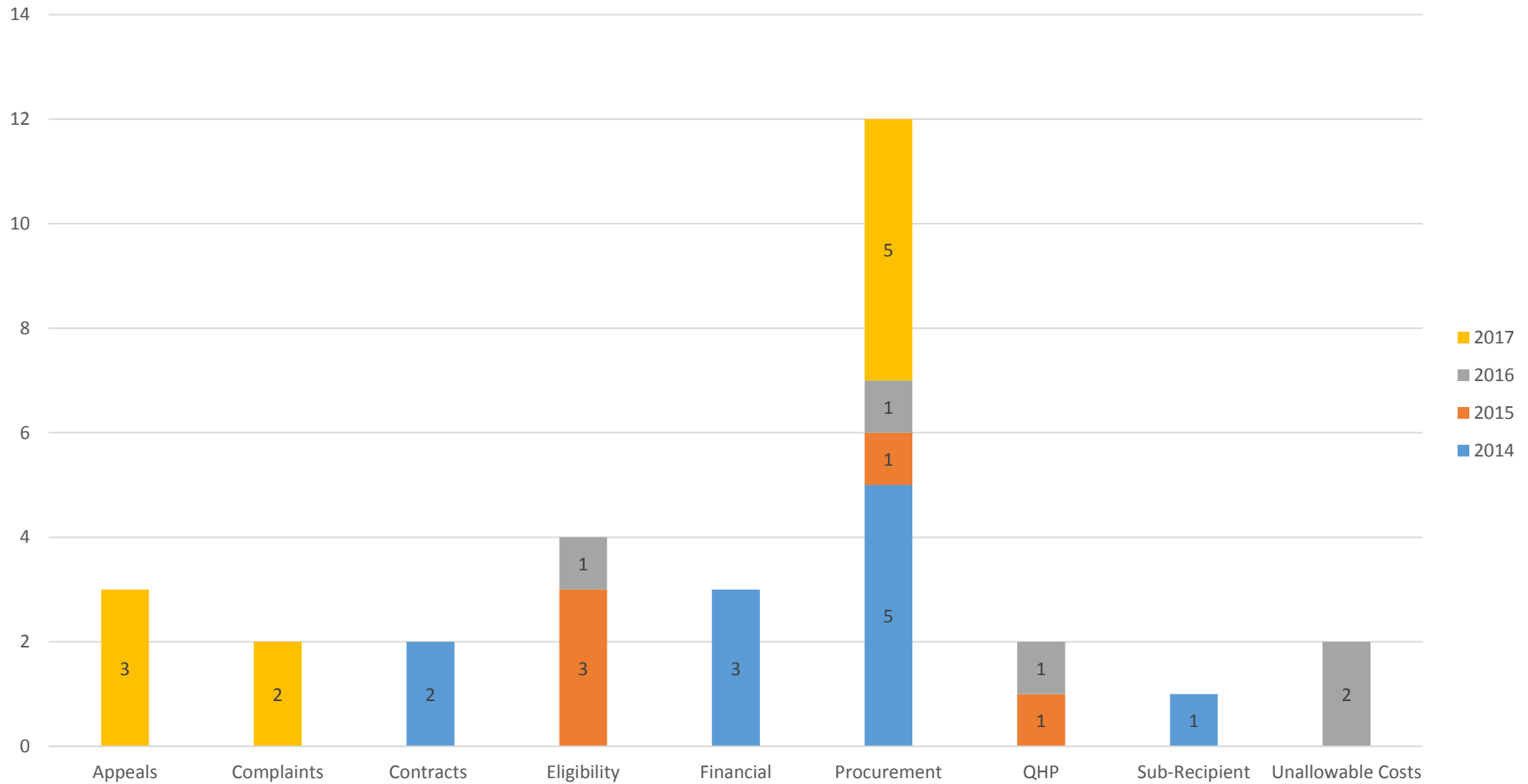




AUDIT UPDATE

Finance and Operations Committee
August 28, 2017

All Audit Recommendations by Year



Action Plan and Status of OSA Recommendations

Finding #	Audit Recommendations	Action Items and Progress to Date	Estimated Date of Resolution
1A	Connect for Health Colorado should improve its controls over procurement, spending, contracting, and grants management by - Implementing a process to update written policies and procedures so that they consistently and accurately reflect the processes that management and staff are expected to follow.	<ol style="list-style-type: none"> 1) Quarterly review of the policy and procedures 2) Intact Community Dashboard 3) Documentation of quarterly review of policy and procedures 	7/31/2017
1B	Connect for Health Colorado should improve its controls over procurement, spending, contracting, and grants management by - Implementing a process to revise contracts to ensure that they accurately reflect current vendor and grantee performance expectations and documentation requirements for payment requests.	<ol style="list-style-type: none"> 1) Amend contracts when the original terms are no longer feasible or beneficial to the organization. 2) Update Existing Contract Management procedures 3) Implement a Contract Management Checklist <ul style="list-style-type: none"> - Identifies responsibilities of staff - Including payment documentation 4) Provide staff training on Contract Management <ul style="list-style-type: none"> - Including instructions on new contract review/checklist process - Including process to amend contracts when they need to be adjusted - Including instruction on responsibilities for notifying mgmt. and finance 5) Staff with contract management responsibilities will be required to sign the Checklist a minimum of annually, subsequent to the initial checklist signoff 	9/30/2017
1C	Connect for Health Colorado should improve its controls over procurement, spending, contracting, and grants management by - Developing and implementing a corrective action plan to address all audit findings.	<ol style="list-style-type: none"> 1) Action Plan addressing improvement in our policies, procedures and processes 2) Implantation dates added to audit findings to tracking system 	8/31/2017
1D	Connect for Health Colorado should improve its controls over procurement, spending, contracting, and grants management by - Conducting ongoing follow up reviews to ensure current policies are enforced and all external and internal audit recommendations have been implemented.	<ol style="list-style-type: none"> 1) Audit Tracking Matrix <ul style="list-style-type: none"> - Include Implementation status and dates - Include Internal Audit signoff on competition 2) Internal Audit Plan <ul style="list-style-type: none"> - Update Quarterly using the Audit Tracking Matrix 3) Report Quarterly to Finance and Ops Committee 	8/31/2017
1E	Connect for Health Colorado should improve its controls over procurement, spending, contracting, and grants management by - Implementing methods to ensure that the Board, management, and staff are trained on new policies, procedures, and contract terms.	<ol style="list-style-type: none"> 1) Create Training in the LMS 2) Provide initial training 3) Implement annual training schedule 4) Annual update and review of financial policies to the board, provide review of the boards responsibilities 5) Training modules <ul style="list-style-type: none"> - Contract Management - Procurement 6) Period Contract updates to Staff with contract responsibilities 	9/30/2017

Action Plan and Status of OSA Recommendations (continued)

Finding #	Audit Recommendations	Action Items and Progress to Date	Estimated Date of Resolution
2A	Connect for Health Colorado should improve its processes for tracking and analyzing appeals and complaints, and resolving them in a timely manner by - Ensuring staff follow the procedures for entering appeals information into its database and submitting cases to the Office of Administrative Courts by implementing supervisory review of data.	<ol style="list-style-type: none"> 1) Revise process documentation 2) Provide training 3) Monthly meetings 4) Periodic Review of Cases to verify compliance 	8/31/2017
2B	Connect for Health Colorado should improve its processes for tracking and analyzing appeals and complaints, and resolving them in a timely manner by - Establishing and implementing processes for reporting timeliness of appeals to the Board.	<ol style="list-style-type: none"> 1) Create appeals reporting with the board of directors 	10/31/2017
2C	Connect for Health Colorado should improve its processes for tracking and analyzing appeals and complaints, and resolving them in a timely manner by - Establishing and implementing methods to prioritize appeals to meet timeliness standards, and filling open appeals staff positions.	<ol style="list-style-type: none"> 1) Review existing prioritization process 2) Make changes to meet timeliness standards 3) Analyze staffing resources 	9/30/2017
2D	Connect for Health Colorado should improve its processes for tracking and analyzing appeals and complaints, and resolving them in a timely manner by - Implementing a written policy and procedure for complaint processing.	<ol style="list-style-type: none"> 1) Create written complaint policy 2) Create written complaint procedures for processing <ul style="list-style-type: none"> -Definitions -Provisions for logging, tracking and monitoring complaints E2E -Anticipated process and timelines for resolution 3) Incorporate complaint processing into existing escalation procedures in SC 4) Regular reporting to the Board of Directors 	8/31/2017
2E	Connect for Health Colorado should improve its processes for tracking and analyzing appeals and complaints, and resolving them in a timely manner by- Updating its website to make complaint filing information easier to find and provide accurate instructions on how customers may file complaints.	<ol style="list-style-type: none"> 1) Update website <ul style="list-style-type: none"> - Easier to find, Easier to use - How to file a complaint 2) Create content on the website to include <ul style="list-style-type: none"> - Definitions - Descriptions of complaint submission - Anticipated process - Timeline for resolution 	8/31/2017