

Appendix B

SPIA Data Collection Instrument EFY 2007

Contact Information		
1	State:	
2	Name:	
3	Title:	
4	Phone number:	
5	E-mail:	
Program Characteristics		
6	Medicaid Enrollment:	Fee-for-service recipients: <u> </u> Managed care enrollees: a) <u>Fee-for-service:</u> <u> </u> b) <u>Primary care case management:</u> <u> </u> Total: <u> </u>
7	<u>Estimate of expenditures</u> <u>Organizational structure for Medicaid Integrity activities (\$)-within the State:</u>	<input type="checkbox"/> <u>Distinct Program Integrity Model</u> <input type="checkbox"/> <u>Inspector General (IG) Model</u> <input type="checkbox"/> <u>Hybrid Model</u>
8	<u>Organizational structure for Medicaid Integrity activities within State:Activities that the State includes under the scope of Medicaid Integrity:</u>	<input type="checkbox"/> <u>Distinct Program Integrity Model</u> <u>Audits</u> <input type="checkbox"/> <u>Inspector General (IG) Model</u> <u>Investigations</u> <input type="checkbox"/> <u>Hybrid Model</u> <u>SURS/Data Mining</u> <input type="checkbox"/> <u>Provider Enrollment</u> <input type="checkbox"/> <u>Provider Education/Communications</u> <input type="checkbox"/> <u>Managed care oversight</u> <input type="checkbox"/> <u>Other, please specify:</u> <u> </u>
9	<u>Activities that the State includes-</u>	<input type="checkbox"/> <u>Audits</u>

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	<u>under the scope of Medicaid Integrity:</u> <u>Medicaid Integrity activities that the State contracts out:</u>	<input type="checkbox"/> Investigations <input type="checkbox"/> SURS/Data Mining <input type="checkbox"/> Provider Enrollment <input type="checkbox"/> Provider Education/Communications <input type="checkbox"/> Managed care oversight <input type="checkbox"/> Other, please specify:
10	<u>Estimate of expenditures for Medicaid Integrity activities that the State contracts out(\$)</u> a) <u>Audits:</u> b) <u>Investigations:</u> c) <u>SURS/Data Mining:</u> d) <u>Provider Enrollment:</u> e) <u>Provider Education/Communications:</u> f) <u>Managed care oversight:</u> g) <u>Other:</u> h) <u>Total:</u>	<input type="checkbox"/> Audits <input type="checkbox"/> Investigations <input type="checkbox"/> SURS/Data Mining <input type="checkbox"/> Provider Enrollment <input type="checkbox"/> Provider Education/Communications <input type="checkbox"/> Managed care oversight <input type="checkbox"/> Other, please specify: _____ _____ _____ _____ _____ _____ _____
11	<u>Number of Managed Care Organizations (MCOs) in State:</u>	_____

Planning

Staffing

<u>1211</u>	Total number of FTEs by type of position (e.g., Auditor, SURS-Analyst)(filled and vacant) for all functions considered to be Medicaid Integrity: (List each position type & corresponding # of FTEs)	(Position type) <u>Audits:</u> Filled: (Position type)_____ Vacant: (Position type) <u>Investigation:</u> Filled:
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		(Position type):- _____ Vacant: _____ (Position type)SURS/Data Mining: Filled: _____ Vacant: _____ Provider Enrollment Filled: _____ Vacant: _____ Provider Education/Communications: Filled: _____ Vacant: _____ Other: _____ Filled: _____ Vacant: _____
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IT Resources

1312	Inventory of IT resources used to conduct Medicaid Integrity activities: (check all that apply)	<input type="checkbox"/> SURS I <input type="checkbox"/> SURS II <input type="checkbox"/> Advanced SURS <input type="checkbox"/> RAMS II <input type="checkbox"/> PC-based SURS <input type="checkbox"/> CS-based SURS <input type="checkbox"/> Fraud and Abuse Detection System <input type="checkbox"/> Decision Support System <input type="checkbox"/> Ad-hoc reporting <input type="checkbox"/> Managed care encounter data system <input type="checkbox"/> Other, please specify:
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14	Estimated expenditures (\$) for IT resources:	_____
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Strategic Planning

1513	Does the State have a documented strategic plan to address Medicaid Integrity:	For its FFS program(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No Briefly describe: For its managed care program(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No Briefly describe:
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1614	(If yes to Q15Q13) How frequently are updates made to the strategic plan?	For FFS program(s)? <input type="checkbox"/> Quarterly <input type="checkbox"/> Yearly <input type="checkbox"/> Bi-annually <input type="checkbox"/> Other, please specify:
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		For managed care program(s)? <input type="checkbox"/> Quarterly <input type="checkbox"/> Yearly <input type="checkbox"/> Bi-annually <input type="checkbox"/> Other, please specify:
Prevention		
Provider Enrollment		
1715	Total number of participating Medicaid providers:	
1816	Percentage Number of providers that applied for enrollment, but were denied: in Medicaid during FFY:	
1917	Percentage of providers dis-enrolled involuntarily for reasons related to billing or other misconduct: Number of providers denied enrollment in Medicaid during FFY:	
2018	Pre-enrollment screening conducted on individuals/entities applying for Medicaid provider numbers: (check all that apply)	<input type="checkbox"/> In-state licensing board <input type="checkbox"/> Out-of licensing board <input type="checkbox"/> HHS OIG's List of Excluded Individuals and Entities (LEIE) <input type="checkbox"/> GSA's Excluded Parties List System <input type="checkbox"/> National Practitioners Data Bank <input type="checkbox"/> Health Care Integrity Protection Data Bank <input type="checkbox"/> Choice Point or Lexis-Nexis reviews <input type="checkbox"/> On-site visits <input type="checkbox"/> Criminal background investigations <input type="checkbox"/> Credentialing <input type="checkbox"/> Payroll Tax Records <input type="checkbox"/> Check if provider has another provider number under which the provider made inappropriate payments <input type="checkbox"/> Other (please specify):
2119	Does the State maintain its own list of providers who have been involuntarily dis-enrolled? (If yes to Q19) a) How is the list maintained? b) Is the list available to the public?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Paper <input type="checkbox"/> Web <input type="checkbox"/> Other, please specify: _____ <input type="checkbox"/> Yes <input type="checkbox"/> No

	(If yes to Q19b) Please provide web address for the list:	_____
2220	Does the State have written policies giving direction to providers and managed care entities/organizations on the types and frequency of screenings they should conduct on sub-entities? (e.g., owners , managing employees)?	<input type="checkbox"/> Yes (If yes, provide applicable policy/contractual language): <input type="checkbox"/> No
2321	Does the State include language in its MCO contracts specifying Medicaid Integrity requirements?	<input type="checkbox"/> Yes (If yes, provide applicable contractual language): <input type="checkbox"/> No
Third Party Liability (TPL) Program		
2422	Does the State include TPL as part of its Medicaid Integrity activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2523	Does the State include TPL recoveries as part of its Medicaid Integrity return-on-investment?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Prior Authorization		
2624	Does the State include prior authorization as part of its Medicaid Integrity activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2725	Does the State include prior authorization cost avoidance as part of its Medicaid Integrity return-on-investment?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Provider Education		
2826	Mechanisms used to communicate to and educate providers about Medicaid Integrity: (check all that apply)	<input type="checkbox"/> Fraud, waste, and abuse policy statements <input type="checkbox"/> Anti-fraud public service announcements <input type="checkbox"/> Speeches made by SMA State Medicaid Agency administrators or staff to stakeholder organizations about Medicaid fraud, waste, and abuse. <input type="checkbox"/> News releases from SMA State Medicaid Agency about managing Medicaid fraud, waste, and abuse <input type="checkbox"/> Publications related directly to concerns of Medicaid fraud, waste, and abuse. <input type="checkbox"/> Website dedicated to Medicaid Integrity regulations, policies, and procedures. <input type="checkbox"/> Other (please describe):

Detection		
2927	Does the State have written policies regarding issues including, but not limited to:	<p>How the State should investigate fraud, waste, & abuse? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>How to secure evidence in a legally admissible form? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>How and when to refer to the MFCU? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>How to initiate recovery action and evidence necessary to initiate recovery action? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>How to disseminate lessons learned from the case? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
3028	Data mining techniques used to detect Medicaid fraud, waste, & abuse or inappropriate payments: (List & describe) Data repository platform used for data mining:	<input type="checkbox"/> Mainframe <input type="checkbox"/> Internal/external relational database (e.g., Oracle) <input type="checkbox"/> Vendor proprietary database Name: _____ <input type="checkbox"/> Mainframe data downloads to a personal computer (PC) <input type="checkbox"/> Commercial/off-the-shelf PC product Name: _____ <input type="checkbox"/> Other (please describe): _____ Name: _____
3129	Overpayments (\$) identified through data mining techniques: Data mining techniques used to detect Medicaid fraud, waste & abuse or inappropriate payments:	<input type="checkbox"/> Algorithms <input type="checkbox"/> Sampling <input type="checkbox"/> Statistical analysis <input type="checkbox"/> Models <input type="checkbox"/> Artificial intelligence/fuzzy logic <input type="checkbox"/> Other (please describe): _____
3230	Overpayments (\$) recovered through data mining techniques: Data mining analysis tools used to detect Medicaid fraud, waste & abuse or inappropriate	<input type="checkbox"/> Mainframe queries <input type="checkbox"/> SAS <input type="checkbox"/> SQL query

	<u>payments:</u>	<input type="checkbox"/> <u>Vendor toolset</u> <u>Name:</u> <input type="checkbox"/> <u>Commercial/off-the-shelf PC product</u> <u>Name:</u> <input type="checkbox"/> <u>Other, please describe:</u> <u>Name:</u>
<u>3331</u>	<u>Does the State typically extrapolate overpayments? Overpayments (\$) identified as a result of data mining activities:</u> <u>a) Percent of cases opened from overpayments identified as a result of data mining activities:</u>	<input type="checkbox"/> <u>Yes</u> <input type="checkbox"/> <u>No</u>
<u>3432</u>	<u>Total number of provider audits conducted: (Does the State staff vs. Contractor staff) typically extrapolate overpayments?</u>	Desk Audits State staff: _____ Contractor staff: _____ Field Audits State staff: _____ Contractor staff: _____ Provider self-audits State staff: _____ Contractor staff: _____ Combination desk/field audits State staff: _____ Contractor staff: _____ Cost report audits State staff: _____ Contractor staff: _____ Total State staff: _____ Contractor staff: _____ <input type="checkbox"/> <u>Yes</u> <input type="checkbox"/> <u>No</u>
<u>3533</u>	<u>Overpayments (\$) identified through Total number of provider audits: conducted: (State staff vs. Contractor staff)</u>	Desk Audits: <u>State staff:</u> <u>Field Audits:</u> _____ <u>Contractor staff:</u> _____ <u>Provider self-audits:</u> Field Audits <u>State staff:</u> <u>Combination desk/field audits:</u> _____ <u>Contractor staff:</u> _____ <u>Cost report audits:</u> Provider self-audits <u>State staff:</u>

		<p>Total: _____</p> <p>Contractor staff: _____</p> <p>Combination desk/field audits</p> <p>State staff: _____ Contractor staff: _____</p> <p>Cost report audits</p> <p>State staff: _____ Contractor staff: _____</p> <p>Total</p> <p>State staff: _____ Contractor staff: _____</p>
3634	Overpayments (\$) recovered through identified as a result of provider audits:	<p>Desk Audits:</p> <p>Field Audits:</p> <p>Provider self-audits:</p> <p>Combination desk/field audits:</p> <p>Cost report audits:</p> <p>Total:</p>
37[placeholder]	Mechanisms available to the public for reporting cases of suspected Medicaid fraud, waste, or abuse: Overpayments identified through Medicaid Integrity Contractor (MIC) activities:	<input type="checkbox"/> Telephone hotline <input type="checkbox"/> Website <input type="checkbox"/> Email address <input type="checkbox"/> Mailing address <input type="checkbox"/> Other, please specify:
3835	Total number of tips received from the public: Mechanisms available to the public for reporting cases of suspected Medicaid fraud, waste, or abuse:	<input type="checkbox"/> Telephone hotline <input type="checkbox"/> Website <input type="checkbox"/> Email address <input type="checkbox"/> Mailing address <input type="checkbox"/> Other, please specify:
3936	Total number of tips from the public that resulted in a recovery or referral received:	
37	Total number of tips that resulted in a recovery or referral:	_____

Investigation and Recovery

40	Does the State have written policies on determining when providers should be referred to the MFCU?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>If yes, briefly describe:</p>
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41 Referrals to Law Enforcement		
38	Number of cases Does the State have written standard operating procedures (SOPs) for determining how and when providers should be referred to the MFCU: (per 42 CFR 355.13)?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, briefly describe:
4239	Does the State have formalized-tracking systems that track the progress of Medicaid Integrity investigations?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, briefly describe:
4340	Does the State impose provider-sanctions? Does the State have a process to track the number of referrals sent to the MFCU?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4441	(If yes Does the State have a process to Q43) Number of provider track the date that the State suspended payment: Number of providers referred referrals were sent to the State licensing board: MFCU? Number of providers involuntarily dis-enrolled: Number of provider sanctions referred to OIG:	 <input type="checkbox"/> Yes <input type="checkbox"/> No
Performance Measures ¹		
4542	Does the State collect feedback from the MFCU to determine the number of accepted referrals?	<input type="checkbox"/> Yes <input type="checkbox"/> No
43	Estimated cost avoidance (\$) of providers suspended, terminated, and withdrew voluntarily or involuntarily from the program: Number of referrals accepted by the MFCU:	
4644	Percentage of individuals or entities	

¹ This preliminary set of proposed performance measures is based on analysis of the SPIA case study pilot data and feedback from the Medicaid Integrity Program Advisory Committee. CMS is in the process of developing a standardized set of data elements, definitions, and specifications for the SPIA performances measures.

	applied for enrollment, but were denied: <u>Number of referrals made to the MFCU:</u>	
47	Percentage of providers with identified overpayments:	_____
48 Provider Suspensions & Sanctions		
45	Percentage of accepted referrals by MFCUs <u>Does the State impose provider payment suspensions due to inappropriate or fraudulent activities?</u> (If yes to Q45) a) <u>Number of providers that the State suspended payment:</u> b) <u>Number of payment suspensions:</u>	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____
49/46	Total dollars recovered or cost-avoided through settlement or judgment. <u>Does the State impose provider sanctions due to inappropriate or fraudulent activities?</u> (If yes to Q46) a) <u>Number of providers referred to the State licensing board:</u> b) <u>Number of providers involuntarily dis-enrolled:</u> c) <u>Number of provider sanctions referred to OIG:</u>	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____
50	Measurement of administrative action against FFS and managed-care providers (e.g., percentage of payment suspensions, referrals to licensing boards, involuntary dis-enrollment):	_____
51 Cost Avoidance		
47	<u>Cost avoidance dollars & dollars recovered related to system or policy changes: Does the State calculate the dollars cost avoided</u>	<input type="checkbox"/> Yes <input type="checkbox"/> No

	<p><u>from terminating providers?</u></p> <p>(If yes to Q47)</p> <p>a) <u>Describe methodology for calculating cost avoidance, including data sources used:</u></p> <p>b) <u>Cost avoidance dollars from terminated providers:</u></p>	<p>_____</p>
5248	<p>ROI-Measurement for all Medicaid-integrity activities</p> <p><u>Does the State calculate the dollars cost avoided from providers that withdrew due to program integrity concerns:</u></p> <p>(If yes to Q48)</p> <p>a) <u>Describe methodology for calculating cost avoidance, including data sources used:</u></p> <p>b) <u>Cost avoidance dollars from terminated providers:</u></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>_____</p>
49	<p><u>Does the State calculate cost avoidance dollars due to changes in payment systems?</u></p> <p>(If yes to Q49)</p> <p>a) <u>Describe methodology for calculating cost avoidance, including data sources used:</u></p> <p>b) <u>Cost avoidance dollars due to changes in payment systems:</u></p> <p>c) <u>Does the State factor cost avoidance from payment system changes into its budget</u></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>_____</p> <p>_____</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>
50	<p><u>Does the State measure cost avoidance dollars due to policy changes?</u></p> <p>(If yes to Q50)</p> <p>a) <u>Describe methodology for calculating cost avoidance,</u></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>_____</p>

	<u>including data sources used:</u> b) <u>Cost avoidance dollars due to changes in policies</u> _____ c) <u>Does the State factor cost avoidance from policy changes into its budget?</u>	_____ <input type="checkbox"/> Yes <input type="checkbox"/> No
51	<u>List other administrative actions for which the State calculates cost avoidance:</u>	_____
Recoveries		
52	<u>Total recoveries (\$) from data mining activities:</u>	_____
53	<u>Total recoveries (\$) from provider audits:</u> a) <u>Desk Audits:</u> _____ b) <u>Field Audits:</u> _____ c) <u>Provider self-audits:</u> _____ d) <u>Combination desk/field audits:</u> _____ e) <u>Cost report audits:</u> _____ f) <u>Total:</u> _____	_____ _____ _____ _____ _____ _____
54	<u>Total dollars recovered from ALL Medicaid Integrity activities (e.g., settlements/judgments, overpayments & other collections, MFCU investigations, other civil/criminal law enforcement, tips):</u>	_____
Technical Assistance Needs Assessment		
55	<u>Identify up to 3 areas that the State would like CMS to provide technical assistance and support:</u>	1) _____ 2) _____ 3) _____