5 Mandatory Requirements

B. Reporting Requirements

This list of the Reporting Requirements is referenced throughout the RFP. The Contractor shall include a narrative summary to reports/submissions and may include graphs that explain and highlight key trends. The Contractor shall comply with all the reporting requirements established by ETF. The submission of late, inaccurate, or otherwise incomplete reports shall constitute failure to report and shall be subject to the penalties described in the Performance Standards.

For the Operational Reports listed below, unless otherwise specified, if the Contractor meets the target for a given report, the Contractor shall only complete a short narrative description on the report cover sheet. For any report that indicates that the Contractor is not meeting the target, the Contractor shall submit a detailed narrative that includes the results, an explanation as to why the Contractor did not meet the target, and the steps the Contractor is taking to improve performance going forward.

The Contractor shall securely submit, email, post or host all reports electronically in the form and format required by ETF, and shall collaborate and participate with ETF in the development of detailed specifications for these reports. These specifications shall include benchmarks and targets for all reports, as appropriate and available. Targets shall be changed to reflect improvement in standards over time. The Contractor shall collaborate and participate with ETF in the development of the report formats to be produced by the Contractor, and shall receive ETF approval prior to use for a Reporting Requirement listed below.

ETF may, at its discretion, change the content, format or frequency of reports during the term of the Contract. ETF shall notify the Contractor of any updates to the report content, formats or frequency and the Contractor shall comply with all changes specified by ETF.

The following table is a summary of the periodic Reporting Requirements for the Contractor and is subject to change at any time during the term of the Contract. The table is presented for convenience only and should not be construed to limit the Contractor’s responsibilities in any manner. The Operational and Analytic Reports may be created on a phased-in or incremental approach, as agreed upon by both ETF and the Contractor(s). Unless otherwise agreed to by ETF and the Contractor(s) the deliverables listed below are due by 5:00 PM CDT/CST on the due date indicated, if the due date falls on a weekend or a State Holiday, the due date is 5:00 PM CDT/CST on the next Business Day.

The Contractor shall comply with all the reporting requirements established by ETF. The submission of late, inaccurate, or otherwise incomplete reports shall constitute failure to report and shall be subject to the penalties described in Appendix 10 - Mandatory Requirements - Tab C. Performance Standards.

Operational Reporting (Data Warehouse & Visual Business Intelligence)			
Brief Description	**Detailed Description**	**Frequency**	**Solution**
DSE File Submission Status Report (FSSR)	File Submission Status Report (FSSR): The Contractor shall provide DSEs and users of the DW with information regarding the status of submitted files that are integrated, aggregated, and collected for inclusion in the DW. The report shall be provided to Data Submitting Entities (DSEs) by the Contractor, and indicate if the DSE submitted file has been incorporated into the DW or not. The report shall allow interested parties to determine which claim, Provider and eligibility files have been incorporated into the DW, and which files may not be included because the files have not yet been received, failed or are being withheld pending correction of data issues. Available values are minimally as follows: 1) Missing submission; 2) Failed submission; 3) Submission awaiting staging; 4) Submission loaded to staging; 5) Submission successfully loaded; 6) Date/time of submission; 7) Number of rows submitted; 8) If data file resulted in a failed submission, the reason(s) for the failed submission. Data submissions from DSEs that are overdue result in missing data in the DSE extracts. This condition shall be reported to ETF when detected by means of the status report. The Contractor shall track and communicate to ETF overdue and otherwise non-compliant DSEs.	Immediate or within 24 hours of file submission	DW

Data Validation	A number of data quality assurance, standard control and reconciliation reports shall be produced summarizing the results of the data validation evaluations. The Contractor(s) shall provide automatic documentation and dissemination of findings of data completeness, consistency and accuracy to ETF, Health Plan(s) (Health Plans will only receive results regarding their Health Plan submission), and salient DW user(s) within three (3) Business Days of data submission, or pending the processing of the file submission. The Contractor shall maintain and update, as needed, DSE/data element specific quality assurance thresholds. The ETL process(es) developed will include such data quality metric checks as desired and approved by ETF, with an agreed upon alerting mechanism when these thresholds are not met. These shall minimally include the following: 1) Assurance of proper loading of data files (e.g. ensure layout specifications adhere to physical file layout); 2) Reconciliation of control totals (number of records, totals for key financial and other fields); 3) Assurance of proper data (e.g. proper dates of service, Providers); 4) Performance of initial evaluation of data elements including a comparison of the contents of each data element with standard tables describing valid values and fields. Non-standard data element values go through further review and verification; 5) Summary of relevant financial fields – initial summary of values for key financial fields including their distribution and relationship to other data elements (e.g. paid amounts versus allowed amounts); and 6) Performance of reconciliation to other independent data sources, if relevant (e.g. summary of financial results, enrollment, PMPM amounts, utilization per 1,000, invoices, etc.). After an initial evaluation of data, a more comprehensive data validation will be conducted, including the following: I) Claims Data: 1) Validation of financial data elements. Validate all financial fields, ensuring proper amounts; 2) Proper coding of key descriptive data elements. Ensure complete and appropriate values for data elements describing place of service, type of service, service Provider, type of claim, etc.; 3) Procedure coding. Check that procedure codes and modifiers map to standard CPT and HCPC and local (homegrown) coding tables; review distribution of codes for reasonableness; 4) Diagnostic coding. Ensure that sufficiently complete and valid diagnostic codes are entered, and the values correspond to valid ICD9/ICD10 classifications. Identify and document any systematic under-coding and up-coding of diagnostic information by Provider or other entity; 5) Assess the prevalence of duplicate, denied, reversed or partially reversed claims. Mark claims to exclude, where indicated, from utilization counts and other analysis, etc.; 6) Confirm network Provider status. Where applicable, confirm network Provider status (e.g. in-network vs. out-of-network); 7) Ensure that key cost sharing fields are available, and are reasonable relative to plan design; and 8) Identify retail/mail order indicator. Identify NABP numbers and pharmacy name for mail order channel, or locate mail order indicator in Rx claims data file. II) Membership Data: 1) Evaluate member enrollment files including checking for gaps in eligibility and duplicate enrollment records. Confirm monthly subscriber and member counts; 2) Confirm plan option breakouts. Confirm product codes exist, where appropriate, to provide benefit breakouts (e.g. PPO vs. HMO; carve-out Rx; carve-out mental health and substance abuse Providers); and 3) Validate group identifiers. Confirm definitions for all Group ID numbers (e.g. actives, retiree, COBRA, etc.) and ensure data files are not missing key Groups. Monthly and/or upon DSE data submission, the Contractor shall provide an overview report that summarizes and assesses the quality and completeness of the data in regards to its use for analytic tasks. The report shall include assessment of completeness and quality of the data and potential solutions and recommendations to improve the data.	Monthly or upon DSE data file submission	DW & VBI

REPORTING REQUIREMENTS

UAT, Development & Production	A System Testing Plan for organizing, summarizing, analyzing and reporting test, development and production results will be created for ETF review. The Plan must also address how progress status/completion status of the testing activities will be reported to ETF. All test results, including, at a minimum, screen prints, test reports, and test inputs cross-referenced to the expected test results shall be included in the System Testing Plan. The System Testing Plan shall also minimally include the following: 1) Corrective actions taken and retest documentation for all problems identified in the initial tests and all retests will be reported in the System Testing Plan; 2) Integration test methodology for a comprehensive report, an integration test summary report to be delivered upon completion of all integration test plan activities, tasks, and milestones. Integrated data and system test results which show that the system can perform all integrated functions through the system, and will provide an integration test results report for delivery to ETF with each modernization project system, subsystem, component, or service integration into the computing environment, which must then be added to the subsequent executions as baseline tests; 3) A summary of the status of testing, including numbers of problems identified by type of problem, priority, numbers of problems corrected, any significant outstanding issues, the effect of any findings on the implementation schedule, and other related events; 4) A process for reporting and tracking deficiencies identified during UAT or any other aspect of operations; 5) Analysis of production versus test and development regions and results.	Monthly	DW
Project Management Plan	Project Management Status Reporting Procedures – ETF requires, at a minimum, weekly project status reports and monthly executive status reports unless otherwise approved by ETF during the course of the project. The Project Management Plan, and especially the detailed project schedule and Work Breakdown Structure, must be completed within thirty (30) Calendar Days of the project start date, but should be completed as soon as possible after Contract execution. The Contractor(s) will provide a project/performance management tool to electronically define, capture, and report project services delivery performance and the reporting capability to report electronically, online in a dashboard, with hardcopy print capability. The tool must have the capability to capture work plan estimates, actuals, estimates to complete, and a reporting capability to see the information in a variety of standard reporting formats (e.g. Gantt charts, task lists, key activity lists, tiered tasks levels, priority, dependencies, successor and predecessor, open, closed, remaining hours, estimated hours, actual hours, planned hours, and baselines).	Weekly/Monthly	DW & VBI
Implementation Master Plan (IMP)	The Contractor(s) must provide to ETF a high level module IMP that outlines the methodical approach for activation of the modules, software and technology services in accordance with the scope that is proposed. The IMP System Performance Management Plan details the Contractor's methodical approach and detailed steps to identify, capture, measure, monitor, and report the technical and operational performance criteria to be used as key performance indicators (KPIs) measures against the Contractor's service level agreements (SLAs). The Contractor(s) must conduct regularly scheduled reviews with ETF to assess performance and modify the KPIs and SLAs as advancements of the operational process maturity occur. The Contractor(s) must adhere to the project's change order (CO) process as agreed with ETF for any modifications to the KPIs or SLAs. The IMP is accompanied by several companion subsidiary plans whose requirements must be delivered by the Contractor(s) in accordance with the proposed methodology.	Monthly	DW & VBI
Risk Management Plan	The Contractor(s) must describe appropriate methods, tools, and techniques for active and ongoing identification and assessment of project risks; development of risk avoidance, transfer, mitigation, or management strategies; and monitoring and reporting of risk status throughout the life of the project. The Contractor(s) must provide a Risk Management Plan within thirty (30) Calendar Days of Contract award. The Plan must document all identified risks. An assessment must be conducted and documented for each identified risk. The Contractor(s) will work with ETF to ensure appropriate mitigation strategies are identified, documented, assigned, and implemented in a timely manner.	Monthly	DW & VBI

REPORTING REQUIREMENTS

Customer Relationship Management Log	The Contractor(s) will provide a tool to track and manage user support, issue and problem requests integrated with customer relationship management functionality. The tool must track, at a minimum, a description of the question, issue or request and the date it was received; system area/topic of question, issue or request such as claims, TPL; the person to whom the question, issue, or request was assigned; the date the question, issue, or request was resolved; a brief description of the resolution; and identifying information if the question, issue or request pertains to a specific claim, case or individual. The tool shall have the ability to produce reports at intervals established by ETF.	Monthly	DW & VBI
Service Level Agreement Performance Standards Monitoring	SLAs will play an important role in defining and managing the relationship between the Contractor(s) and ETF under the Contract. SLAs define ETF's service requirements and expectations regarding how the Contractor(s) will meet these requirements. The Contractor(s) shall report to ETF monthly on their performance against SLAs, and how the SLAs were evaluated. See also the Performance Standards Requirements for additional information.	Monthly	DW & VBI
Maintenance, Support, and Security Tracking	Contractor(s) shall generate and provide planning, monitoring and reporting services that include the activities associated with the ongoing surveillance, tracking, escalation, resolution and reporting of application development problems. The Contractor(s) shall generate, provide to ETF and review these reports at least monthly or upon any critical error or event. Monitoring plans shall provide a specific list of all physical devices, hosts, ports, URLs, Websites and other components that are required to be actively monitored. Monitoring plans shall include provisions for the detection of actions that attempt to compromise the confidentiality, integrity or availability of resources or data. The Contractor shall provide to ETF a consolidated list of major activities underway, their status and plans for the next reporting period. This report, plan and monitoring shall minimally include: 1) Monitoring the health of the application and notifying the operations team of potential issues; 2) Monitoring the connections between the different layers of the DW or VBI systems; 3) Monitoring for critical exceptions within the application; 4) Monitoring the transaction, data access, and login use rates for capacity and security auditing; 5) Monitoring system access date and time, username attempting access, success or failure of access, source of access, and lineage and targets of access; 6) Monitoring the connections between the different layers of the system and the public Internet; and 7) Critical errors shall be generated in terms of alarms that are logged and submitted to relevant contacts by email, text messaging or other method(s), as agreed upon by ETF. Such alarms shall also correspond to a service request management system ticket.	Quarterly or upon detection or updating	DW & VBI
Management and Administrative	The Contractor(s) will define, execute, and demonstrate success of the following test objectives within the computing environments to ETF at defined intervals: 1) Performance testing; 2) Load testing; 3) Stress testing; 4) Security and privacy compliance testing; and 5) Cycle to cycle testing dependencies (e.g. claims, financials, monthly).	Monthly	DW & VBI

REPORTING REQUIREMENTS

Analytic and Dashboard[1] (Visual Business Intelligence)			
Brief Description	**Detailed Description**	**Frequency**	**Proposer Bid**
Appendix 7 - Plan Utilization and Rate Review Information	A dashboard shall be created detailing each field, result and/or segmentation in each table of the Appendix 7 reports that shall be drillable, and have the noted minimum required capabilities.	Monthly	VBI
Preventables	A dashboard shall be created detailing preventable candidate admissions, readmissions, complications, and emergency department visits. The rate, frequency, frequency per thousand (F/1,000), paid/allowed amount, and per member per month (PMPM) amounts shall have microcharts and graphs surrounding the following data elements: Health Plan or TPA, facility, major diagnostic category (MDC), diagnostic related groups (DRG) and DRG type, clinical classification software (CCS) groups or chronic condition indicators, physician specialty, Provider clinic, discharge location, risk scores, and relevant demographic and geographic information.	Monthly	VBI
Wellness	A dashboard shall be created detailing the number of health risk assessments completed, as well as a summary and analysis of the information collected as it pertains to the prevalence of chronic conditions, participation rates in ETF's Wellness, Disease Management, Health Coaching or Complex Case Management programs, program need for preventive care, and relevant demographic, Health Plan or TPA, Provider and geographic information. Program participants versus matched control non-participants shall be minimally compared by risk scores, as well as frequency, frequency per thousand (F/1,000), paid/allowed amount, and per member per month (PMPM) amounts.	Monthly	VBI
Provider	A dashboard shall be created that is segmented by Health Plan or TPA, individual physician, physician specialty, and Provider clinic for the following: 1) Provider tiering based on measures of Provider healthcare cost and quality; 2) identification of variation in healthcare service procedure cost and utilization; 3) Provider referral patterns (e.g. PCP to specialist, in-network to out-of-network); 4) Provider network leakage, including any/all logic used to create this reporting/analysis (e.g. episode groupers, total cost to treat conditions). This dashboard shall minimally incorporate member population risk score or Provider case mix index algorithms, and relevant member population demographic and geographic information. As identified in the Performance Standards, the population health management (PHM) quality of care (QOC) measures shall be refreshed quarterly, be contained within this dashboard, and shall be one measure/method used to evaluate Provider quality.	Monthly (and PHM/QOC measures refreshed Quarterly)	VBI
Pharmacy	A dashboard shall be created integrating the pharmacy components (e.g. frequency, frequency per thousand (F/1,000), paid/allowed amount, and per member per month (PMPM) amounts) from both medical and Rx claims. The dashboard shall include the following minimal segmentations: 1) therapeutic Rx classification; 2) prescribing Provider; 3) clinical classification software (CCS) groups or chronic condition indicators; 4) generic, brand, and high-cost brand biologics; 5) member risk score group segmentations, and relevant demographic and geographic information. This dashboard shall also contain metrics based on the following algorithms: 1) medication compliance; 2) medication adherence; and 3) adverse drug events.	Monthly	VBI
Health Care Performance Metrics Reporting	Appendix 8 - Sample Health Care Performance Metrics contains a sample of healthcare performance metrics that are based on HEDIS measures reported in the It's Your Choice Health Plan Report Card. When the metrics are implemented, a baseline will be created, and then target levels will be established for each component measurement. The Contractor can be awarded points based on the success of their medical management programs by evaluating actual measure results compared with established measure targets.	Quarterly	VBI

REPORTING REQUIREMENTS

Management and Administrative	A dashboard shall be created with select elements from all developed dashboards for ongoing tracking and monitoring (e.g. Appendix - 7 Plan Utilization and Rate Review Information; Preventables; Wellness; Provider; Pharmacy).	Monthly	VBI

[1]Dashboard Minimum Required Capabilities (see also VBI Requirements in Tab A. Technical Requirements for additional reference and information):

1) Automated integration of financial, diagnostic, quality, member, and other KPI metrics built into the data model or contained within the tool capability;
2) Drilldown capabilities to enable easy comparisons, without the need to pull or create additional reports;
3) Measure selection that enables drilldown into any specific measurement or data element within the dashboard;
4) Minimum rolling 24-month trends with microchart (and advanced charting and visualization) capabilities;
5) Customizability, ease of use, self-service, and dynamic features;
6) Predictive modeling (prospective and retrospective) shall be added to all dashboards (with the exception of the Appendix 7 - Plan Utilization and Rate Review Information dashboard) (e.g. 1) Preventables: predicting a subset of members most at-risk for a preventable readmission; 2) Wellness: predicting members who will benefit most from an intervention; etc.); and
7) Expected versus actuals, and variance ratios.