

PE – Compliance Management					
Establish Compliance Incident					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
Business Capability Descriptions					
How integrated or central is the process?	SMA has duplicate processes multiple parts of the organization. There is little coordination among SMA programs or between SMA and other stakeholders (e.g., other state agencies, CMS, intermediaries, other payers) in relation to the process.	SMA integrates the process within SMA. There is improved coordination between SMA and other stakeholders in relation to the process.	SMA integrates the process with state and federal law enforcement agencies, CMS, and providers to the extent possible within the intrastate.	SMA receives requests for suppression of information or corrective action from federal and state law enforcement; compliance investigation information from CMS; and self-disclosure of actual or potential violations from providers.	SMA fully integrates the process with state, regional and federal law enforcement, CMS, providers, and other federal agencies across the nation.
Is the process primarily manual or automatic?	The process consists primarily of manual paper-based activity to accomplish tasks.	SMA uses a mix of manual and automatic processes to accomplish tasks.	SMA automates process with state and federal law enforcement agencies, CMS, and providers to the extent possible within the intrastate. SMA produces audit trail of compliance decision 100% of the	SMA automates process with state and federal law enforcement agencies, CMS, and providers to the full extent possible across the interstate.	SMA automates process with state and federal law enforcement agencies, CMS, and providers to the full extent possible across the nation.

PE – Compliance Management					
Establish Compliance Incident					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
	time.				
Does the State Medicaid Agency use standards in the process?	SMA focuses on meeting compliance thresholds for state and federal regulations using state-specific standards.	SMA applies a mix of HIPAA and state-specific standards. Increases availability of information improves data usefulness for performance monitoring, management reporting and analysis over Level 1.	SMA adopts MITA Framework, industry standards, state and federal law enforcement agencies, and CMS standards, and other nationally recognized standards for intrastate exchange of information.	SMA adopts MITA Framework, industry standards, state and federal law enforcement agencies, and CMS standards, and other nationally recognized standards for compliance and interstate information exchange.	SMA adopts MITA Framework, industry standards, state and federal law enforcement agencies, and CMS standards, and other nationally recognized standards for national exchange of information.
How does the State Medicaid Agency collaborate with other agencies or entities in performing the process?	Very little collaboration occurs with other agencies to standardize information exchange or business tasks.	SMA collaborates with other agencies and entities to adopt HIPAA standards and Electronic Data Interchange (EDI) transactions.	SMA collaborates with other intrastate agencies and entities, e.g., state law enforcement, federal law enforcement agencies, and CMS to adopt national standards, and to develop and share reusable business services.	SMA collaborates with other interstate agencies and entities, state and federal law enforcement agencies, and CMS to adopt national standards, and to develop and share reusable processes including clinical information.	SMA collaborates with agencies and entities, state and federal law enforcement agencies, CMS, and other federal agencies and entities for national (and international) interoperability improvements that maximize automation of routine operations.

PE – Compliance Management					
Establish Compliance Incident					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
Business Capability Quality: Timeliness of Process					
How timely is the end-to-end process?	Process meets threshold or mandated requirements for timeliness (i.e., the process achieves results within the time specified by law or regulation).	Process timeliness improves through use of automation. Timeliness exceeds legal requirements.	Timeliness improves via state and federal collaboration, use of information sharing, standards, and regional information exchange hubs. Timeliness exceeds Level 2. SMA distributes Notice of appeal rights within 15 minutes or less 100% of the time.	Information is available in near real time. Processes that use compliance incident information result in immediate action, response, and results. SMA has interstate interoperability, which further improves timeliness over Level 3.	Information is available in real time. Processes improve further through connectivity with other States and with federal agencies. Most processes execute at the point of service. Results are almost immediate.
Business Capability Quality: Data Access and Accuracy					
How accurate is the information in the process?	Use of direct data entry for information collection is manually intensive and susceptible to inconsistent or incorrect information. Stakeholders are	HIPAA standard transactions improve accuracy of information but the decision-making process may be erroneous or misleading. Accuracy	Automation of information collection increases the reliability of SMA's internal information. External sources of information use MITA Framework and	Automation of information collection increases the reliability of SMA's internal and external sources of information. SMA adopts MITA	SMA adopts MITA Framework and industry standards for information exchange with national agencies. Decision-making is automatic using

PE – Compliance Management					
Establish Compliance Incident					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
	unable to rely on information for decision-making.	is higher than at Level 1.	industry standards for information exchange. Decision-making is automatic using standardized business rules definitions. Accuracy rating is at 99% or higher.	Framework and industry standards for information exchange with interstate agencies. Decision-making is automatic using regional standardized business rules definitions. Accuracy rating is at 99% or higher.	national standardized business rules definitions. Accuracy rating is at 99% or higher.
How accessible is the information in the process?	SMA stores information in disparate systems including paper storage and obtains information manually.	SMA stores information in disparate systems, but automation and HIPAA standards increase accessibility over Level 1.	SMA obtains information easily and exchanges with state and federal law enforcement, CMS, providers, and other intrastate agencies and entities based on MITA Framework and industry standards. Accessibility is greater than Level 2.	SMA obtains information easily and exchanges with state, district, and federal law enforcement, CMS, providers, interstate agencies and entities. Accessibility is greater than Level 3.	SMA obtains information easily and exchanges with state and federal law enforcement, CMS, providers, federal agencies and entities. Accessibility is greater than Level 4.

PE – Compliance Management					
Establish Compliance Incident					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
Business Capability Quality: Cost-Effectiveness					
What is the cost of the process compared to the benefits of its results?	High relative cost due to low number of automatic, standardized tasks.	Automation improves process and allows focus on exception resolution, improving cost effectiveness ratio over Level 1.	SMA adopts MITA Framework, industry standards, state and federal law enforcement, CMS, and other nationally recognized standards further improving cost effectiveness ratio over Level 2.	SMA adopts MITA Framework, industry standards, state and federal law enforcement, CMS and other nationally recognized standards for interstate information exchange. SMA increases cost effectiveness ratio over Level 3.	SMA adopts MITA Framework, industry standards, state and federal law enforcement, CMS, and other nationally recognized standards for national (and international) information exchange. SMA increases cost effectiveness ratio over level 4.
Business Capability Quality: Effort to Perform; Efficiency					
How efficient is the process?	Process is labor intensive. There is wasted effort or expense to accomplish tasks. Process meets minimum state process guidelines and SMA performance	Automation and state standards increase productivity. Efficiency is higher than Level 1.	SMA adopts MITA Framework, industry standards and information exchange with state and federal law enforcement, CMS, and intrastate agencies and entities improving efficiency	SMA adopts MITA Framework, industry standards and information exchange with state, district and federal law enforcement, CMS, and interstate agencies and entities improving efficiency	SMA adopts MITA Framework, industry standards and information exchange with state and federal law enforcement, CMS, and federal agencies and entities improving efficiency

PE – Compliance Management					
Establish Compliance Incident					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
	standards. Efficiency is low.		to 95% or higher.	to 98% or higher.	to 98% or higher.
Business Capability Quality: Accuracy of Process Results					
How accurate are the results of the process?	Manual processes result in greater opportunity for human error. Accuracy is low.	Automation and standardized business rules definitions reduce error and improve accuracy above Level 1.	SMA adopts MITA Framework, industry standards and information exchange with intrastate agencies and entities improving accuracy to 90% or higher.	SMA adopts MITA Framework, industry standards and information exchange with interstate agencies and entities improving accuracy to 98% or higher.	SMA adopts MITA Framework, industry standards and information exchange with national agencies and entities improving accuracy to 98% or higher.
Business Capability Quality: Utility or Value to Stakeholders					
Does the business process satisfy stakeholders?	Stakeholders lack confidence in information negatively affecting stakeholder satisfaction with the process.	Automation and standardization provides clear and useful information. Stakeholder satisfaction is greater than Level 1.	SMA adopts MITA Framework, industry standards and information exchange with state and federal law enforcement, CMS, and intrastate agencies and entities improving stakeholder satisfaction to 90% or higher. SMA uses survey or	SMA adopts MITA Framework, industry standards and information exchange with state, district, and federal law enforcement, CMS, and interstate agencies and entities improving stakeholder satisfaction to 95% or	SMA adopts MITA Framework, industry standards and information exchange with state and federal law enforcement, CMS, and federal agencies and entities improving stakeholder satisfaction to 98% or higher.

PE – Compliance Management					
Establish Compliance Incident					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
			questionnaire for information collection.	higher.	