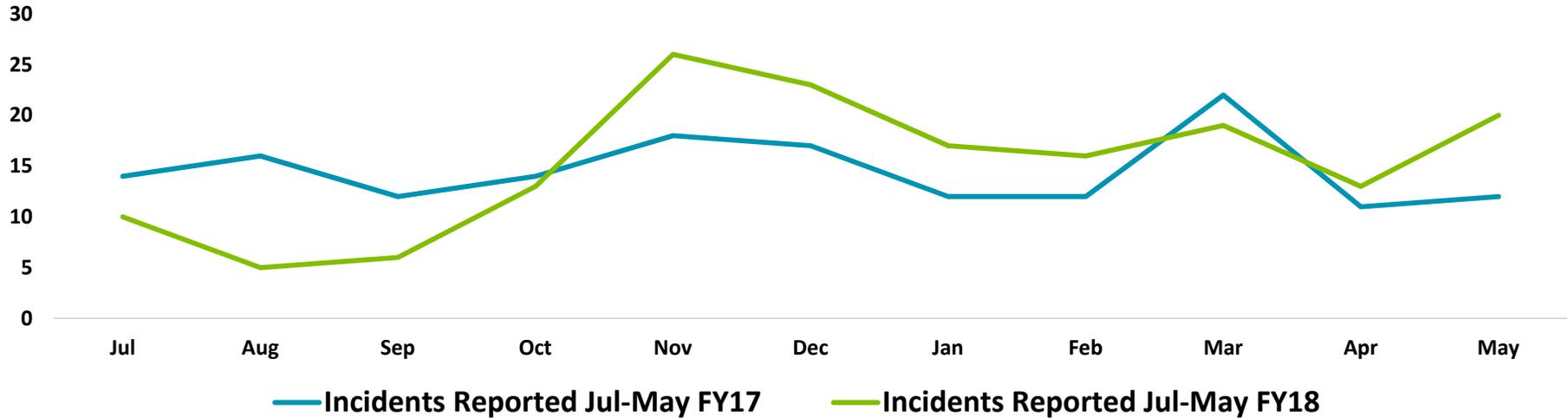




MHBE COMPLIANCE REPORT
to
MHBE BOARD OF TRUSTEES

June 18, 2018

Privacy Incidents - FY17 vs. FY18



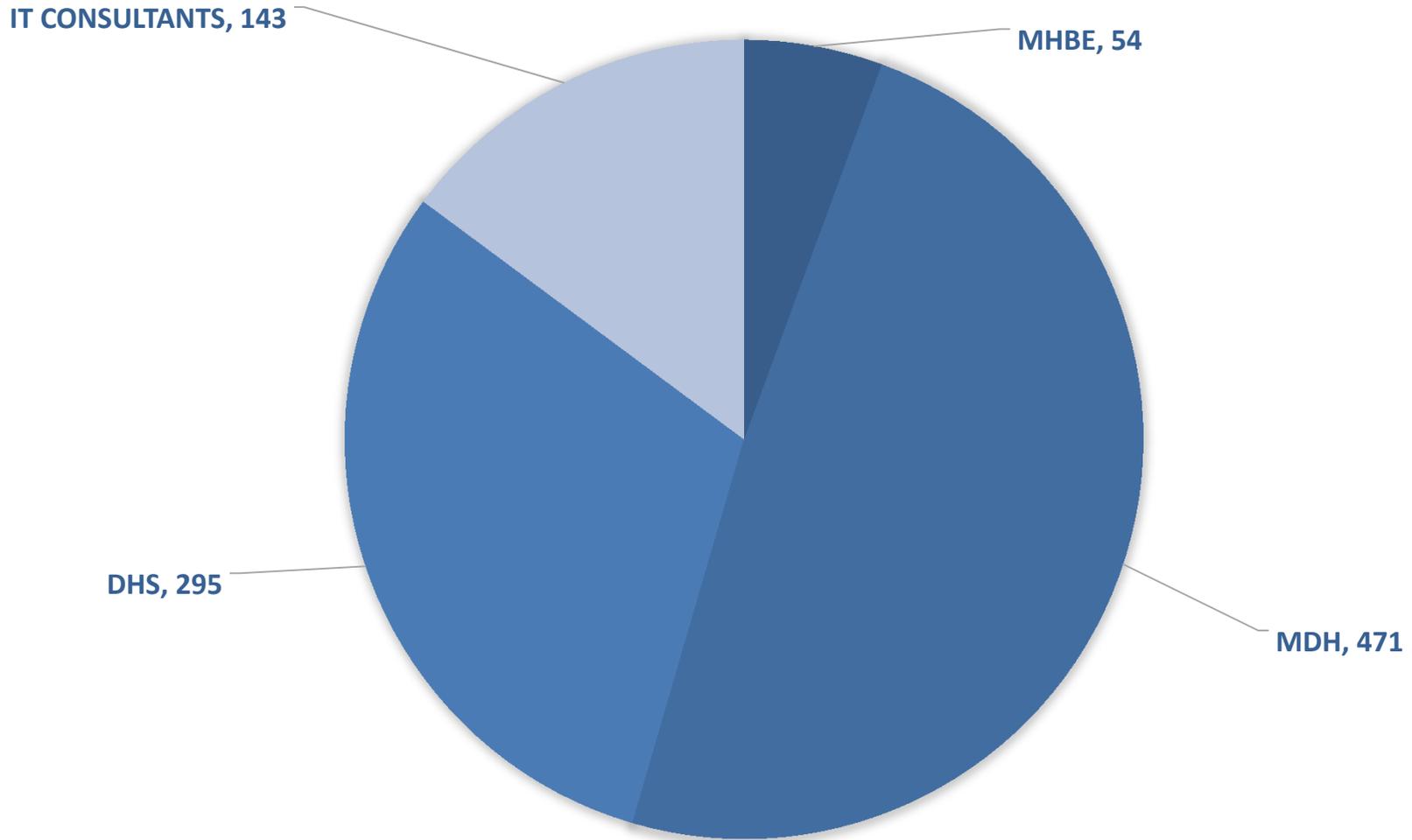
PRIVACY INCIDENTS FYTD 2018

- 168 Reported incidents; 50 Breach notifications
- 5% Increase in reported incidents - from 160 to 168
- 15% Increase of Misloaded documents
1.66 to 1.91 per 10,000 (**104 in 545k uploads**)
- Misloaded VCLs account for 62% of Incidents
- 44% Decrease in rate of CSR phone incidents
2.72 to 1.53 per 100,000 calls (**17 in 1.1M calls**)
- 52% Reduction in avg. days from Misload to report – 50 to 24
- 57% Misloads fully resolved within 36 hours of notification

MITIGATION STRATEGIES FY18

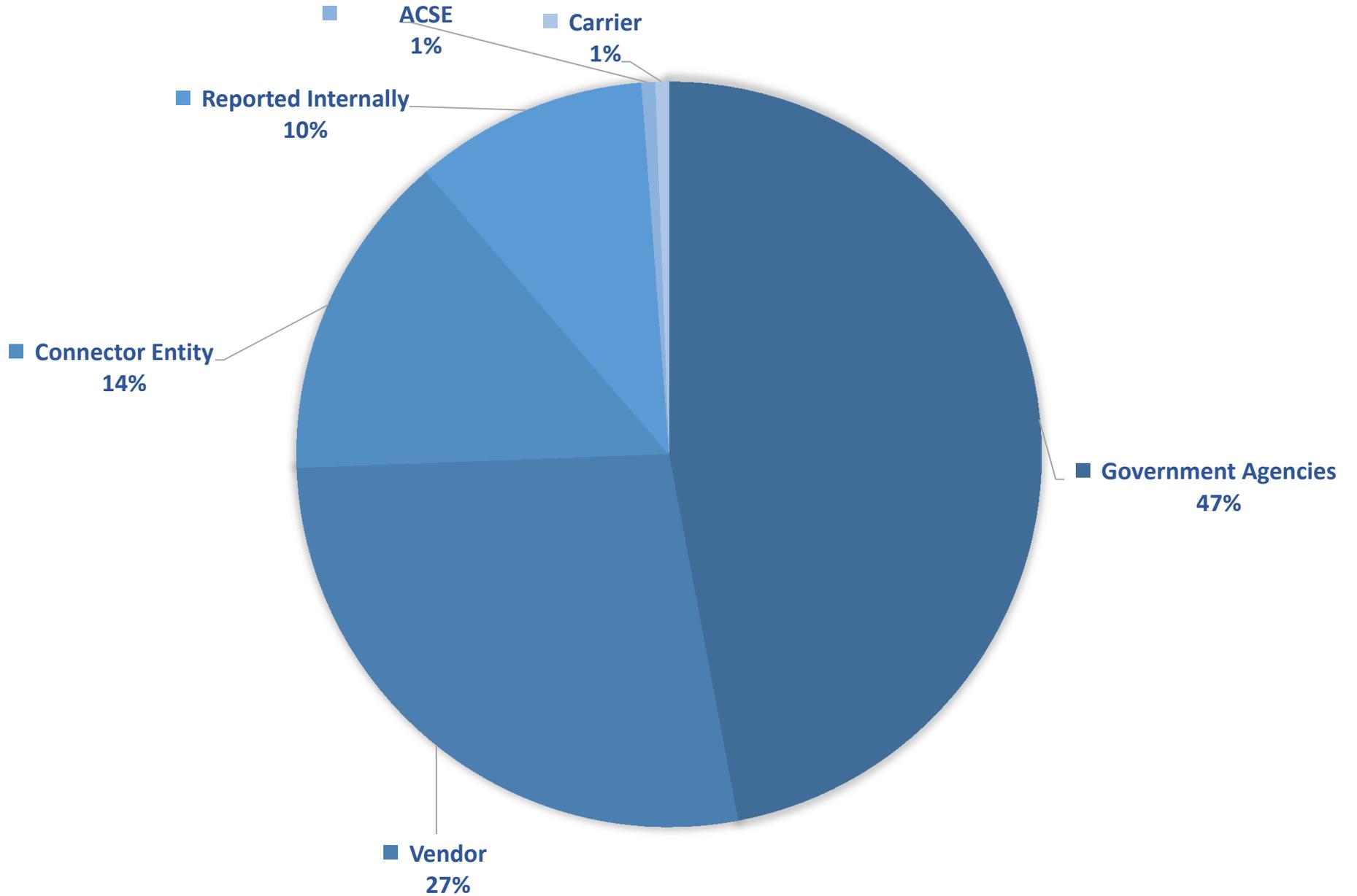
- ✓ Salesforce Customer Record Management System modules for Call Center and for MDH
- ✓ Enhanced Data Use Agreements inclusion of ACA Privacy and HIPAA requirements
- ✓ Revised and Enforced Internal and External stakeholders' Privacy training and attestation
- ✓ Collaborated with Call Center Privacy team to align processes
- ✓ Enhanced IT Security training program
- ✓ Consistently met internally established notification requirements

FY18 PRIVACY, COMPLIANCE AND IT SECURITY TRAINING AND ATTESTATION



N = 963

FY18 REPORTING TYPE ENTITIES



Fraud, Waste and Abuse Investigations

FY 18 YTD Report of Fraud, Waste and Abuse: 16 Allegations

- ❖ 5 – Referred to MDH OIG Medicaid
- ❖ 7 – Not Founded
- ❖ 1 – Partially Founded
- ❖ 3 – Open

	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MARCH	APRIL	MAY	JUNE
OLA Fiscal Compliance Audit	← 6/5/17 to est 6/14/18											
Third Party IT Security/ Authority to Connect	7/15/17 to 10/01/17											
Recruitment & Examination Division (RED) Audit			09/29/17									
OLA IT Security Audit							1/8/18 to ~8/30/18					
Ind. Ext. Financial Onsite Audit and Report							01/23/18 to 3/30/18					
System Security Report/IRS Safeguards CAP								3/1/18 to 05/30/18				
PY17 SMART							2/01/18 to 5/31/18					
Ind. Ext. Programmatic									3/30/18 to 5/31/18			
PY19 Privacy Impact Assessment Report								3/1/18 to 6/27/18				
FY18 MARSE Self-Assessment								3/1/18 to 6/30/18				

AUDIT STATUS
AS OF Q4 FY2018

MARYLAND
HEALTHBENEFIT
EXCHANGE

Office of Legislative Audit (OLA) Finance Performance – 2014 – 2017 Audit

- ❖ Procurement
- ❖ Purchases and Disbursements
- ❖ Medicaid Eligibility Determinations
- ❖ Access Control

State-based Market Annual Reporting Tool (SMART) for Plan Year 2017

- ✓ Verification of American Indian/Alaska Native
- ❖ Incarceration – Passive Renewals
- ❖ Verification of Employer Sponsored Coverage using an approved electronic data source – sampling process
- ✓ Periodic Data Matching
- ❖ Qualified Health Plan coverage for applicants

Independent External Finance and Programmatic Audit for Plan Year 2017

- ✓ Segregation of Journal Entry Duties
- ❖ Appropriate Denial Reason Validation and Notification
- ❖ Incarceration Verification Process
- ❖ Improve Internal Audit Process – QHP

Questions?

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