

11.1 ROUTINE OVERSIGHT AND MONITORING OF THE EXCHANGE'S ACTIVITIES

11.3 UPHOLD FINANCIAL INTEGRITY PROVISIONS INCLUDING ACCOUNTING, REPORTING, AND AUDITING PROCEDURES

Current State Policies, Procedures, Resources:

The Minnesota Exchange will follow all statewide policies for accounting, procurement, grant management, contracting, etc. as outlined below as well as use or leverage any existing Minnesota state agency internal controls or business processes where applicable. The will adapt the policies, procedures and other oversight and reporting activity as necessary to respond to any governance structure established.

Minnesota Department of Administration – Statewide Policies and Procedures

- Professional/Technical Services Contract Manual
<http://www.mmd.admin.state.mn.us/mn05001.htm>
- Professional/Technical Contract Policies
<http://www.mmd.admin.state.mn.us/mn05026.htm>
- Financial Management polices
http://www.admin.state.mn.us/fmr/policies-procedures_1.html
- Grant Management Policies
http://www.admin.state.mn.us/ogm_policies_and_statute.html

Minnesota Management and Budget – Statewide Policies and Procedures

- Accounting/Financial Reporting
<http://beta.mmb.state.mn.us/doc/acct/2011.pdf>

Minnesota Statutes - 16A.50 FINANCIAL REPORT TO LEGISLATURE.

By December 31 of each year, the commissioner shall report to the legislature on the operation of all state funds during the last fiscal year. The report shall contain financial statements and disclosures which show the state's financial operations and position. The report must conform with generally accepted government accounting principles.

- Administrative Procedures
<http://www.beta.mmb.state.mn.us/admin-policies>

Minnesota Health Insurance Exchange Blueprint Application

- Compensation Policies
<http://www.beta.mmb.state.mn.us/compensation-policies>
- Financial Policies
<http://www.beta.mmb.state.mn.us/financial-policies>
- Grants Management Policies
<http://www.beta.mmb.state.mn.us/grants-manage-policies>
- Human Resource Policies
<http://www.beta.mmb.state.mn.us/hr-policies>
- HR/Payroll Operating Policies and Procedures
http://www.sema4.state.mn.us/html/doc/eng/webhelp/hrpayrol/Operating_Policies_and_Procedures_Content.htm
- Personnel Policies
<http://www.beta.mmb.state.mn.us/persls>
- Technology Policies
<http://www.beta.mmb.state.mn.us/technology-policies>

Minnesota Management and Budget – Resources

- Internal Controls and Accountability Office: The primary mission of the office is to improve internal controls throughout state government. The office has the following statutory responsibilities
 - a. Adopt statewide internal control standards and policies
 - b. Coordinate executive branch agency internal control training and assistance
 - c. Promote and coordinate the sharing of internal control training and assistance
 - d. Make biennial reports on the system of internal controls and internal auditing in executive branch agencies<http://www.beta.mmb.state.mn.us/ic>

Department of Commerce – Resources

- Market Assurance Division: Market Enforcement Division houses the Enforcement Unit, Insurance Fraud Unit and the Consumer and Industry Services Unit. The MN-HIX will look to leverage these units for best practices and/or operational support for prevention of fraud, waste, and abuse.
<http://mn.gov/commerce/insurance/topics/fraud/>

Minnesota Department of Human Services - Resources

- The Minnesota Department of Human Services has a very robust internal control procedures and programs for identifying and preventing fraud, waste and abuse. This includes an Office of Inspector General Division with a Financial Fraud and Abuse Investigation unit and a Compliance Division that oversees appeals and regulations, internal audits and other compliance operations. The MN-HIX will look to leverage these units for best practices and potentially operational support.

http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_DYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=dhs16_161555