**** Number of individuals cleared

Aging Report: QHP Citizenship / Immigration Inconsistencies Generated vs. Resolved (Individual Level)*

Aging**	QHP Enrolled	QHP Eligible (& Not Enrolled)	Total	QHP Enrolled	QHP Eligible (& Not Enrolled)	Total
	Generated			Affirmatively Resolved		
< 30 Days	13,738	12,535	26,273	588	145	733
30-60 Days	195,652	121,447	317,099	6,162	1,443	7,605
60-90 Days	306,422	174,362	480,784	16,229	3,340	19,569
> 90 Days	419,403	496,881	916,284	26,754	8,778	35,532
Total	935,215	805,225	1,740,440	49,733	13,706	63,439

* Analysis is completed by comparing Serco Databases to Midas report run on 5.10.14

** Age calculation = Date of Application – Date of Report

*** Current "Affirmatively Resolved" counts based on automated matching process comparing Serco Databases to MIDAS – Adding capability to: 1) clear individuals for applications where one person is cleared but not all individuals; and 2) clear applications that are cleared in Serco Database but did not match perfectly with MIDAS database; ability to search and update to be deployed week of 5-25

CMS Eligibility Support Update

John Lau, VP, Program Director

Mike Plymack, SVP, Federal Civilian Services Group

September 26, 2013

Agenda

- **Executive Summary**

- **Expected Status for 10/1**

- **Expected Status for 11/1**

- **Key Challenges**

- **Mitigation Strategies**

- **Key Commitments Between Us**

- **The Future State**

- **Appendix: Serco System Overview and Release Dates**

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Executive Summary

- Serco will have the ability to begin processing paper applications at the London, KY facility on Oct 1.

- Serco has worked closely with CMS to support initial operational processing needs and to compensate for the 6-12 month delay of Eligibility Support Desktop (ESD) functionality.

- Extensive manual input and supporting staff are also required to compensate for the missing ESD capability.

- Eligibility Support Workers will manually key in the Paper applications through the Consumer Portal. Key entry rate for this is about 1 application per hour.

- Critical functions to facilitate application entry cannot be performed without the further development and completion of the ESD.

- We need to consider as part of a contingency plan several CMS policy and processing changes that could expedite faster completion of eligibility applications.

- To avoid a repetition of this next year, we have several recommendations.

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ES Paper Processing Capability – October 1

Expected GFE Capability	Actual ESD	Serco Interim System
Applications	Limited	Scanning, Workflow Mgmt
Support Documents	None	Scanning, Workflow Mgmt
Appeals	None	Scanning, Transmittal to CCIIO
SHOP Applications	None	Scanning, Transmittal to CCIIO
Inconsistency Resolution	None	None
Complex Issue Resolution	None	None
Outbound Calls	None	Limited
Outbound Correspondence	None	None
Reporting	None	Limited

ES Paper Processing Capability – November 1

Expected GFE Capability	Actual ESD	Serco Interim System
Applications	Limited	Scanning, Workflow Mgmt
Support Documents	None	Scanning, Workflow Mgmt
Appeals	None	Scanning, Transmittal to CCIIO
SHOP Applications	None	Scanning, Transmittal to CCIIO
Inconsistency Resolution	Limited	Supplemental, Limited
Complex Issue Resolution	None	Limited
Outbound Calls	None	Enhanced
Outbound Correspondence	None	Limited (pending CMS approval of ltrs
Reporting	None	Enhanced

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Key Challenges

Challenge	Consequences
Application Entry Takes 1 hour rather than expected 5 minutes	Very likely to be a backlog on entering paper applications in spite of large numbers of staff assigned to this role – backlog could grow by 5,000 applications per in peak times.
Paper Support Documents cannot be uploaded into ESD	Inconsistency Resolutions delayed and eligibility decisions also delayed
No tools for resolving Complex Issues	Eligibility decisions delayed or not made
No link to Tier 1 Call Center	Status call to the Call Center cannot be answered for questions related to paper applications and supporting document submissions
No reporting capabilities from ESD	No management visibility into the operational status of the program

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Mitigation Strategies

Challenge	Mitigations
Application Entry Takes 1 hour rather than expected 5 minutes	Assign large numbers of staff to key entry of applications, work double shifts
Paper Support Documents cannot be uploaded into ESD	Create ability to handle in the Serco system using an indexing and storage capability
No tools for resolving Complex Issues	Adapt Serco System and assign special staff for a manual effort here
No link to Tier 1 Call Center	Create a daily status update file in Serco System which can be uploaded securely to the Tier 1 Call Center
No reporting capabilities from ESD	Add more robust reporting capabilities to the Serco system and define KPIs to align with new processes using ProgramVision and the Interim Case Management System

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Key Commitments Between US

- Serco will do whatever it can to prevent problems and backlogs from occurring. Our aim is to have enough staff working this to stay on top of it.

- If backlogs and delays materialize with the paper processing, don't throw us "under the bus." The root cause of these challenges is the failure of the ESD system, not Serco.

- CMS should be open to the possible need to "relax" Inconsistency Processing until later in the Open Enrollment Period to hasten the adjudication of Paper Applications.

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The Future State

The Administrative Processing to support ACA must be enhanced significantly. Here is how to ensure that things are much better next year and become the epitome of customer service, responsiveness, and efficiency:
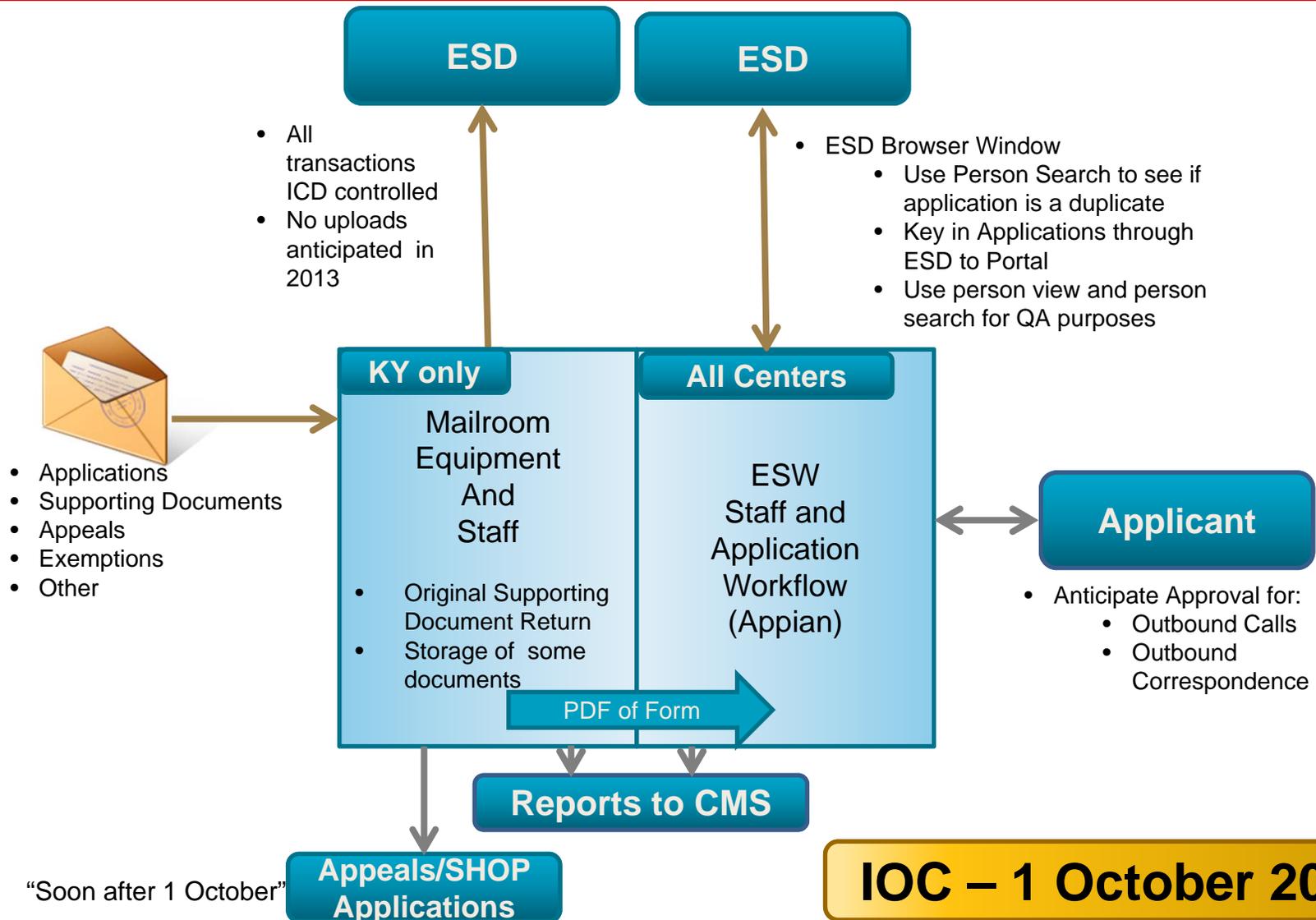
- The entire process needs to be redesigned, from the form design through the strategy for the Consumer Portal and role of the Call Center

- The workflow/business processing software must be separated from the Eligibility and Enrollment software in order to create a single, efficient job stream; no matter how a citizen applies, even if they use several modalities together (e.g., portal and paper or paper and phone, etc.)

- The IT group needs to focus on creating the software functions necessary to support the eligibility, enrollment, SHOP, and Appeals decisions.

Serco can help enormously with this effort and would like to help guide the changes. We want next year to be a giant step forward in the processing efforts for this Program.
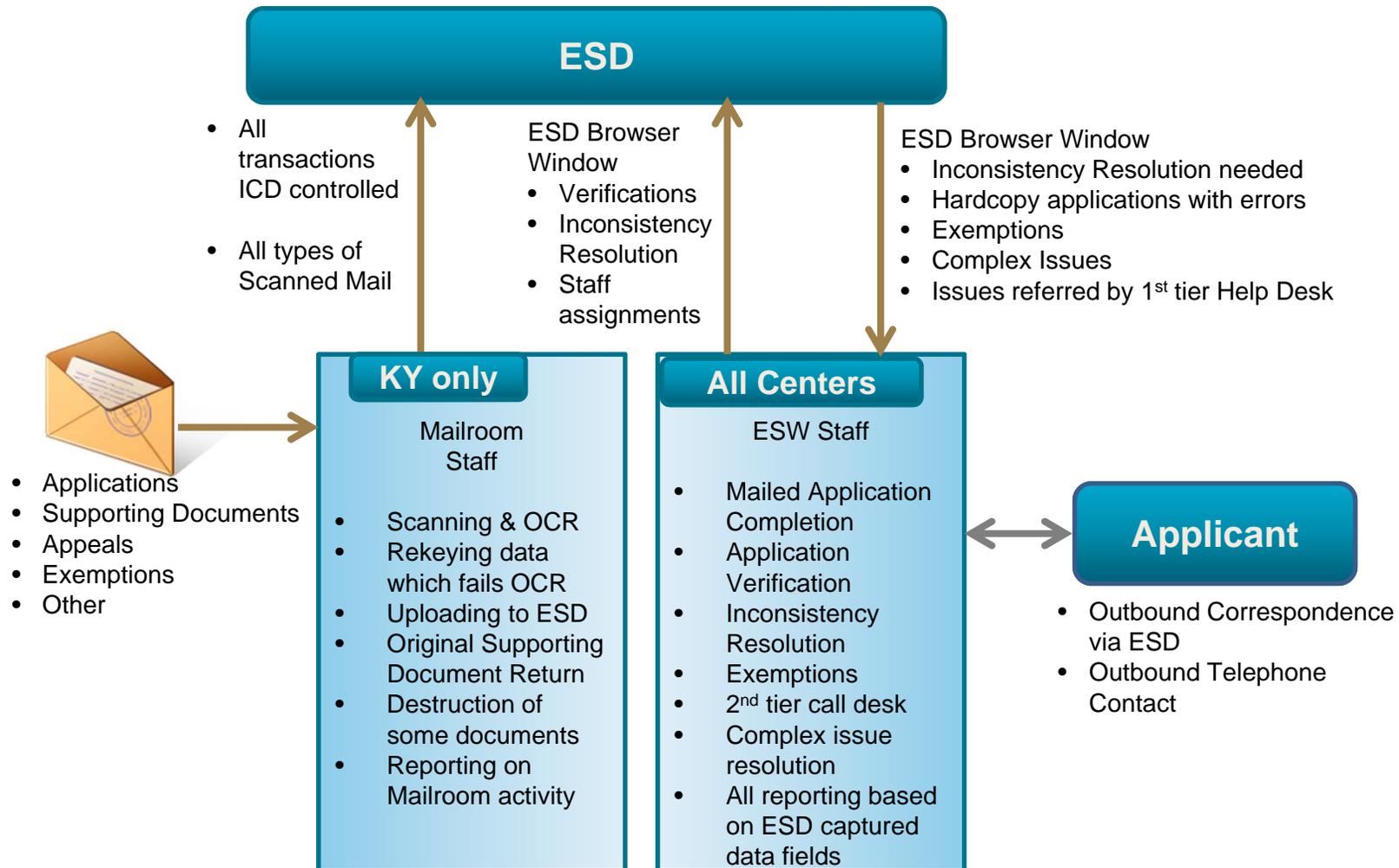
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Appendix Charts

Serco System Overview
and Release Schedule

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IOC Operations

ESD

ESD

- All transactions ICD controlled
- No uploads anticipated in 2013

- ESD Browser Window
  - Use Person Search to see if application is a duplicate
  - Key in Applications through ESD to Portal
  - Use person view and person search for QA purposes

KY only

All Centers

- Applications
- Supporting Documents
- Appeals
- Exemptions
- Other

Mailroom Equipment And Staff

- Original Supporting Document Return
- Storage of some documents

ESW Staff and Application Workflow (Appian)

Applicant

- Anticipate Approval for:
  - Outbound Calls
  - Outbound Correspondence

PDF of Form

Reports to CMS

"Soon after 1 October"

Appeals/SHOP Applications

IOC – 1 October 2013

V7   9/18/2013

End State Operations

ESD

- All transactions ICD controlled

- All types of Scanned Mail

ESD Browser Window
- Verifications
- Inconsistency Resolution
- Staff assignments

ESD Browser Window
- Inconsistency Resolution needed
- Hardcopy applications with errors
- Exemptions
- Complex Issues
- Issues referred by 1st tier Help Desk

- Applications
- Supporting Documents
- Appeals
- Exemptions
- Other

KY only

Mailroom Staff

- Scanning & OCR
- Rekeying data which fails OCR
- Uploading to ESD
- Original Supporting Document Return
- Destruction of some documents
- Reporting on Mailroom activity

All Centers

ESW Staff

- Mailed Application Completion
- Application Verification
- Inconsistency Resolution
- Exemptions
- 2nd tier call desk
- Complex issue resolution
- All reporting based on ESD captured data fields

Applicant

- Outbound Correspondence via ESD
- Outbound Telephone Contact

End State – TBD 2014

V1   9/23/2013

Candidate Release Schedule

RELEASE	ADDITIONAL FUNCTIONALITY	DESCRIPTION	ANTICIPATED TIMEFRAME
1	Manual Entry Decision Tool	The fields and descriptions walk the ESW through the decision criteria to determine whether there is sufficient information present to perform a manual entry of the data into the ESD. Record the results of the data entry if data entry is attempted by ESD staff. Added a requirement to report by name (for use by tier 1 call center) status of each person (uploaded, letter sent requesting data, in queue to upload, returned to sender, etc)	Live 1 Oct
2	Inconsistency Resolution • Soft copy (online) applications • Successful manual entries by ESW	Provides workflow for the resolution of both soft copy entries by applicants and manual entries by ESW staff that have made it to the Hub and then have had inconsistencies identified by FFM. Includes the solicitation and receipt of supporting documentation. Processing of supporting documentation and dialogue (if needed) with applicant to resolve inconsistency. Archiving image of supporting document and notes on how inconsistency resolved.	Live TBD (CMS considers highest priority for next release)
3	Outbound Communications: • Permission to Call • Autogenerated Letter	Establishes the policies/procedures, workflow and mechanisms for outreach to applicants for verbal or written resolution of unresolved application issues. Used for paper applications not yet fully input and used for inconsistency resolution.	Live TBD (High Priority)
4	Process & Performance Improvements	Given the metrics collected during the first operational phases, implements improvements to reduce entry time, increase throughput, and increase performance	Rolled out approximately every 2 weeks based on operations feedback
5	Perfecting Hard Copy Applications	Workflow to work with the applicant to improve (Perfect) the hard copy applications before they are uploaded to the system via key entry. This includes soliciting by call or letter the missing information so that the hardcopy application document can be keyed in. During this period before the application is submitted, the application is not visible outside of Serco/SWAT tool *other than in our daily status report.*	TBD (High Priority)
6	Exemptions Workflow	Provides additional workflow to support the resolution of exemption applications	Late Fall
D1	Begin Decommissioning of SWAT with ESD input of scanned applications	Decommission the data entry of applications and the perfecting of hardcopy applications (items 1 and 5) when ESD can accept scanned applications as originally planned.	Provides major productivity enhancement
D2	Transition of outbound communications	Decommission temporary solutions for outbound communications (item 3)	Moves toward FOC
D3	**Uploading other documents (non-applications) to ESD via XML**	**Decommission temporary solution for managing supporting documents**	Moves toward FOC
D4	Complete Appian Decommissioning	Provides for the full decommissioning of Appian as a workflow tool, with all workflow services replaced.	Moves toward FOC

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From:	Lau, John
Sent:	Thursday, March 27, 2014 4:44 PM
To:	Roche, Jacqueline
Cc:	Carabai, Jinean; Van, Charlayne; Moody, Francis; Montes, Oscar
Subject:	Two Estimates

Jackie,

Below are tables with the estimates you requested yesterday. The first is for Clearing Inconsistencies under "ideal conditions", including having the availability of all of the Inconsistency functionality in the FFM. The second is an estimate of what it will take to clear the current Exemption Queue with workable backlog.

For the Inconsistency processing, we have assumed that 3 million unduplicated inconsistencies across 3 million individuals will exist. This is after file cleanup and other activities to eliminate unnecessary or duplicative tasks. The calculations are shown below. One other note – I have used 2 million as the expected number of outbound calls to notify individuals to upload documents. I am hesitant to believe that after all cleanup and other activities that the number of calls required would be much larger than that.

Inconsistency Estimation	**Handle Times (min)**	**Inconsistency Count**	**People Count**	**Work Minutes**
A Inconsistencies Cleared from Mailroom Documents	10	275,000	200,000	2,750,000
B Inconsistencies Cleared from Uploaded Documents	5	2,725,000	2,800,000	13,625,000
C Inconsistencies Cleared When No Documents Present Initially	10		2,000,000	20,000,000
			Total Work Minutes	36,375,000
			Total Work Hours	606,250 Hours
			Total FTEs	316 FTEs

The total staff count required to clear these in one month is larger than our current staff count, so my guess is that it would be more realistic to assume this would be done over a six week period. This would reduce the staff count required to about 2,500 – a more realistic number.

Exemption Processing

The current queue for workable Exemption Requests contains about 9,500 applications. In order to clear that queue in a week, we would need to assign 450 ESWs above those currently working exemptions. The calculations are in the table below.

EXEMPTION PROCESSING		
ITEM	**Calculation**	
Total Number of Workable Tasks in Queue	9,500	Workable Exemptions
Average handle time per task	1.75	Hours
Total Work Effort to Eliminate Queue	16,625	Hours
Total FTEs Needed (1920 hours/FTE)	9	FTEs
Total Staff Needed to Clear in 1 Week	450	Staff

Let me know if you have any questions.

Regards,

John

Hayes, Sean

From:	Lau, John
Sent:	Thursday, March 27, 2014 5:49 PM
To:	Roche, Jacqueline
Cc:	Ficke, Kate; Carabai, Jinean; Van, Charlayne; Montes, Oscar; Moody, Francis
Subject:	RE: Inconsistency Call Plan
Attachments:	Inconsistency No Document Call Action Plan.docx

Must have been the email system!

From: Roche, Jacqueline R. (CMS/CCIIO) ███████████████████
Sent: Thursday, March 27, 2014 5:13 PM
To: Lau, John
Cc: Ficke, Kate; Carabai, Jinean; Van, Charlayne; Montes, Oscar; Moody, Francis
Subject: RE: Inconsistency Call Plan

I'm calling both of you as there is no attachment ☺

From: Lau, John ███████████████████
Sent: Thursday, March 27, 2014 5:01 PM
To: Roche, Jacqueline R. (CMS/CCIIO)
Cc: Ficke, Kate (CMS/CCIIO); Carabai, Jinean (CMS/CCIIO); Van, Charlayne (CMS/CCIIO); Montes, Oscar; Moody, Francis
Subject: Inconsistency Call Plan

Jackie,

Attached please find the Plan we developed to explain how we will carry out the call program for applicants with Inconsistencies and no documents uploaded. You had asked for this yesterday.

If there are any issues with this, Francis wrote it, so contact him. If it looks okay, just let me know. I'll pass that on to Francis when I get a chance. ☺

Just kidding. Call me with any questions.

John

Inconsistency No Document Call Action Plan

As we approach the March 31st end of the Affordable Care Act Open Enrollment period, we are initiating actions to maximize the number of inconsistencies that we can clear. Of the 3 million inconsistencies that have been generated, only 90,000 documents that might clear an inconsistency have been uploaded by consumers. We are proposing to call consumers that have not uploaded the acceptable document(s) required to overcome their inconsistencies

We are proposing to implement the following plan:

1. **Database Preparations to develop Inconsistency No Document Call Lists:**
    a. Develop/Compile the 003 Audit File Database as the baseline (Completed)
    b. Develop/Compile the 001 Audit File Database
    c. Develop a Database Table that includes all inconsistencies that we've cleared (Completed)
    d. Develop a Database Table that includes all header information for all consumers who mailed us documents (Completed)
2. **Develop & Deploy Inconsistency No Document Research Lists:**
    a. Compare the databases listed in items 1b., 1c., and 1d. above to the 003 Audit File Database
    b. Comparison results in a list of consumers with:
        i. First Name,
        ii. Last Name,
        iii. DOB,
        iv. Application ID#, and
        v. State
    c. The resulting database will be deployed to Processing Eligibility Support Workers (ESWs)
        i. ESWs will perform searches in ESD to capture the consumer telephone number and enter it into the call list
        ii. Completed lists with telephone numbers will be saved for compiling
3. **Deploy Inconsistency No Document Call Lists:**
    a. Call list will be compiled by Database Administrators to deploy
    b. Lists will be deployed to the Outbound Call ESWs
    c. Outbound Call ESWs will verify that the inconsistency still exists if it is visible in ESD
    d. The ESW would initiate the call, provide the information to the consumer, or leave a message.

We are prepared to begin these efforts quickly. Serco's Database Administrators can quickly develop the databases required in order to develop the Inconsistency No Document Call List table. Once the table is developed, we will deploy it to ~600 Processing ESWs located across all four Eligibility Support Centers.

As the call lists are developed, we will compile them and deploy them each night to ~550 Outbound Call ESWs who call the consumers to inform and guide them to the Healthcare.Gov portion of the website that lists the acceptable documents to clear their inconsistencies. We will also provide them the Health Insurance Marketplace Call Center telephone number if they need additional assistance.

Given the other calls we must make to complete Applications and Exemptions, we estimate that we can complete the 3 million calls in 45 to 60 days from the time that begin this initiative. This will encourage many consumers to upload the documents to clear inconsistencies so that Serco will be able to clear more inconsistencies when the system functionality and new capabilities are deployed.