# *July 1, 2019* Engagement

# Medicaid Section 1115 Eligibility and Coverage Demonstration

# Monitoring Report Instructions

Overview. The eligibility and coverage monitoring report consists of three sections: (A) eligibility and coverage E&C monitoring workbook, (B) eligibility and coverage monitoring report template, and (C) financial/budget neutrality workbook. States should first customize each section for use in the quarterly and annual monitoring reports. Then states should use the customized template to complete the quarterly and annual monitoring report. States should populate parts A, B, and C as summarized in Table 1 and according to the instructions below.

**Note:** If the state’s eligibility and coverage demonstration is part of a comprehensive demonstration, CMS will work with the state to ensure there is not duplication in the reporting requirements for different components of the demonstration.

1. **Customize the template for use in quarterly and annual monitoring reports.**

# Eligibility and coverage monitoring workbook (Excel file). The state should align the content of the metrics reporting tabs (metric name, definition, data source, reporting priority, and measurement period) with information provided in the state’s eligibility and coverage monitoring protocol. If a state did not propose reporting a given metric in its monitoring protocol, the state should populate the remaining cells in that row with “NA”. Similarly, if a state does not plan to report a metric separately for the named subpopulations, it should populate those cells with “NA”.

# Eligibility and coverage monitoring report template (Word document). Complete Section 1 (Title Page) of the template using the transmittal title page from the Monitoring Protocol. Customize Section 3 (Narrative information on implementation, by eligibility and coverage policy) and Section 4 (Narrative information on implementation for any eligibility and coverage demonstration) by matching the sections in the table to those described in Part B of the state’s monitoring protocol.

# Financial/budget neutrality workbook (Excel file). At the time of demonstration approval, CMS will work with the state to confirm the appropriate workbook for this demonstration. The state should work with the project officer on developing the budget neutrality workbook.

1. **Use the customized template to complete each quarterly and annual monitoring report**

# Eligibility and coverage metrics workbook. CMS requires the state to provide data on eligibility and coverage demonstration metrics for most reporting topics (see Table 1). For each quarterly and annual report, the state should create new copies of the “Report -Metrics Reporting” and “Data & Reporting Issues” tabs within the Excel file.

* + **Metrics reporting tab:** Report metrics values using metrics technical specifications provided by CMS. The CMS-provided metrics technical specifications will be shared with states after states complete the point and click agreement process.
    - **Any demonstration metrics.** The state should report any demonstration (AD) metrics for demonstrations with any eligibility and coverage policies. The data should include all beneficiaries in the demonstration, as defined in the metrics technical specifications manual.
    - **Presenting data for counts.** The denominator and rate/percentage columns are shaded grey for any metrics that are reported only as counts. The state should use the numerator column, leaving the denominator and the rate/percentage columns grey. The state should report separately counts for the total demonstration and any subpopulations reported, using the columns provided.
    - **Presenting data for rates.** The state should use the denominator and numerator columns for metrics that are reported as rates and percentages. After these values are entered, the “rate/percentage” cells will calculate the associated rate or percentage. The state should report separately for the overall demonstration and for any subpopulations reported, using the columns provided.
    - **Quarterly and annual reporting.** The state should report data for annual metrics only in the annual (Q4) report for each demonstration year. These reporting columns should remain empty in other quarterly reports.
    - **Alignment with CMS-provided technical specifications.** The state should attest that reporting matches the CMS-provided technical specifications for each metric, using the column named “Attest that reporting matches the CMS-provided specification (Y/N).” For metrics where reporting does not match the CMS-provided technical specifications, the state should describe these deviations in the provided column.
    - **Presence of data and reporting issues.** In the column “Reporting issue (Y/N),” the state should indicate whether any data or reporting issues impacted the state’s ability to report metrics as specified in the monitoring protocol (for example, difficulty obtaining data or calculating a required measure). For any identified issues, the state should provide further detail in the “Data & Reporting Issues” tab described below.
  + **Data and reporting issues tab:** Report issues with specific metrics.
    - **New issues.** For each metric with an issue identified in the metrics reporting tab, the state should use the data and reporting issues tab to provide CMS with information on the issue and how it affects reporting.
    - **Updates on previous issues.** The state should also use this tab to provide CMS with updates on data or reporting issues described in previous reports. When applicable, the state should note when issues are resolved. If an issue was noted as resolved in the preceding report, it should not be reported in the current report.
    - **Confirmation that there are no issues.** For each metrics reporting topic category where metrics are reported as outlined in the monitoring protocol and there are no data and reporting issues, mark the appropriate checkbox.

# Eligibility and coverage monitoring report template. The monitoring report template contains five sections:

* + **Section 1. Transmittal title page.** The title page is a brief template that the state completed as part of the monitoring protocol. The state should submit this template as the title page of all monitoring reports. The content of this transmittal table should stay consistent over time.
  + **Section 2. Executive summary.** The state should provide a brief, targeted executive summary to communicate key achievements, highlights, issues, and/or risks identified during the current reporting period for the eligibility and coverage demonstration or eligibility and coverage components of a broader demonstration. The executive summary should summarize each eligibility and coverage policy in the state’s demonstration separately. The summary should also identify key changes since the last monitoring report, changes in current operating policies; programmatic improvements (e.g., increased outreach or improved beneficiary notices); and highlight unexpected changes (e.g., unexpected increases or decreases in enrollment or complaints, etc.). Historical background or general descriptions of the waiver components should not be included.
  + **Section 3. Narrative information on implementation, by eligibility and coverage policy.** The state should report narrative information in this table following the detailed prompts. This section will contain a module for each eligibility and coverage policy in the state’s demonstration. The template currently only includes the CE demonstration module. The narrative information is organized in two subsections:
    - **Subsection 1. Metrics trends.** The state should discuss any relevant trends that the data shows related to each metric trend section. Describe and explain changes (+ or -) greater than two percent. If the state has not identified any trends in the data, the state should mark the checkbox in the table indicating there are no apparent trends. CMS will continuously review the threshold (currently +/- 2%) and ensure that it is a helpful threshold for monitoring purposes.
    - **Subsection 2. Implementation update.** The state should provide a detailed narrative that compares the demonstration design and operational details outlined in the implementation plan to any changes the state has made since submitting its original implementation plan. If the state has not made any changes since the last report, and does not plan to make any changes, the state should mark the checkbox in the table indicating that there are no implementation updates to report for that topic.

Gray cells indicate that those cells do not need to be filled out for that row because they are not applicable. The reporting topics in the monitoring report correspond to the reporting topics in the state’s implementation plan.

* + **Section 4. Narrative information on implementation for any E&C demonstration.** The state should complete the narrative information on metric trends and implementation updates required for demonstrations with any eligibility and coverage policies. In the implementation update, the state should highlight significant demonstration operations or policy considerations that could positively or negatively impact beneficiary enrollment, access to services, timely provision of services, budget neutrality, or any other provision that has potential for beneficiary impacts. The state should also note any activity that may accelerate or create delays or impediments in achieving the demonstration’s approved goals or objectives, if not already reported elsewhere in this document. Such considerations could include the following, either real or anticipated:
    - Any changes to populations served, benefits, access, delivery systems, or eligibility
    - Legislative activities and state policy changes
    - Fiscal changes that would result in changes in access, benefits, populations, enrollment, etc.
    - Related audit or investigation activity, including findings
    - Litigation activity
    - Status and/or timely milestones for health plan contracts
    - Market changes that may impact Medicaid operations
    - Systems issues or challenges that might impact the demonstration [i.e. eligibility and enrollment, Medicaid management information systems]
    - Changes in key state personnel or organizational structure
    - Significant changes in payment rates to providers which will impact demonstration or significant losses for managed care organizations under the demonstration
    - Emergency situation/disaster
    - Other

If the state has not identified any considerations related to demonstration operations and policy, the state should mark the checkbox in the table indicating there are no related considerations.

* + **Section 5. Narrative information on other reporting topics.** The state should report narrative information in the table on four other reporting topics: financial/budget neutrality, demonstration evaluation update, other demonstration reporting, and notable state achievements and/or innovations.
    - **Subsection 1. Financial/budget neutrality.** The state should provide a detailed narrative on the current status of financial/budget neutrality and provide an analysis of the budget neutrality to date.
    - **Subsection 2. Demonstration evaluation update.** The state should include timely updates on evaluation work and timeline. Depending on when this report is due to CMS and the timing for the demonstration, this might include updates on progress with
      * Evaluation design
      * Evaluation procurement
      * Evaluation implementation
      * Evaluation deliverables (information presented in below table)
      * Data collection, including any issues collecting, procuring, managing, or using data for the state’s evaluation or federal evaluation
      * For annual report, the results/impact of any [demonstration](https://www.law.cornell.edu/definitions/index.php?width=840&height=800&iframe=true&def_id=b05be1d9c1147042a6d1b48f5aabb86a&term_occur=9&term_src=Title:42:Chapter:IV:Subchapter:C:Part:431:Subpart:G:431.428) programmatic [area](https://www.law.cornell.edu/definitions/index.php?width=840&height=800&iframe=true&def_id=d6b2c937e28f2e067f124bda4cfe0eb9&term_occur=1&term_src=Title:42:Chapter:IV:Subchapter:C:Part:431:Subpart:G:431.428) defined by [CMS](https://www.law.cornell.edu/definitions/index.php?width=840&height=800&iframe=true&def_id=bf357408153b566fe5915e650bfb5a49&term_occur=2&term_src=Title:42:Chapter:IV:Subchapter:C:Part:431:Subpart:G:431.428) that is unique to the [demonstration](https://www.law.cornell.edu/definitions/index.php?width=840&height=800&iframe=true&def_id=b05be1d9c1147042a6d1b48f5aabb86a&term_occur=10&term_src=Title:42:Chapter:IV:Subchapter:C:Part:431:Subpart:G:431.428) design or evaluation hypothesis
      * Results of [beneficiary](https://www.law.cornell.edu/definitions/index.php?width=840&height=800&iframe=true&def_id=cc67cafd81a7295c7d81b714c2f651dd&term_occur=1&term_src=Title:42:Chapter:IV:Subchapter:C:Part:431:Subpart:G:431.428) satisfaction surveys, if conducted during the reporting year, grievances and appeals

State should also provide status updates on deliverables related to the demonstration evaluation and indicate whether the expected timelines are being met and/or if there are any real or anticipated barriers in achieving the goals and timeframes agreed to in the STCs. In addition to any status updates on the demonstration evaluation, the state should list anticipated evaluation-related deliverables related to this demonstration and their due dates. If the state has not identified any demonstration evaluation updates, the state should mark the checkbox in the table indicating it has no update to report.

* + - **Subsection 3. Other demonstration reporting.** The state should provide a detailed narrative on general reporting requirement and any post-award public forums.
    - **Subsection 4. Notable state achievements and/or innovations.** The state should provide a detailed narrative on notable state achievements and/or innovations.

# Financial/budget neutrality workbook (Excel file). The financial/budget neutrality reporting topic incorporates a budget neutrality workbook for the demonstration. This budget neutrality workbook should be submitted as part of each report.

**Table 1. Eligibility and Coverage Monitoring Reporting Overview, by Section**

| **# Reporting  Topic** | **Reporting Concept** | **Part A.  Eligibility and Coverage Metrics Workbook** | **Part B.  Eligibility and Coverage Monitoring Report Template** | **Part C.  Financial / Budget Neutrality Workbook** |
| --- | --- | --- | --- | --- |
| 0 | Title Page | -- | Section 1 | -- |
| 0 | Executive Summary | -- | Section 2 | -- |
| **Section 3. Narrative information on implementation, by eligibility and coverage policy  (currently only includes CE policies)** | | | | |
| CE.Mod\_1 | Specify Community Engagement Policies | * + Metrics data tab (CE\_1-24)   + Data and reporting issues tab | Section 3:   * Metric trends * Implementation update | -- |
| CE.Mod\_2 | Establish Beneficiary Supports and Modifications | * Metrics data tab (CE\_25-32)   + Data and reporting issues tab | Section 3:   * Metric trends * Implementation update | -- |
| CE.Mod\_3 | Establish Procedures for Verification and Reporting | -- | Section 3:   * Implementation update | -- |
| CE.Mod\_4 | Operationalize Strategies for Non-Compliance | * Metrics data tab (CE\_33-46)   + Data and reporting issues tab | Section 3:   * Metric trends * Implementation update | -- |
| CE.Mod\_5 | Develop Comprehensive Communications Strategy | -- | Section 3:   * Implementation update | -- |
| CE.Mod\_6 | Establish Continuous Monitoring | -- | Section 3:   * Implementation update | -- |
| CE.Mod\_7 | Develop, Modify, and Maintain Systems | -- | Section 3:   * Implementation update | -- |
| **Section 4. Narrative information on implementation for any E&C demonstration** | | | | |
| AD.Mod\_1 | Metrics and operations for demonstrations with any eligibility and coverage policies | * Metrics data tab (AD\_1-44)   + Data and reporting issues tab | Section 4:   * Metrics trends * Implementation update | -- |
| **Section 5. Other reporting topics** | | | | |
| 1 | Financial/budget neutrality | -- | Section 5:   * Current status and analysis * Implementation update | Submit completed workbook |
| 2 | Demonstration evaluation update | -- | Section 5:   * CE demonstration evaluation update | -- |
| 3 | Other demonstration reporting | -- | Section 5:   * General reporting requirements * Post-award public forum | -- |
| 4 | Notable state achievements and/or innovations | -- | Section 5:   * Notable state achievements and/or innovations | -- |