IT Audit Risk and Planning Discussion - with Robert

Wednesday, April 7, 2021

2:30 PM

**Attendees**: Robert Ungerer, Michael Bavasso, Daniel Benner, Seun Mafi

**Michael**: Can you give us a simple oversight on what you are looking at from a technical perspective?

**Rob**: Main reason for this Simple Dose as It's gone through a couple changes. While the IT component came out last year, last year, there was a new SimpleDose application. To help facilitate customer enrollment. I did some operational approach. We scoped out the new CRM. Still under the early phase. A brief background on what I did.

**Michael**: What is CRM?

**Rob**: Customer Relationship Module.

**Rob**: Scenario "You don’t need to open all the bottles; it pre-packages it for you". An entire month - say 900 bags in one month. Making sure all the medications are in the correct spot. A lot of systems working together to get this working fine. So a giant pharmacy tech does all the bagging and lays it all up for delivery.

**Michael**: Scenario "Say I take 30 pills a day, the require packaging etc." How does validation occur? How does CVS know I need all of those?

**Rob**: Works just like a pharmacy. During first enrollment. I want all my pills at once. That's where SimpleDose comes in. Pulls from your pharmacy and doctor for you. Updated prescription. Pull it all in RxConnect. Then pharmacist will then check. Is the prescription current, the pharmacy verifies the information. Then it is moved into a PROD, Process bagging, inspecting etc. Data entry verification, tablet production verification,

**Rob**: The automation will allow for boxing the prescriptions, no technicians can make to this volume. The warehouses can handle that. It can do what no retail pharmacy can.

**Michael**: Is PRADA built into SimpleDose.

**Rob**: PRADA (Automated running machine) and RxConnect do not speak. There are some limitation to accuracy scans etc.

**Rob**: The focus of your audit is from the call center. Look at the pharmacy itself. A lot of the upgrades is on the call center side.

**Michael**: So the call center, is that a separate entity?

**Rob**: Part of our retail, I think like 300 staff. They have their team structure dedicated. I don't have the IT contact.

**Michael**: We do have the IT folks if we need to go down that road.

**Rob**: A bulk of your work is with the Call center pharmacy. All your controls are the same as a retail pharmacy.

**Rob**: One area I found an issue. More like a recommendation and not on a report. We could not point to where the issue was. It is between the end of the SimpleDose pharmacy team and the SimpleDose application. A lot of double work going on within the team. So it’s a lag between the application and pharmacy. Seems like there is a lot more communication, having to call the doctors. A lot of double work that shouldn’t be happening.

**Michael:** We will not look into inventory, but we will look at it from a data integrity part.

**Rob**: After enrollment and monthly check-in. Key management and entry at the pharmacy. What is passing and what is entering. So both teams are aware so you guys at least know that there are some work flow inefficiencies.

**Michael**: If there is a connectivity issues, we will look at that.

**Daniel**: So data entry verification. The responsibility lies on who?

**Rob**: Lies on the retail pharmacy. Call center agent. The area falls on the pharmacy. They will submit the order for production. Make sure the doctor signs off etc. A lot of that should be done by the call center but control relies on the pharmacy.

**Michael**: Is there a special group of pharmacists for SImpleDose?

**Rob**: Yes, and they are part of CVS. There is a SimpleDose pharmacy in Virginia. They are all into CVS pharmacy Hubs. Virginia is probably close to capacity.

**Michael**: This helps us ask certain question. We appreciate you given us the opportunity to understand this better ourselves.

**Rob**: I did the formal walkthrough on site and process flows with the pharmacies. I can provide that for you guys. You should see all steps; call center enrollment, call center check-in etc. and all the flows in one. It's on Auditboard. There are walkthroughs and process flow for the business.

**Rob**: I believe my audit report is listed as SOL. I can send to you guys as well. I have some finding on patient safety. Once I get approval, I can send those out.