The mission of the DODD is to continuously improve the quality of life for Ohio's citizens with developmental disabilities and their families. Ohio is one of the nation's leaders in providing various residential options and supports to its citizens with developmental disabilities. The *imagine* application enables and supports this mission through a person centered process that fosters real-time collaboration for team members using innovative technologies

Provider Service Management System

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Executive Summary

The Ohio Department of Developmental Disabilities (DODD) has oversight for almost 100,000 individuals served by 88 county boards. DODD administers three Medicaid waivers, which support roughly 40,000 individuals who receive services from over 15,000 waiver providers. Annual claims for administered waivers are more than 2.5 billion dollars. With such a significant provider base, DODD has continually sought to improve the provider certification process.

In 2011, DODD implemented the award-winning Provider Certification Wizard (PCW). At that time, PCW was considered a model for self-service provider certification with Internet-based application and electronic payment processes. While the PCW system met many needs, challenges with the certification process remained. With the volume of applications DODD certification staff needed tools to improve efficiency and better manage provider applications. Providers sought improved interfaces and simplification of the application process. Additionally, as part of this effort, DODD sought to incorporate application submissions and change requests associated with licensure facility management for DODD's 1,200 licensed facility settings. Given these business drivers, DODD initiated an effort early in 2017 to re-platform and enhance PCW.

Using an Agile methodology DODD engaged constituents and DODD certification staff to formalize requirements to address the noted pain points. Retiring the legacy application required DODD to build a migration process to transition pending applications to the new Provider Services Management (PSM) solution as staff completed them. As providers are central to DODD systems, 17 systems or endpoints had to be connected to the new system. In December 2017, DODD deployed the new provider certification and licensure certification system. The Provider Certification portion of the new PSM system addressed the concerns posed by PCW.

DODD certification staff immediately saw the benefits of the system as they were able to more effectively manage application workloads. For example, since the initial deployment in December 2017, DODD has received over 2,000 new, renewal, or change applications. Over the following five month period, three assigned staff have closed almost 1,700 applications. The remaining 300 plus applications are currently in various states of review. DODD staff report they now have resources to take on additional incoming applications. The provider implementation includes a dashboard with application status and alerts/notifications from DODD Medicaid Development Administration staff. The refined interface supports mobile and small form factor devices, and incorporates clear concise workflows that direct providers through the application process.

Concept

Providers were very interested in the Internet based certification process that was deployed in 2011. New and novel processes for application submissions and electronic fee payment raised the bar at DODD. The excitement was tempered by increasing workloads and additional requirements, resulting in delays in application processing and ineffective communication. The application process needed to be streamlined and simplified. Technology has changed significantly since the initial development of PCW. Providers grew weary of the interface and outdated application process. Recent rule changes requiring additional information coupled with inefficiencies in the application process, left providers frustrated. DODD certification staff shared the frustration as they were unable to keep up with the workload using the legacy tools.

The administrative tasks associated with managing almost 15,000 waiver providers are significant. These tasks are made more difficult considering that providers run the gamut from "mom and pop" independent providers to large agency providers with multiple staff. This diversity challenged DODD to build a solution that met the needs of this broad group.

The need to integrate with learning management platforms was also identified. Providers are either required or incentivized (competency add-on reimbursement) to receive training. DODD sought to integrate the Moodle learning platform in support of these initiatives.

Improvements to interfaces with the Ohio Department of Medicaid (ODM) were also a strong consideration as part of the project. New certification requirements meant that additional data would need to be collected from providers and communicated to ODM; furthermore, onsite visits by ODM needed to be managed more closely. The implication was that workflows needed to be improved and the secure, electronic, bi-directional, real-time interface between ODM and DODD would need to be enhanced, including the ability to share documents electronically. Managing and collecting provider attestations and related document requirements were also an area of concern for both providers and DODD staff. DODD certification staff also identified the need to have restricted administrative override capabilities to address exception issues with applications.

Past practice required staff to request scripted data changes through the DODD database group. Additional administrative functions to allow the certification staff to configure elements of the solution were also requested. Having these administrative capabilities lessens the reliance on IT staff to intervene when business workflow changes are needed. Certification staff also requested the ability to "view" in process applications to support provider application entry and questions associated with the application process. Addressing the backlog of applications was a prime concern. To ensure that applications were addressed as they were received, the Certification unit asked for an automated mechanism to manage work queues for assigned staff with associated dashboards to monitor processing cycles.

Within the licensure portion, similar challenges with administrative processing and communication with applicants existed. Additionally, integrations with legacy components of the DODD process had to be refined and implemented.

The scope of the project was significant, requiring input from constituents and providers as well as DODD waiver and licensure certification staff. Focus sessions quantified the deficiencies noted above. One of the key takeaways of the sessions was the complex nature of workflows that required connectivity to electronic and manual processes, including registry checks and Bureau of Criminal Investigation (BCI) background checks. Data migration for the legacy application was also identified as a large task within the domain of the project. Enhancing the integration with the DODD Secure Entitlements Management Security System (SEMS) was also a requirement. SEMS is DODD's enterprise security solution that allows for self-service account creation with business oversight approval. SEMS also aligns with the DODD integration with the statewide Ohio Digital Experience (ODX) project. ODX will move users toward better identity management and single signon experience. The identified need was to improve provider account creation and build out constructs to map relationships between waiver providers, facility owners, and facility operators.

Addressing the requirements in a timely manner was made easier by the current DODD development model, which includes Agile coupled with the use of the Microsoft Dynamics platform as a basis to expedite development efforts. DODD ITS assembled teams to develop the portal and Dynamics portions of the solution. The DODD Project Management Office (PMO) provided project management, business analysis and testing resources. Using the Agile methodology, stakeholders and DODD staff documented user stories and test/acceptance criteria to guide the process. There was a significant amount of legacy data to be migrated, which required substantial validation/verification of migrated data in pre-production environments. The developed data migration scripts were repeatedly tested to ensure a successful migration. The migration was complicated by the need to develop a strategy to manage over 1,000 in-flight applications. DODD developed a novel approach that closed access to the legacy application externally; while maintaining internal access for DODD certifications staff. This allowed internal staff to complete the in-flight applications that were then migrated to the new PSM application daily through a "delta synch" process. Given the complex nature of the workflows, DODD sought to connect to electronic registries including the DODD Abuser Registry. DODD also worked with the DODD certification staff to improve the workflow and documentation artifacts against mandated manual processes, such as the BCI background check process.

In just 8 months DODD leveraged the Dynamics platform as a low-code/nominal cost mechanism to build out a robust provider certification platform for both waiver and licensure processes, while building new and enhanced provider portals to support the provider application processes for waiver and facility providers. The PSM portal access includes all external facing development options for the collection of required data and document upload ability for submission to DODD. Specific features and functions delivered for providers are:

- Enhanced Provider Landing Page and Provider Dashboard
- Provider Applications including Initial, Renewal, Service Changes, Updates, Search Profile, relinquishment (enhancements embedded)

- Integrated with DODD SEMS to offer an improved capability to recall and display provider data and capture relationships in contracts to users and persons
- User Delegation

DODD certification staff functionality includes all internal review and workflow processes, as well as all triggering events for automatic status and workflow changes. The requirement to have restricted administrative override capabilities to address exception issues with applications was also built into the solution. This expedited processing of exception cases addressed timely processing concerns. DODD ITS staff also developed administrative functions to allow the certification staff to configure elements of the solution to address business workflow changes without ITS staff intervention.

The capability for certification staff to "view" in process applications to support provider application entry and questions associated with the process was also addressed. As requested, DODD ITS staff built an automated work queue management tool to ensure applications were addressed upon receipt and tracked through the stages of the application/certification approval process. Notable focus areas for improvement include:

- New Documentation Management System to include a more user-friendly interface and increased interface in documentation retrieval
- Refined and enhanced workflows with increased quality assurance checks
- Better use of the data interface to the Ohio Department of Medicaid (ODM) Medicaid Information Technology System (MITS)
- Transactional Reporting
- Customizable Dashboard for Users
- Communication Capabilities with the Provider including a Correspondence Module
- Ability to Trace Relationships with Providers and Owner
- Comments Log
- Provider Watch/Flag and Administrative Application Overrides
- Improved Application Administration

The goal of the licensure portion of PSM for facility providers was to provide an external facing/self-service development request system to eliminate all internal manual processes on behalf of the provider. Portal access includes all external facing development options for the collection of required data and document upload ability for submission to DODD. The following are key features of the licensure portal:

- New Facility and renovation development
- Change of Capacity (Increases/ Decreases)
- Relocations, Closures and conversions
- Change of Ownership, Administrator/Operator
- User Delegation (security)
- Notifications through email and Alerts on Dashboard of development actions.

DODD licensure certification staff were provided with functionality that allows staff to focus on the review and approval process of licensing facilities/homes. PSM Admin features for licensure included all internal review and workflow processes and all triggering events for automatic status and workflow changes specifically:

- Initial Approvals, Final Approvals, Denials
- Request for Information
- Document upload and retrieval
- License Generation including interim and Facility licensing
- Payment Options
- Bed Tracking and Reporting
- Conversion Tracking and Reporting

The functionality improvements of these changes for both state staff and constituents are significant. State staff are able to process more applications and changes in a timely manner with just 3 staff. Additionally, the improved integration with ODM, introduction of workflows and automation improves processing times and eliminates mistakes. Constituents appreciate the improved user interface and increased automation which simplifies the process.

During the project and shortly after deployment DODD PMO staff worked with the DODD business stakeholders to develop communication plans to educate and promote awareness and adoption. Early efforts to raise awareness involved working with advocacy groups such as the Ohio Provider Resource Association and the Ohio Association of County Boards as well as stakeholder groups such as the Family Advisory Council. DODD also prepared recorded webinars and department communication vehicles such as the *DODD Monday Memo* to inform the user base.

At the project close and through the early run portion of the system DODD has assessed the alignment of goals and of objectives with actual outcomes. Key indicators for success were: Improved productivity of the DODD Certification unit; Customer satisfaction of the portal as measured by fewer tier I tickets, positive response from customer feedback and number of applications submitted and processed in a timely manner. These metrics indicate the solution is meeting these indicators.

Significance

The deployment of the new PSM system was significant for DODD in many ways. Foremost, was the ability to meet the needs of the business and constituents in a timely manner that addressed deficiencies in the legacy application. Development of the component on the Dynamics platform was also significant as this allowed for a faster development lifecycle and it aligns with Centers for Medicaid and Medicare Services (CMS) Medicaid Information Technology Architecture (MITA)/ Medicaid Enterprise Certification Toolkit (MECT) guidance.

The Dynamics platform supports the DODD service-oriented architecture approach through secured Active Directory Federation Services (ADFS) to transmit and receive data in real-time and batch models with Ohio Department of Medicaid MITS and Ohio Benefits Systems for work activities associated with Level of Care and Provider Certification. The platform allows DODD to integrate with other key DODD components that were developed, including the electronic case management component and the

Medicaid cost projection/Service Authorization component. A specific example is the compliance tool for provider review, Review Data System (RDS). RDS is utilized by DODD and Ohio Department of Health (ODH) reviewers.

The PSM solution connects with over 15 solution components. The improved workflows allowed DODD to retire redundant software and deliver quantifiable productivity gains, including measurable gains in application processing times. The new solution also delivered a modern, portable interface consistent with current technology platforms. Additionally, the solution addressed guidance from the Governor's office to provide a simplified approach to provider credentialing and reduce waiting time.

Impact

Ensuring that the certification processes in place to support the 15,000 waiver providers, who deliver services to individuals with developmental disabilities, are efficient is extremely important. In addition to the providers, county boards, individuals, families and guardians are highly dependent upon the provider certification process. Working with the individuals, families, guardians and providers; county board Service Support Administrators (SSA's) utilize the store of certified providers to plan and authorize service delivery for individuals.

Whether it is a routinely planned service or an emergency, it is critical to have the certifications in place in a real-time manner. Given the dollar volume of claims that are supported by the certification and planning/authorization processes (annual claims for administered waivers are more than 2.5 billion dollars), the magnitude of the impact cannot be underestimated. Correspondingly, ensuring the availability of certified providers in the planning and authorization processes helps to guarantee that providers can deliver needed services to support the health, safety, and welfare of individuals.

The impact to the certification processes are apparent in both the provider as well as DODD certification staff. For DODD certification staff, the noted productivity gains are evident. For example, since the initial deployment in December 2017, DODD has received over 2,000 new, renewal, or change applications. Over the following five month period, three assigned staff have closed almost 1,700 applications. The remaining 300 plus applications are currently in various states of review. DODD staff report they now have resources to take on additional incoming applications. This has resulted in greater satisfaction for certification staff as well as a better experience for providers. The improved provider experience also helps to facilitate improved service delivery and better interaction with the individuals served and members of the team.   Dollar savings are difficult to explicitly quantify; however, savings attributable to more efficient use of state staff time and improved productivity for DODD providers are very visible measures of cost savings.