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|  | | ***20335 – Benefits Production Access Review***  **Date: 02/12/2021**  **Physical Location: N/A** | | | |
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| **Customer** | | | **Internal Audit Department** | | |
| Ken Park, Sr. Director, RxClaim Development, PBM IT Systems  Pranav Gupta, Director, RxClaim Development, PBM IT Systems  Deepak Mugundu Balan, Advisor, RxClaim Development, PBM IT Systems  Mitchell Super, Sr. Director, MF /MR Run /Maintain, Enterprise Tech. Services | | | Lynn Atkin, Director, IT Internal Audit  Ron Roy, Director, IT Internal Audit  Sarah Kubiak, Manager, IT Internal Audit  Eric Mata, Advisor, IT Internal Audit  Seun Mafi, Sr. Consultant, IT Internal Audit | | |
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| **Business Unit** | RxClaim Development | | | | |
| **Process** | Benefits Production Access Review | | | | |
| **Process Owner(s)** | Pranav Gupta, Director, RxClaim Development  Deepak Mugundu Balan, Advisor, RxClaim Development | | | | |
| **Policies and Procedures** |  | | | | |

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| **Purpose of the process walkthroughs** |
| The purpose of this walkthrough is to get a complete understanding of the Benefits Production Access Review process completed by the RxClaim Development team as well as identify all systems used, reports used / generated. |

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| **Roles & Responsibilities of the Personnel involved in the process** | |
| **Role** | **Responsibilities** |
| Ajoy Kodali  Bobby Mukundan  Srithal Bellary  Heather LaPolt | Primary Business Owner (VP Level or above) |
| Ken Park  Pranav Gupta  Deepak Mugundu Balan  Mitchell Super | Transfer knowledge of key business functions, process documentation and key control evidence to the internal Audit team; control validation and issue ownership. |

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| **Supporting Systems** | |
| **System Name** | **System Description** |
| RxClaim |  |

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| **Process Walkthrough** |
| **ACCESS DISCUSSION**  **Meeting Participants:**  **Aizaz Ahmad**  **Markus Watson**  **Joshua Godfrey**  **Ronald Roy**  **Deepak Mugundu Balan**  **Eric Mata**  **Sarah Kubiak,**  **Seun Mafi**  ---------------------------------------------------   |  |  | | --- | --- | | <<Prod\_PreProd\_Manual Claim\_Access List.xlsx>> | Added by [Kubiak, Sarah](mailto:Sarah.Kubiak@CVSHealth.com)  Attachment from Outlook | | <<PaidClaimsInProduction\_Screenshots\_20210106.docx>> | Added by [Kubiak, Sarah](mailto:Sarah.Kubiak@CVSHealth.com)  Attachment from Outlook | | <<image002.png>> | Added by [Kubiak, Sarah](mailto:Sarah.Kubiak@CVSHealth.com)  Attachment from Outlook | | <<image001.png>> | Added by [Kubiak, Sarah](mailto:Sarah.Kubiak@CVSHealth.com)  Attachment from Outlook | | <<image002.png>> | Added by [Kubiak, Sarah](mailto:Sarah.Kubiak@CVSHealth.com)  Attachment from Outlook |     **Participants**    **Notes**    **Call opened and explanation as to the reason of project provided to IT business.**  **Ron: asked if the file which they queried (QRCIVN- US Panel2) is the security file?**  **Deepak: confirmed that the file entered is the user security file and the panel program or screen RCNCP050 is the screen where a manual claim is entered.**  **Ron: requested to see the panel.**  **Deepak: accessed the RCNCP050 screen and advised that a user would have to select a member ID in order ot enter a manual claim, which will push them to the RCNCP051 screen.**  **Ron: asked if there is a program behind the screen**  **Deepak: mentioned that it's the same as the program name**  **Ron: asked what files would be called upon by the panel ID?**  **Deepak: said that many files can be called upon. In example, RCNCP050 is the file used against the RCNCP050 panel screen.**  **Ron: asked how we could identify what files the screen is hitting against and what version of the program is being used?**  **Deepak: specific to the RCNCP050 screen the following files are called upon:**  Machine generated alternative text: O  Position to  Z02694  1 ine  ID  Dis  User  en Files  0009675  Line  øøøøøl  øoeøø4  000007  øøøølø  øøø€ll  øøeø12  000013  øeøø16  000017  000018  US2 panel  RCNCPØSØ  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  RCNCPØSØ  RCNcpøsø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  RCNCPØ5Ø  RCNCPØ5ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  US  Au  Job  Number  of  QPADEVØØTJ  open data paths .  Number  USI  User  IBHMPALA  ØØØØØ2 #CCT6ØØ  000003 LBARNES  #QSECOFR  #CCT2ØØ  #CCTFØØ  AXØIØ29  AXØ2Ø35  RHURST  CBOLL  UE3WP69  JRUSSEL  000015 Z104€61  ZlØ6Ø36  ZIN653  UB2KIT7  CPIDRØ2  CPRDROI  CPIDRØI  BCPDNRØI  CFTVUØI  CFTVRØ2  BPNIPUØI  FCUSEUØI  PDTTUØI  CCRFUØI  CDMRUØI  Press Enter  Library  LMDEVFIL  LMDEVFIL  LMDEVFIL  LMDEVFIL  LMDEVFIL  LMDEVFIL  LMDEVFIL  LMDEVFIL  LMDEVFIL  LAEVFIL  LMDEVFIL  Member/  Dev i ce  RCPIDRØ2  RCPRDRØI  RCPIDRØI  RCPDNRØI  RCFTVUØI  RCFTVRØ2  APNIPUØI  RCUSEUØI  APDTTUØI  RCCRFUØI  RCDMRUØI  Record  Format  RCPIDRØ2  RCPRDRØI  RCPIDRØI  FTVRØ2  Type  LGL  LGL  LGL  LGL  LGL  LGL  LGL  LCL  LGL  LGL  LGL  95  1/0  Count  13  34  32  ø  16  41  ø  ø  ø  ø  Opt  1  1  1  1  10  1  10  10  10  10  10  Open---  Shr-Nbr  NO  NO  NO  NO  NO  NO  NO  NO  NO  NO  NO  453458  Relative  Record  1249847  2190714  2131091  239ø1887  23901825  More...  to continue.  F3=Ex1 t  F12=cance1    Ron: confirmed that this job being displayed was a development job being presented.  Deepak: confirmed that the job being displayed was a development job. He also put on the screen the access list that he had generated and provided to IA.  Ron: advised that we are trying to determine appropriate access and asked if the access list was submitted to the PAR team.  Pranav: asked if we were asking about initial access to system? advised that initial access was provided by the user provisioning department and they were invited to the call.  Ron: asked who would provide access to a user so they could submit paper claims and also if there were additional ways to enter transactions beyond the manual claim screen.  Deepak: advised that there are separate Panel ID screens for entering manual claims and paper claims. For paper claims they would use the panel ID RCNCP056B (member reimbursement -claim).  Machine generated alternative text: ÉCNCIØ562 ENTER  Caremark  DEV. 02 (P-ELIG)  Member Reimbursement-Claim  Position to  I ine  Line  ..2....+.  USI  User  UOØ9G75  BIN  Pharmacy  Member ID  Person Cd  Carrier  Override  Prescri ber  Rx Nbr  NDC  CB  Mtr Qty  Days Sup  Date Rcv 'd  QtyPres  004336  PST  Grou  2MedD? N  2/12/21  8:43:37  Vers DO  TranCd 99  øøøøøl  øoøøø2  000003  øeøøø4  øøøøøs  øoøø06  øøeøw  000008  øeøølø  øøøøll  øø0Ø12  000013  000014  000015  øøøø16  000017  000018  F3=Ex1 t  ID  BMMPALA  CT6øe  BARNES  SECOFR  cnøe  CTFøø  01029  02694  02035  HURST  S87øø1  BOLL  E3WP69  RUSSEL  104061  106036  104653  B2KIT7  US2 panel  RCNCPØ5Ø  RCNCPØSØ  RCNCPØSØ  RCNCPØSØ  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  RCNcpøsø  RCNcpøsø  RCNCPØSØ  RCNCPØSØ  RCNCPØ5Ø  RCNCPøsø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  Acc  Rf  Disp Q  Cit Rcv  Wr  1  nt  PBR  Rcv ' d  t  Sex  Other  DOB  Group  Phone  Claim Type TST  Compound 1 PSC  Coverage  Qual  Di agnos i s  st  Issue  Trans  ø  Pri ce  Due  COB  Pat  IJ&C  Cost  Inc  Tax  ID  Submi t  Calc  Claim Adj? N Tracking#  RxCLAIM#  øøøøøøøøøøøøø  Schd Rx ID Nbr  Bypass 81  ByPass RA  Approved  Cnt  F12=Cancel  Status  Message  F3=Exit  FIØ=EOB  F6=Submit F7  Message Overrid  Iaim  F12=Prev  Doc / Image#  info F8=Sbm No Edi t F9=COB  F14=M-I Compound F24=More Keys    Ron: asked if batch claims were submitted, what screen would be used?  Deepak: advised a user cannot submit batch claims; he showed the list of AS400 product screens  Machine generated alternative text: D AS400C RXCDEV  Eile Edit Settings View  Comm ,eation A  Send Rec./  ...2....+  K - AS400C RXCDEV  File Edit Settings View  Copy  Communication Actions Window Help  Send Color  Map Record S'op  PrtScm Copy  Position to  L ine  USI  User  Peste  I ine  ID  FEB 2021 Release -  Support  DEV: VB-ø5142  02/12/ 021 Ver  8:43: 8 0009675  RxCLAIM Manual Claim Maintenance  Sys :  Menu :  RXCDEV  CMX63Ø  US2 panel  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  RCNCPØ5Ø  RCNCPØ5ø  RCNCPØ5Ø  RCNCPØSØ  RCNCPØ5Ø  RCNCPØSØ  RCNCPØ5Ø  RCNcpøsø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  RCNCPøsø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  US  øøoøøl  øoøøø2  øøeøø4  øeøøø5  øoøøØ6  øoeøø7  000008  øeøøøg  øeømø  øøøøll  ø00Ø12  000013  000014  øeøø15  øeøØ16  000017  000018  BMMPALA  C16ØØ  BARNES  SECOFR  CT2ØØ  CTFØØ  1029  02694  02035  HURST  suøøl  BOLL  E3WP69  RUSSEL  104061  1Ø6Ø36  104653  B2KIT7  Transacti on  2.  Member Rei mbursement  Captured Claim Mbr Reimbursmnt  Third Party Reimbursement  . Process Adjudi cated Held Claim  . Medi cal Service Claim Maint  9  Selec  or  F12=Cance1  p  Command  F3=Exi t  F4=P rompt  F6=Wrk Msg  F9—Retr i eve    and advised that there is another flavor of claims (government -third party) where users can enter information  Machine generated alternative text: D AS400C RXCDEV  Eile Edit Settings View  Communication Act'  Send  US2 panel  Au  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØ5Ø  RCNCPØSØ  K - AS400C RXCDEV  File Edit Settings View  PTS Copy  Communication Actions Window Help  Send R e N  Support  02 (P-ELIG)  1 ine  ID  $SNCPØ61B  UØØ9675  BIN ØØ433  Member ID  Last Name  Carr  Date Recd  Date Fill  Pharmacy :  Prescribe  RX Nbr  Product :  Product D  Pay To  Pay to Add  Scheduled  RxCLAIM#  ENTER  Thi rd  Proc C r 1  Acct  01 S p ley  Record 900  Caremark RxCl_AIM -  Party Reimbursement -  MEDICAICL3 Group  Person Cd  Fi rst Name  DEV.  Position to  L ine  USI  User  Medicand Claim  Vers DO Trans  2/12/21  Cd Bl  Ret  Sex  DOB  øøøøøl  øoøøØ2  øoøøø3  øeøøø5  øøeøø7  000008  øøømø  øøøøll  000012  000013  000014  000015  øøøø16  000017  000018  F3=EX1t  BNMPALA  CT 600  BARNES  SECOFR  CT2ØØ  CTFØØ  01029  02694  02035  HURST  s87øe1  BOLL  E3WP69  RUSSEL  104061  1Ø6Ø36  104653  B2KIT7  Group  - Claim Info  Bypass RA  Bypass 81  Qual  Qual  al 03  c  07 ID  ID  ID  Prescriber St  Compound  N  1  Disp Qty  Days Supply  Q typ res  Rx Price Paid  Medicaid Pd Amt  OPR  COB  Approved Amount  PSC/DAW cus Loc øø  Tracking No  ID Number  ICN/TCN  Doc/ I mage*  PST  WrtDt  occ  ID Nbr  øøøøøøøøøøøøøø  Rej  F12=Cancel  Status  Msg  F3=Exi t  F15=M-1  F  c  Submit F7=C1aim Trans Info F8=Sbm No Edit F9=COB F12=Prv F 14=Note  pound F16=New Member F17=New Rx F19=Man Rej F21=Pharm  Prc F22=Susp    Ron; asked if claims entering the system are only through paper or other ways.  Deepak: mentioned that claims can be electronic, POS, paper claims, government claims. In example, anyone who has access to the display screen option 1 can enter claims through one of those options.  Pranav: confirmed that nobody can submit a direct POS into the screen since it comes from the pharmacy side through a secure socket.  Ron: asked if a manual claim is submitted if there is a verification process that occurs like a QA before it goes to adjudication?  Pranav: from a verification perspective the claim gets processed as soon as its entered into the system. However, on the business side there may be some QA process which they are unaware of.  Ron: asked if they are the team who would be contacted for any additions to the security file?  Pranav: that would be controlled by the user provisioning team as they only develop the software per business specifications. Once development is done, all access is given by completing the IT request form.   * confirmed with the team that they do not have access to the production side of the house and that items being displayed are from the development box.     Ron: asked for the files that would be called upon when entering a paper claim through RCNCP056B and how would he see what the security level is over that file.  Pranav: mentioned that security is through the panel and they keep a sperate file which lists who can get into the screen. Once a person accesses the screen that user has access to all the elements contained within the screen and he doesn't believe there is additional security to the data table.  Pranav: mentioned that not even the business can change the files.  Ron: asked who would be able to grant access to the file in order to make updates?  Pranav: mentioned that mitch would be able to provide this information.  Joshua: mentioned that they should have logging and monitoring in place now and any record of view or changes to file should be available.  Ron: asked if they have any concerns they'd like to discuss on people going manually in and entering claims.  Pranav: they have various levels of security which delineates who can see and who can read and update. Also, the user provisioning team manages and controls the process to grant access and he thinks that with those elements in place, there should be a good handle.   * They direct people to the user provisioning team when they have questions on access.   Jeff: at the file level they don't have direct security; however, they do have a product called mimics that does backup processes which will keep the data current on multiple systems. All security is at the program access level.  Pranav: a file security program was recently added as part of the FDC program where the governments team goes and reviews the data elements of the file and added it to the Splunk process to ensure that any viewing of the file is logged to ensure hippaa compliance.  -------------------------------------------------------------------------------  Ron: The file, (green screen) is that the security file?  Deepak: Yes. Contains list of users who can access the files (List on the left)    Ron: Can you show us how that file looks like?  Deepak: The panel screen (RNNCP050). Select a member idea to do transaction against.    Ron: The panels on the top left, is there a program behind this too?  Dee: They contains same program names    Ron: what files do they pull up?  Dee: Multiple files.    Ron: You have a program with..For example. How do we identify which modules does this RxClaim module hit against?  Dee: So the list of files hitting on those panel IDs, the files, etc. (Green screen shows access) File column, library column, member device column, record format column, etc    Ron: The file object names link to longer names. (File object names) Confirmed by Deepak    Ron: Top left corner, shows their Panel User ID. Whoever is doing transaction, this information identifies the user. Confirmed by Deepak    Deepak: Pulls up the list of Prod and Pre Prod access excel sheet.    Ron: Has there been an exercise to show if there is appropriate access (PAR)  Pranav: PAR process is managed by Resource Management.    Ron: You provide this listing to the PAR team right?  Pranav: You talking about initial access?    Ron: Well, who does that? Access to paper claims  Pranav: It's done by user provisioning team.    Ron: To put a transaction, is it only manual transactions. Are there transactions outside of that]  Dee: For paper claims, we have a different panel ID. Manual claims, different panel ID  Ron: These column D of the excel sheet shows Panel ID for manual Claims. Confirmed by Deepak    Deepak: Shows screen for paper claims. (RCNCP056B)  Ron: So if its coming from a batch, how do we identify?  Dee: They cannot submit Batch claims.    Ron: So claims coming into the system. Do they enter through paper?  Dee: They can be submitted as a filed paper claims (Member reimbursement (Whoever has access to (Option1) for instance has access to this claims.    Pranav: No one can submit a POS (point of sale claims) That comes from a secure socket from pharmacy.    Ron: Does someone has to verify the claim? What kind of verification, quality checks. If I enter a paper claim, it doesn’t automatically get processed?  Pranav: As soon as the claims gets into the screen, it gets processed right away. There is no other control. But on the business side, they might have some processes but we are not aware of those controls.    Ron: So if someone wants to make change to whoever is on the security file> Who makes the change.  Pranav: That will be controlled by the user provisioning team. We just develop the software based on the business needs. When the software is done. Any access to the software is granted by business based on IT listing. Then it gets added up.    Ron: Security screen pull up. So you don’t have access to change information on here?  Pranav: Our development team doesn’t have access to change anything in production.    Ron: The screen where I enter to submit paper claim. What is that? Number reimbursement. Can you list off the files that are associated with this?  Dee: Shows screens and all the files associated with it (This apparently is the First Data request entry in AB)    Ron: How do I see security over that file?  Pranav: Security to the panel is doing through a separate file. That is who can get it into the screen. That means the person have access to the particular career account etc. When you come to this screen I don’t think we have any further security.    Ron: to change the file here, is that something you can do?  Pranav: No, we cant change any of this files.  Ron: Does files exist in the ASO400 (DB2)  Pranav: Nobody can change the info in this file by business also. It gets opened to perform a particular business operations. So no one has a control over that. Neither business nor IT.  Ron: But there is got to be a root access. (Who can grant access to make updates, or changes) Who has access to this?  Pranav: That will be mitch's group. There are several levels of security. You will need to talk to mitch on that.    Joshua: There should be monitoring and logging in places. We can validate that. Also something to consider. I understand what you are saying. If you want to know the security controls. We can provide this info.    Ron: Any concerns with people going in and entering manual claims? Have we thought of everything. People from the outside getting access etc.  Pranav: We have security in places for who can get access to the screens. Whether a person can see the data, update the data etc. It is being managed and controlled by the different processed with the Provisioning department based on my high level understanding.  Ron: who do you work with in Mitch's group?  Pranav: We don't go to Mitch's team for that info.  Ron: Say there is an update, and Mitch's team needs to know about this.  Pranav: We have a special data group. Jeff would you want a little insight on this?  Jeff: At the file level, we don’t have direct security. We do have a product called "mimics" that does back up process. It will keep the data current on multiple systems. But as far as security. We really don’t have. It's all at the program access level. That's where all the access is.  Pranav: In the sprong process, anybody that tries to update the view. Hipaa compliance etc. who has changes data etc. It's all included on there. We have processed part of deployment to review the file to see if there are any HIPAA related department. So this can be logged. We also included that process as well.    Ron: we may come back to ask for list of program etc. This definitely helps out for a high level overview. Thank you.  Pranav: Suggest to talk to Mitch's team with regards to security built into the system. Mitch Super will direct you to the right person.    Ron: Which module of RxClaim is closely related to this one?  Dee: Not sure what the question is. Are you referring to modules? RxClaim Adjudication. |