



**Centers for Medicare & Medicaid Services
Center for Consumer Information and Insurance Oversight**

Kentucky Blueprint Package

Exchange Type: State Exchange

Application Percentage Complete: 100%

Application Status: Attested

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Contents

1.0 - Legal Authority and Governance	2
2.0 - Consumer and Stakeholder Engagement and Support	11
3.0 - Eligibility and Enrollment	37
4.0 - Plan Management	78
6.0 - SHOP	101
7.0 - Organization and Human Resources	111
8.0 - Finance and Accounting	114
9.0 - Technology	117
10.0 - Privacy and Security	120
11.0 - Oversight, Monitoring, and Reporting	125
12.0 - Contracting, Outsourcing, and Agreements	130
13.0 - State Partnership Exchange Activities	131

1.0 - Legal Authority and Governance (100% Completed)

1.1

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.

Completed

Yes No

Supporting Documents

Copy of current law and/or regulation that indicates that the State has necessary legal authority to establish an Exchange or that establishes the Exchange.

- Not Applicable
 HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Executive Order	Executive Order-Final-7-17-12.pdf	359.71 Kb	11/14/2012

OR Other legislation or general authority (e.g., Executive Order) that the State has determined provides the necessary legal authority to establish an Exchange.

Note: If the SHOP was separately authorized from the Exchange, pursuant to Affordable Care Act § 1321(b), provide documentation demonstrating that the State has enabling authority to establish and operate a SHOP.

- Not Applicable
 HHS Approval Letter for Waive-Out

Approval Letter Date:

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Executive Order	Executive Order-Final-7-17-12.pdf	359.71 Kb	11/14/2012

AND If authority is not clear on its face, provide a Statement from the legal counsel of the office of the applicant, the Governor's legal counsel, or the State's Attorney General's Office (correspondence or a formal legal opinion) certifying that the State is authorized to establish an Exchange under State law.

- Not Applicable
 HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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1.2

The Exchange has been established in compliance with Affordable Care Act 1311(d) and 45 CFR 155.110. If State agency, please proceed to Section 2.

Completed

Yes No

Supporting Documents

Brief description of governance structure (e.g., State agency, nonprofit organization). If State agency, please proceed to Section 2.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Executive Order	Executive Order-Final-7-17-12.pdf	359.71 Kb	11/14/2012

1.2a

The Exchange board and governance structure has been established in compliance with Affordable Care Act 1311(d) and 45 CFR 155.110.

Not Applicable

Completed

Yes No

Supporting Documents

Brief description of board composition, including board members' affiliations and any consumer representation. Note any differences in board composition and governance structure for SHOP.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Executive Order	Executive Order-Final-7-17-12.pdf	359.71 Kb	11/14/2012

1.2b

The Exchange has a formal, publicly-adopted charter or bylaws.

Not Applicable

Completed

Yes No

1.2c

The Exchange has established governance policies in compliance with 45 CFR 155.110(d) and obtained conflict of interest disclosures from board members, including disclosures of financial interest.

Not Applicable

Completed

Yes No

1.2d

The governing board has at least one voting member who is a consumer representative, and does not have a majority of voting representatives with a conflict of interest.

Not Applicable

Completed

Yes No

1.2e

The majority of the voting members have relevant experience in health benefits administration, health care finance, health plan purchasing, health care delivery system administration, public health, or health policy issues related to the individual and small group markets and the uninsured.

Not Applicable

Completed

Yes No

1.2f

The Exchange holds regular, public governing-board meetings that are announced in advance.

Not Applicable

Completed

Yes No

2.0 - Consumer and Stakeholder Engagement and Support (100% Completed)

2.1

The Exchange has developed and implemented a stakeholder consultation plan and has consulted with, 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.

Completed

Yes No

Supporting Documents

Brief description of the stakeholder consultation plan that addresses how consultation will occur on an ongoing basis with consumers, small businesses, State Medicaid and CHIP agencies, agents/brokers, employer organizations, and other relevant stakeholders as required under 45 CFR 155.130.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Section 2.1	Section 2.1 doc13481 mod.docx	150.89 Kb	11/16/2012

2.2

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.

Not Applicable

Completed

Yes No

2.3

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, advocates for hard-to-reach populations, and other relevant populations as outlined in 45 CFR 155.130.

Completed Expected Completion Date

Yes No

Supporting Documents

Brief description of the outreach plan(s) and targeted efforts that address each population or type of stakeholder, including those identified in 45 CFR 155.130.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
2.3 - Outreach and Education Plan	Design_Review_Section_2.3.docx	1200.47 Kb	11/14/2012
2.3 - Outreach and Enrollment Recommendations	kentucky_health_benefit_exchange_outreach_enrollment0531.pdf	1115.37 Kb	11/14/2012
2.3 - Public Form Feedback	PUBLIC FORUM FEEDBACK.docx	59.85 Kb	11/14/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.3a

The Exchange has developed and provides culturally and linguistically appropriate outreach and educational materials and auxiliary aids and services to people with disabilities (including information in alternate format), regarding eligibility and enrollment options, program information, benefits, and services available through the Exchange, SHOP, and other Insurance Affordability Programs, as required in 45 CFR 155.205(c).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.3b

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, advocates for hard-to-reach populations, and other relevant populations as outlined in 45 CFR 155.130.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.4

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).

Completed

Yes No

Supporting Documents

Brief description of the call center’s strategy for managing call volume, plan for translation services, and toll-free telephone number.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
2.4 - Call Center Technical Requirements	Appendix B - HBECC Technical Requirements.xlsx	34.88 Kb	11/14/2012
Call Center - Reference Architecture Blueprint	Appendix C - HBE Reference Architecture Blueprint.pdf	172.7 Kb	11/14/2012
2.4 - Call Center RFP	doc10359.htm	36.64 Kb	11/14/2012
2.4 - Call Center Plan	Design_Review_Section_2.4.docx	67.7 Kb	11/14/2012
2.4 - Call Center Volume Behaviors	Appendix F - HBECC Exchange Ops Volume Behaviors.xlsx	20.68 Kb	11/14/2012
2.4 - Call Center Functional Requirements	Appendix A - HBECC Functional Requirements.xlsx	58.21 Kb	11/14/2012
2.4 - Call Center Performance Evaluation Plan	Appendix Q- Performance Evaluation Plan.docx	76.64 Kb	11/14/2012

2.4 - Call
Center HBE
Reference
Architecture
Blueprint

Appendix C - HBE Reference
Architecture Blueprint.pdf

172.7
Kb

11/14/2012

2.4a

The Exchange provides for the operation of a toll-free telephone hotline (call center) which acts as a central line to handle seamless application support, coordinates with other Insurance Affordability Program(s) and with other State and Federal agencies, and responds 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).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.4b

The Exchange provides translation and oral interpretation services and auxiliary aids and services to the public, including individuals, employers, and employees, at no cost to the caller.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.4c

The Exchange provides adequate training and resources to operate the call center, including an operating plan and procedures.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.5

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).

Completed

Yes No

Supporting Documents

Internet Web site URL address for the Exchange and the SHOP, if different.

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
2.5 - Website information	Design_Review_Section_2.5.docx	2544 Kb	11/14/2012

2.5a

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).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.5b

The Exchange's Internet Web site provides information on premium and cost-sharing, QHP comparison, metal level of QHP coverage, transparency of coverage measures, and a provider directory.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.5c

The Exchange's Internet Web site provides information in a manner that is accessible to individuals with disabilities and individuals with limited English proficiency, as required in 45 CFR 155.205(b) and (c).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.6

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 adherence to privacy and security standards specified in 45 CFR 155.210 and 45 CFR 155.260.

Completed Expected Completion Date

Yes No

Supporting Documents

Brief description of Exchange’s plan to operate a Navigator program, including documentation outlining the Exchange’s progress in developing conflict of interest and training standards; how it will ensure Navigators are appropriately trained and meet the Exchange’s conflict of interest, privacy and security standards; and a timeline and strategy for funding for the Navigator program and making the program fully operational.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Section 2.6-2.9	Section Document 2.6-2.7-2.8-2.9 doc13426mod.docx	467.77 Kb	11/16/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.6a

The Exchange has established or has a process in place to establish and operate a Navigator program that is consistent with the applicable requirements specified in 45 CFR 155.210 and 45 CFR 155.260.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Section 2.6-2.9	Section Document 2.6-2.7-2.8-2.9 doc13426mod.docx	467.77 Kb	11/16/2012

2.6b

The Exchange has a plan for the ongoing funding of an Exchange Navigator program, in order to award at least two (2) types of entities, one of which is a community or consumer-focused organization or non-profit entity. Grant agreements ensure that Navigator grantees (Navigators) will conduct the five (5) duties outlined in 45 CFR 155.210(e).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Section 2.6-2.9	Section Document 2.6-2.7-2.8-2.9 doc13426mod.docx	467.77 Kb	11/16/2012

2.6c

The Exchange has begun to develop training and conflict of interest standards for Navigators.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Section 2.6-2.9	Section Document 2.6-2.7-2.8-2.9 doc13426mod.docx	467.77 Kb	11/16/2012

2.7

If applicable: The Exchange has established an in-person assistance program distinct from the Navigator program and has a process in place to operate the program consistent with the applicable requirements of 45 CFR 155.20(c), (d), and (e).

Not Applicable

Completed Expected Completion Date

Yes No

Supporting Documents

Brief description of Exchange's plan to operate an in-person assistance program distinct from the Navigator program, which provides in-person assistance to consumers, including documentation outlining the Exchange's progress in developing conflict of interest and training standards; how it will ensure in-person assistance program staff are appropriately trained and meet the Exchange's conflict of interest, accessibility, and privacy and security standards; and a timeline and strategy for funding for the in-person assistance program and making the program fully operational.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Section 2.6-2.9	Section Document 2.6-2.7-2.8-2.9 doc13426mod.docx	467.77 Kb	11/16/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.8a

If applicable: The Exchange has a process to verify that agents/brokers are in compliance with State law, including licensure requirements consistent with 45 CFR 155.220(e).

Not Applicable

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.9a

If applicable: The Exchange has a process to verify that web brokers are in compliance with State law including licensure requirements consistent with 45 CFR 155.220(e).

Not Applicable

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

2.9b

If applicable: The Exchange has agreements with web brokers, consistent with 45 CFR 155.220(d), which address web 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.

Not Applicable

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

3.0 - Eligibility and Enrollment (100% Completed)

3.1

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.

Completed Expected Completion Date

Yes No

Supporting Documents

If applicable: State-developed single-streamlined application to determine eligibility for the individual market.

- Not Applicable
 HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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AND If applicable: State-developed single-streamlined application to determine eligibility for the SHOP.

- Not Applicable
 HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 3.1	Design_Review_Section_3.1.docx	67.83 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.1a1

The Exchange has developed and will use a HHS-approved single, streamlined application for the individual market to determine eligibility and collect information that is necessary for enrollment in a QHP and for Insurance Affordability Programs as specified in 45 CFR 155.405. OR

Not Applicable

Completed

Yes No

3.1a2

The Exchange will use the HHS-developed single, streamlined application for the individual market to determine eligibility and collect information that is necessary for enrollment in a QHP and for Insurance Affordability Programs as specified in 45 CFR 155.405.

Not Applicable

Completed

Yes No

3.1b1

The Exchange has developed and will use HHS-approved applications for SHOP employers and employees as specified in 45 CFR 155.730. OR

Not Applicable

Completed

Yes No

3.1b2

The Exchange will use the HHS-developed applications for SHOP employers and employees as specified in 45 CFR 155.730.

Not Applicable

Completed

Yes No

3.2

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.

Completed Expected Completion Date

Yes No

Supporting Documents

Brief description of the Exchange's coordination strategy with other agencies administering Insurance Affordability Programs and the SHOP related to eligibility and enrollment activities.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012
Design Review Section 3.2	Design_Review_Section_3.2.docx	66.32 Kb	11/16/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

3.3

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.

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.3a

The Exchange has the capacity to accept and process applications, updates, and responses to redeterminations from applicants and enrollees in-person.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 3.3	Design_Review_Section_3.3.docx	64.28 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.3b

The Exchange has the capacity to accept and process applications, updates, and responses to redeterminations from applicants and enrollees online.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 3.3	Design_Review_Section_3.3.docx	64.28 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.3c

The Exchange has the capacity to accept and process applications, updates, and responses to redeterminations from applicants and enrollees via mail.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.3d

The Exchange has the capacity to accept and process applications, updates, and responses to redeterminations from applicants and enrollees via phone.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.3e

The Exchange has the capacity to conduct the activities set out in 3.3a □ 3.3d for applicants and enrollees who have disabilities or limited English proficiency.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.4

The Exchange has the capacity to send notices, including notices in alternative 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.

Completed Expected Completion Date

Yes No

Supporting Documents

If the Exchange will conduct additional periodic data matching in accordance with 45 CFR 155.330(d)(2), provide brief description of the data sources to be used.

Brief Description

- Not Applicable
 HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 3.4	Design_Review_Section_3.4.docx	71.56 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.4a

The Exchange has the capacity to generate and send notices, including notices in alternative formats and multiple languages, pursuant to 45 CFR 155, subpart D.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.4b

The Exchange has the capacity to conduct periodic data matching pursuant to 45 CFR 155, subpart D and act on the results of the data matching.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.4c

The Exchange has the capacity to conduct annual redeterminations and process responses through all channels pursuant to 45 CFR 155, subpart D.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.5

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 Data Services Hub, and other sources as needed.

Completed Expected Completion Date

Yes No

Supporting Documents

Comprehensive list of data sources that the State is connecting to or interfacing with, including a description of the data types and information associated with each source (including data sources that are used as primary verification methods or are used when information is not reasonably compatible).

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
3.5 - Users and Channel Matrix	Appendix_B_-_KHBE_Users_And_Channels_Matrix.xlsx	54.19 Kb	11/14/2012
3.5 - Verification Plan	Design_Review_Section_3.5.docx	76.23 Kb	11/14/2012
3.5 - KHBE Functional Scenarios and Examples	Appendix_A_-_KHBE_Functional_Scenarios_and_Examples.docx	2620.45 Kb	11/14/2012
3.5 IT Documents - KHBE Contract	Attachment A - KY Health Benefits Exchange MA -758- 13-392 .pdf	992.25 Kb	11/14/2012

AND Brief description of how verifications will be conducted in the following areas: residency, citizenship and immigration status, incarceration, household income, family/household size, whether an individual is an Indian, enrollment in an eligible employer-sponsored plan (if applicable), eligibility for qualifying coverage in an eligible employer-sponsored plan, and eligibility for non-employer-sponsored minimum essential coverage. If applicable, describe any of the verifications listed above that may require the support of Federal agencies.

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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3.5 - Verification Plan	Design_Review_Section_3.5.docx	76.23 Kb	11/14/2012
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Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.6

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.

Completed Expected Completion Date

Yes No

Test Documents

Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 3.6	Design_Review_Section_3.6.docx	68.7 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.6a

The Exchange has the appropriate privacy protections and capacity to accept, store, associate, and process documents received from applicants and enrollees electronically.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.6b

The Exchange has the appropriate privacy protections and capacity to accept, image, upload, associate, and process paper documentation received from applicants and enrollees via mail and/or fax.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.7

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).

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

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Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
	Design Review Section 3.7.docx	66.63 Kb	11/29/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012
	Design Review Section 3.7.docx	66.63 Kb	11/29/2012
Design Review Section 3.7 UPDATED 11.29.12	Design Review Section 3.7.docx	66.63 Kb	11/29/2012
Design Review Section 3.7 UPDATED 11.29.12	Design Review Section 3.7.docx	66.63 Kb	11/29/2012

3.7a

The Exchange has the capacity to determine individual eligibility for enrollment in a QHP through the Exchange.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.7b1

The Exchange has the capacity to determine eligibility for Medicaid and CHIP based on MAGI. OR

Not Applicable

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.7b2

The Exchange has the capacity to assess eligibility for Medicaid and CHIP based on MAGI.

Not Applicable

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.7c

The Exchange has the capacity to determine eligibility for employee and employer participation in SHOP.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.7d

The Exchange has the capacity to accept and process applications that have been transferred from other agencies administering Insurance Affordability Program(s).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.8

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.

Completed Expected Completion Date

Yes No

Supporting Documents

If the Exchange is using Federally-managed Services: Provide a description of the end-to-end process, including activities conducted by the Exchange and integration points with the Federally-managed service.

- Not Applicable
 HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
3.8 - Eligibility Determination for APTC/CSR	Design_Review_Section_3.8.docx	63.79 Kb	11/14/2012

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

- Not Applicable

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

- Not Applicable

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.9

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.

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012
Design Review 3.9	Design_Review_Section_3.9.docx	76.06 Kb	11/16/2012

3.10

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.

Completed Expected Completion Date

Yes No

Supporting Documents

If the Exchange is using Federally-managed Services: Provide brief description of the end-to-end process, including activities conducted by the Exchange and integration points with the Federally-managed service.

Brief Description

Not Applicable

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
3.10 - Individual Responsibility and Payment Exemption Determinations	Design_Review_Section_3.10.docx	62.78 Kb	11/14/2012

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Not Applicable

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Not Applicable

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Not Applicable

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.11

The Exchange has the capacity to support the eligibility appeals process and to implement appeals decisions, as appropriate, for individuals, employers, and employees.

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 3.11	Design_Review_Section_3.11.docx	63.59 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.12

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.

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012
Design Review Section 3.12	Design_Review_Section_3.12.docx	64.9 Kb	11/16/2012

3.12a

The Exchange has the capacity to process QHP selections and terminations using electronic enrollment transaction standards in coordination with issuers and CMS.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 3.12	Design_Review_Section_3.12.docx	64.9 Kb	11/16/2012

3.12b

The Exchange has the capacity to compute actual APTC.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.12c

The Exchange has the capacity to report and reconcile QHP selections, terminations, and APTC/advance CSR information in coordination with issuers and CMS.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.12d

The SHOP has the capacity to process QHP selections and terminations, including reporting and reconciling selection and termination information.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

3.13

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.

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012
Design Review 3.13	Design_Review_Section_3.13.docx	69.38 Kb	11/16/2012

3.14

In accordance with section 155.345(i) of the Exchange Final Rule, the Exchange must follow procedures established in accordance with 45 CFR 152.45 related to the Pre-Existing Condition Insurance Plan (PCIP) transition.

Completed

Yes No

4.0 - Plan Management (100% Completed)

4.1

The Exchange has the appropriate authority to perform the certification of QHPs and to oversee QHP issuers consistent with 45 CFR 155.1010(a).

Completed

Yes No

Supporting Documents

Citation of the State's applicable statutory and/or regulatory authority(ies).

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Authority to Perform and Oversee QHP Certification	Design_Review_Section_4.1.docx	2125.53 Kb	11/14/2012

4.2

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.

Completed Expected Completion Date

Yes No

Supporting Documents

Brief description of how the Exchange will ensure that the issuers and health plans meet each of the QHP certification standards. Include the process that the Exchange will use to evaluate issuers and health plans against each of the QHP certification standards, including any differences specific to SHOP.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 4.2	Design_Review_Section_4.2.docx	65.88 Kb	11/16/2012

 AND Brief description of entities responsible for QHP certification and briefly describe the roles and responsibilities of each entity as they relate to each of the QHP certification standards.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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 AND Brief description of the integration between the Exchange and the State Department of Insurance.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.2a

The Exchange has the capacity to certify QHPs in advance of the annual open enrollment period pursuant to 45 CFR 155.1010(a) (1).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.2b

The Exchange has the capacity to ensure QHPs comply with the QHP certification standards contained in 45 CFR 156 including, but not limited to, standards relating to licensure, solvency, service area, network adequacy, essential community providers, marketing and discriminatory benefit design, accreditation, and consideration of rate increases.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.2c

The Exchange has the capacity to collect, analyze, and if required, submit to the Federal government for review QHPs' plan variations for cost-sharing reductions, advance payment estimates for such reductions, and any supporting documentation needed to ensure compliance with applicable regulations and accuracy of the cost-sharing reduction advance payments.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.2d

The Exchange has the capacity to ensure QHPs meet actuarial value and essential health benefit standards in accordance with applicable regulations and guidance.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.2e

The Exchange has the capacity to ensure QHPs' compliance with market reform rules in accordance with applicable regulations and guidance.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.3 - Plan Management and QHP Data Collection	Design_Review_Section_4.3.docx	63.58 Kb	11/14/2012
4.3 - Plan Management and QHP Data Collection	Design_Review_Section_4.3.docx	63.58 Kb	11/14/2012

Test Documents

Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

4.3a

The Exchange has the capacity to collect and analyze information on plan rates, covered benefits, and cost-sharing requirements pursuant to 45 CFR 155.1020.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.3b

The Exchange has the capacity to use plan rate data and rules for purposes such as generating consumer-facing premiums and determining the second-lowest cost silver plan for premium tax credit calculations.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.4

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.

Completed

Yes No

Supporting Documents

Brief description of approach to ensuring QHP compliance and monitoring of QHP performance, including any integration between Exchange and other State entities.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
4.4 - Ongoing QHP Compliance	Design_Review_Section_4.4.docx	65.98 Kb	11/14/2012

4.4a

The Exchange has the capacity to ensure QHPs' ongoing compliance with QHP certification requirements pursuant to 45 CFR 155.1010(a) (2) and Exchange operational requirements.

Completed

Yes No

4.4b

The Exchange has a process to monitor QHP performance and to collect, analyze, and resolve enrollee complaints in conjunction with any applicable State entities (e.g., State Department of Insurance, consumer assistance programs, and ombudsmen).

Completed

Yes No

4.5

The Exchange has the capacity to support issuers and provides technical assistance to ensure ongoing compliance with QHP issuer operational standards.

Completed

Yes No

Supporting Documents

Description of issuer technical assistance and support activities to be provided by the Exchange and examples where applicable.

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Section 4.5	Section 4.5 doc13493 mod.docx	64.24 Kb	11/16/2012

Preliminary
Blueprint Work
Plan

Preliminary
Blueprint Work
plan.docx

71.3
Kb

11/16/2012

4.6a

The Exchange has a process for recertification of QHP issuers and QHPs including the annual receipt and review of QHP rate, benefit, and cost sharing information pursuant to 45 CFR 155.1020(c).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.6b

The Exchange has a process for decertification of QHPs and QHP issuers and a process for transitioning enrollees into new QHPs pursuant to 45 CFR 155.1080.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.6c

The Exchange has a process for the QHP issuer appeal of a decertification of a QHP pursuant to 45 CFR 155.1080 and any necessary appeal of QHP certification determinations consistent with any applicable State laws or regulations.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

4.7

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.

Completed

Yes No

4.8

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.

Completed

Yes No

6.0 - SHOP (100% Completed)

6.1

The SHOP is compliant with regulatory requirements pursuant to 45 CFR 155 Subpart H.

Completed

Yes No

Supporting Documents

Brief description of how the size of a small business is determined in the Exchange and whether the small group market includes employers with 51 to 100 employees in 2014 and 2015.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
6.1 - SHOP Compliance	Design_Review_Section_6.1.docx	66.83 Kb	11/14/2012

6.1a

The SHOP has capacity to allow a qualified employer to select a level of coverage as described in the Affordable Care Act 1302(d) (1), in which all QHPs within that level are made available to the qualified employees of the employer.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

6.1b

The SHOP has capacity to ensure that all QHP issuers make rate changes at a uniform time that is either quarterly, monthly, or annually, and has the capacity to prohibit all QHP issuers from varying rates for a qualified employer during the employer's plan year.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

6.1c

The SHOP has capacity to offer small employers only QHPs that meet the requirements for the State's small group market.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

6.1d

If the SHOP decides to implement minimum participation requirements, the SHOP has capacity to authorize uniform group participation rules for the offering of health insurance coverage in the SHOP.

Not Applicable

Completed

Yes No

6.1e

The SHOP has established a premium calculator, as described in 45 CFR 155.205(b) (6), to facilitate the comparison of available QHPs after the application of any applicable employer contribution in lieu of any advance payment of the premium tax credit and any cost-sharing reductions.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

6.2

The Exchange has the capacity for SHOP premium aggregation pursuant to 45 CFR 155.705.

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 6.2	Design_Review_Section_6.2.docx	68.66 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

6.2a

The Exchange has the systems in place for billing employers, receiving employer and employee contributions toward premiums, and making aggregated premium payments to issuers.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

6.2b

The Exchange has a process for managing non-payment or late premiums; including how and when notices are sent to employers.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

6.3

The SHOP Exchange has the capacity to electronically report information to the IRS for tax administration purposes.

Completed Expected Completion Date

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012
Design Review Section 6.3	Design_Review_Section_6.3.docx	65.58 Kb	11/16/2012

7.1a

The Exchange has an organizational structure that includes leadership/key staff and encompasses key Exchange activities.

Completed

Yes No

7.1b

The Exchange has a hiring strategy that addresses competencies, roles, and responsibilities needed to perform key Exchange activities.

Completed

Yes No

8.1a

The Exchange has a long-term operational budget and management plan, monitors its finances, and is able to track its costs and revenues.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

8.1b

The Exchange has defined methods for generating revenue (e.g., user fees) pursuant to Affordable Care Act 1311(d) (5) (A), and has the appropriate legal authority.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

9.0 - Technology (100% Completed)

9.1

The Exchange technology and system functionality complies with relevant HHS information technology (IT) guidance.

Completed Expected Completion Date

Yes No

Supporting Documents

Brief description of any areas of significant variation between Exchange technology and system functionality and HHS IT guidance.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
9.1 - Compliance with HHS IT Guidance	Design_Review_Section_9.1.docx	64.26 Kb	11/14/2012
9.1 - Federal Guidance Compliance Checklist	KHBE_Federal_Requirements_Compliance_Assessment_Checklist.xlsx	62.08 Kb	11/14/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

9.2

The Exchange has the adequate technology infrastructure and bandwidth required to support all of the Exchange activities.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

9.3

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.

Completed Expected Completion Date

Yes No

Supporting Documents

Brief description of the front-end system engineering work including IT, quality assurance processes and IV&V services used to validate requirements, business processes and development of the Exchange.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
Slides with Info on Number of Plans	Draft_Presentation_for_October_29-30_Review (1).ppt	3212.5 Kb	11/14/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

10.0 - Privacy and Security (100% Completed)

10.1

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).

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Design Review Section 10.1	Design_Review_Section_10.1.docx	66.25 Kb	11/16/2012
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

10.2

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.

Completed Expected Completion Date

Yes No

Test Documents

Summary of Independent Verification & Validation (IV&V) of applicable system components

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Summary of results of State-developed testing

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012
Design Review Section 10.2	Design_Review_Section_10.2.docx	65.79 Kb	11/16/2012

10.3

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.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

10.3a

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.

Completed Expected Completion Date

Yes No

Work Plan

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Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

10.3b

The Exchange has developed and received a letter of acceptance from the IRS on its Safeguard Procedures Report related to the protection of Federal tax information.

Completed Expected Completion Date

Yes No

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Integrated Project Workplan	EE-DEL-002_Integrated_Project_Work_Plan_for_EE_and_PMB_0.1.pdf	1972.77 Kb	11/16/2012

11.0 - Oversight, Monitoring, and Reporting (100% Completed)

11.1

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).

Completed

Yes No

Supporting Documents

Brief description of the oversight and monitoring plan for the Exchange, including any specific protocols for quality monitoring of Exchange activities (e.g., Eligibility and Enrollment, Plan Management).

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
11.1 - Oversight and Monitoring of Exchange Activities	Design_Review_Section_11.1.docx	67.19 Kb	11/14/2012

11.1a

The Exchange has in effect policies and procedures for performing routine oversight and monitoring of Exchange activities.

Completed

Yes No

11.1b

The Exchange has in effect quality controls as part of oversight and monitoring of Exchange activities.

Completed

Yes No

11.2

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).

Completed

Yes No

Supporting Documents

Brief description of data-collection and reporting processes and Exchange activity-related performance metrics that the Exchange intends to track for internal purposes as part of ongoing quality controls and improvement plan.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
11.2 - Reporting Performance and Outcomes Metrics	Design_Review_Section_11.2.docx	69.47 Kb	11/14/2012

11.3

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.

Completed Expected Completion Date

Yes No

Supporting Documents

Indicate the financial or accounting standards with which the Exchange is in compliance (e.g., Government Accounting Standards Board, Government Accountability Office (GAO) Government Auditing Standards (Yellow Book), OMB Circular A-123 [Management's Responsibility for Internal Control]).

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
11.3 - Financial Integrity Provisions	Design_Review_Section_11.3.docx	505.68 Kb	11/14/2012

Work Plan

Document Title	Document Filename	Size	Date Uploaded
Preliminary Blueprint Work Plan	Preliminary Blueprint Work plan.docx	71.3 Kb	11/16/2012

12.0 - Contracting, Outsourcing, and Agreements (100% Completed)

12.1

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. Exchange contracting entities meet the requirements for eligible contracting entities outlined in 45 CFR 155.110.

Completed

Yes No

Supporting Documents

List of all contractor(s) with which Exchange has contracted and a notation of the services that the contractor(s) will support.

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
12.1 - Contracting and Outsourcing Agreements	Design_Review_Section_12.1.docx	71.6 Kb	11/14/2012

13.0 - State Partnership Exchange Activities (100% Completed)

13.1

The State has appropriate agreements in place to operate the Plan Management activities for a State Partnership Exchange.

Not Applicable

Completed

Yes No

13.1a

The State and applicable entities have agreed to a process for timely plan management data submission in the specified format to the Federally-facilitated Exchange.

Not Applicable

Completed

Yes No

13.1b

The State and applicable entities have signed and agreed to adhere to the terms and conditions of all necessary agreement(s) required to carry out required Exchange activities.

Not Applicable

Completed

Yes No

13.1c

The State and applicable entities have agreed on a process for coordination with Federally-facilitated Exchange account managers and oversight.

Not Applicable

Completed

Yes No

13.2

The State has the capacity to interface with the Federally-facilitated Exchange, as necessary, to ensure a seamless consumer experience.

Not Applicable

Completed

Yes No

Test Documents

Results of State execution of HHS-developed test scenarios (please refer to the Test Scenarios Activity Area in SERVIS for more information).

Approval Letter Date: HHS Approval Letter for Waive-Out

Document Title	Document Filename	Size	Date Uploaded
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Document Title	Document Filename	Size	Date Uploaded
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Document Title	Document Filename	Size	Date Uploaded
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13.2a

The State and the applicable State agencies have the capacity to conduct necessary coordination with the Exchange regarding customer service, outreach, and education.

Not Applicable

Completed

Yes No

13.2b

The applicable State agencies have the capacity to share data with the Exchange that is needed to support the eligibility process for Insurance Affordability Programs.

Not Applicable

Completed

Yes No

13.3

The appropriate State entity has appropriate agreements in place and capacity to manage and operate a Navigator program and to establish and operate an in-person assistance program for a State Partnership Exchange.

Not Applicable

Completed

Yes No

13.3a

The appropriate State entity has established or has a process in place to support, administer, and oversee (as applicable) aspects of the Federally-facilitated Exchange Navigator program consistent with the applicable requirements of 45 CFR 155.210, including ensuring that Navigators are adhering to the training and conflict of interest standards established by the Federally-facilitated Exchange and to the privacy and security standards developed by the Federally-facilitated Exchange pursuant to 45 CFR 155.260.

Not Applicable

Completed

Yes No

Supporting Documents

Brief description of the appropriate State entity's plan to operate a Navigator program, including how it will ensure Navigators are appropriately trained and meet the Federally-facilitated Exchange's conflict of interest, privacy and security standards.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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13.3b

The appropriate State entity has established an in-person assistance program distinct from the Navigator program, and has a process in place to operate the program consistent with Federally-facilitated Exchange guidance, policies, and procedures.

Not Applicable

Completed

Yes No

Supporting Documents

Brief description of the appropriate State entity's plan to operate an in-person assistance program including documentation outlining how it will meet the requirements set out in Federally-facilitated Exchange guidance, policies, and procedures.

Brief Description

HHS Approval Letter for Waive-Out

Approval Letter Date:

Document Title	Document Filename	Size	Date Uploaded
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