

PE – Compliance Management					
Manage Compliance Incident Information					
Capability Question	Level 1	Level 2	Level 3	Level 4	Level 5
Business Capability Descriptions					
How integrated or central is the process?	The duplicate process is in 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. SMA improves coordination between SMA and other stakeholders.	SMA fully integrates the process with state and federal law enforcement, CMS, and other intrastate agencies to the extent possible within the intrastate.	SMA fully integrates the process with state, district and federal law enforcement, CMS, and interstate agencies to the extent possible across the interstate.	SMA fully integrates the process with state, district and federal law enforcement, CMS, and other federal agencies to the extent possible across the nation.
Is the process primarily manual or automatic?	The process consists primarily of manual paper-based activity to accomplish tasks. SMA manually enters parameters for identification of cases. SMA automates exception processing.	SMA uses a mix of manual and automatic processes to accomplish tasks.	SMA automates process with state and federal law enforcement, CMS, and other intrastate agencies to the full extent possible within the intrastate. SMA produces audit trail of compliance decision 100% of the time.	SMA automates process with state, district and federal law enforcement, CMS, and interstate agencies to the full extent possible across the interstate.	SMA automates process with state, district and federal law enforcement, CMS, and federal agencies to the full extent possible across the nation.

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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.	SMA adopts MITA Framework, industry standards, and other nationally recognized standards for exchange of information with state and federal law enforcement, CMS, and other intrastate agencies.	SMA adopts MITA Framework, industry standards, and other nationally recognized standards exchange of information with state, district and federal law enforcement, CMS, and other interstate agencies.	SMA adopts MITA Framework, industry standards, and other nationally recognized standards for national exchange of information with state, district, and federal law enforcement, CMS, and other federal agencies.
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 to adopt national standards, and to develop and share reusable business services with state and federal law enforcement, CMS, and other intrastate agencies.	SMA collaborates with other interstate agencies and entities to adopt national standards, and to develop and share reusable processes with state, district and federal law enforcement, CMS, and other interstate agencies including compliance information.	SMA collaborates with agencies and entities for national (and international) interoperability improvements that maximize automation of routine operations.

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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.	Information is available in near real time. Processes that use compliance 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 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 unable to rely on information for decision-making.	HIPAA standard transactions improve accuracy of information but the decision-making process may be erroneous or misleading. Accuracy is higher than at Level 1.	Automation of information collection increases the reliability of SMA's internal information. External sources of information use MITA Framework and industry standards for information exchange. Decision-	Automation of information collection increases the reliability of SMA's internal and external sources of information. SMA adopts MITA Framework and industry standards for information exchange	SMA adopts MITA Framework and industry standards for information exchange with national agencies. Decision-making is automatic using national standardized business rules definitions. Accuracy

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			making is automatic using standardized business rules definitions. Accuracy rating is at 99% or higher.	with interstate agencies. Decision-making is automatic using regional standardized business rules definitions. Accuracy rating is at 99% or higher.	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, and other intrastate agencies and entities based on MITA Framework and industry standards. Access to information ranges from 24 hours to 60 seconds.	SMA obtains information easily and exchanges with state, district and federal law enforcement, CMS, and interstate agencies and entities. Accessibility is greater than Level 3.	SMA obtains information easily and exchanges with state, district and federal law enforcement, CMS, and other federal agencies and entities. Accessibility is greater than Level 4.
Business Capability Quality: Cost-Effectiveness					
What is the cost of the process compared to the benefits of its	High relative cost due to low number of automatic,	Automation improves process and allows focus on exception resolution, improving	SMA adopts MITA Framework, industry standards, state and federal law	SMA adopts MITA Framework, industry standards, state, district, and federal	SMA adopts MITA Framework, industry standards, and other nationally recognized

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results?	standardized tasks.	cost effectiveness ratio over Level 1.	enforcement, CMS, and other nationally recognized standards further improving cost effectiveness ratio over Level 2.	law enforcement, CMS, and other nationally recognized standards for interstate information exchange. SMA increases cost effectiveness ratio over Level 3.	standards for national (and international) information exchange with state and federal law enforcement, CMS, and other federal agencies. 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 standards. Efficiency is low.	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 to 95% or higher.	SMA adopts MITA Framework, industry standards and information exchange with state, district and federal law enforcement, CMS, and interstate agencies and entities improving efficiency to 98% or higher.	SMA adopts MITA Framework, industry standards and information exchange with state, district and federal law enforcement, CMS, and other federal agencies and entities improving efficiency to 98% or higher.

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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 state and federal law enforcement, CMS, and intrastate agencies and entities improving accuracy to 90% or higher.	SMA adopts MITA Framework, industry standards and information exchange with state, district and federal law enforcement, CMS, and interstate agencies and entities improving accuracy to 98% or higher.	SMA adopts MITA Framework, industry standards and information exchange with state, district and federal law enforcement, CMS, and federal 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 higher.	SMA adopts MITA Framework, industry standards and information exchange with state, district and federal law enforcement, CMS, and federal agencies and entities improving stakeholder satisfaction to 98% or higher.

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			questionnaire for information collection.		