

# Medicaid Enterprise Certification Toolkit: What has changed in the Certification Review Process and How it Applies to your State

2007 MMIS Conference  
Tuesday, August 14, 2007, 10:30 to  
Noon

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Denise Bazemore, CMS  
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# Presentation Overview

- Part I: Refresher on past MMIS Conference presentations (2005 & 2006)
- Part II: Toolkit Accomplishments since 2006 MMIS Conference
- Part III: Review of MMIS Funding Rules
- Part IV: The Regional Office Roles and Perspective
- Part V: Frequently Asked Questions
- Part VI: Audience's Questions/Answers

# Part I: Refresher on MMIS Certification Past Presentations

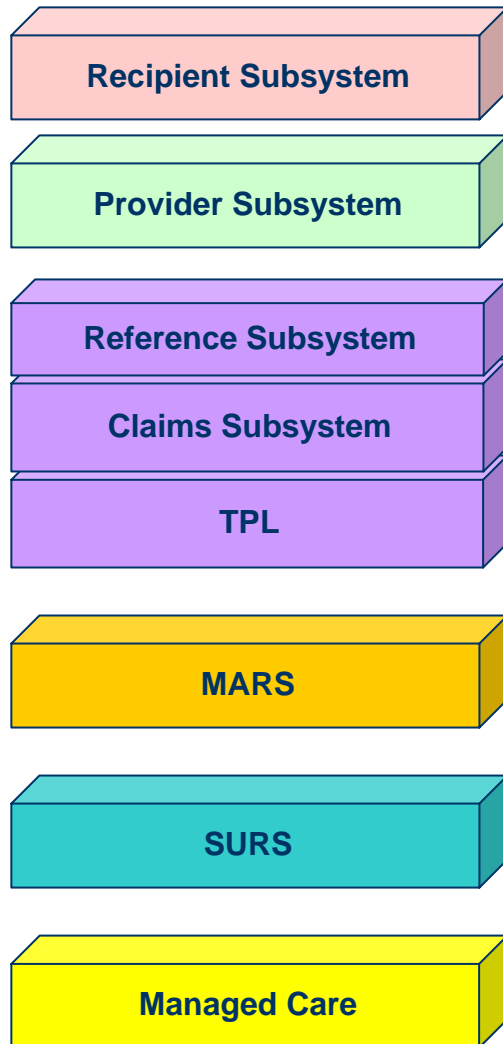
- 2005 MMIS Conference, Big Sky, MT
- 2006 MMIS Conference, Providence, RI

# 2005 MMIS Conference

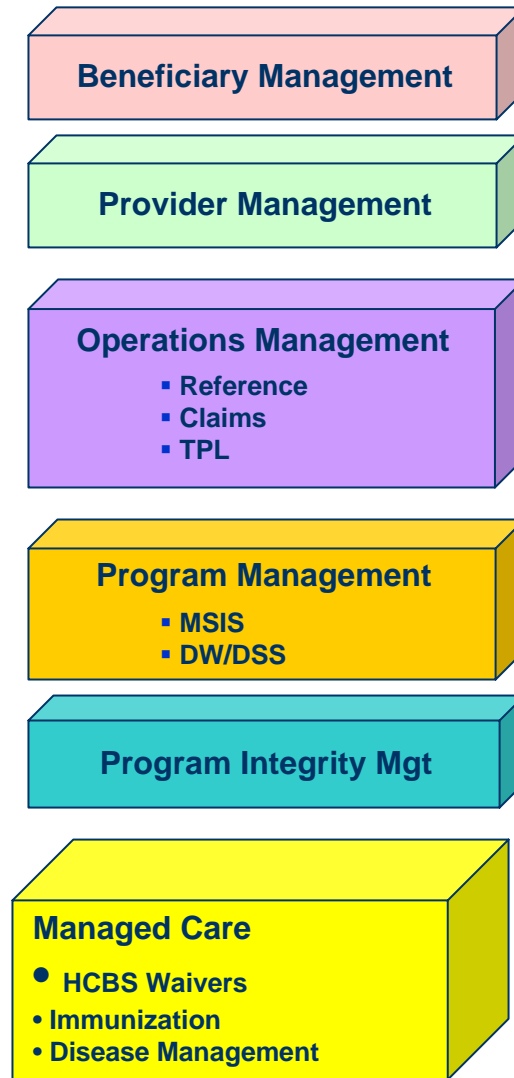
- Transforming the MMIS Certification Process
- CMS new Philosophy
- MMIS Life Cycle Roadmap
- Started drafting The Medicaid Enterprise Certification Toolkit (Toolkit for short)

# MMIS Certification Review Transformation

## From Subsystems Reviews



## To Business Areas Reviews

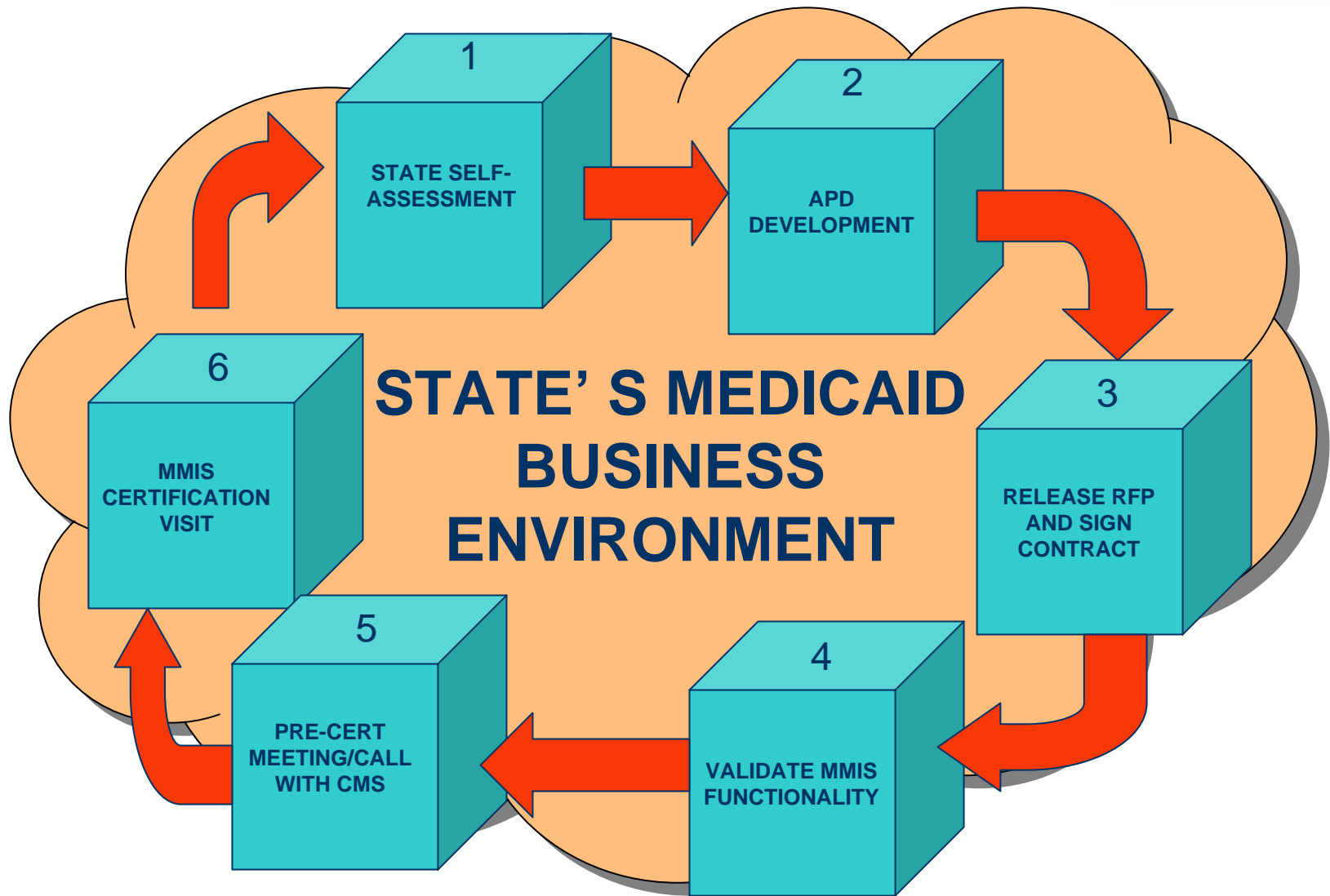


## New BA Checklists



# Worth Repeating

- CMS new philosophy
  - Subsystem orientation to Business Area (BA) orientation
  - MMIS Life Cycle Roadmap-defines six milestones
  - Create new detailed checklists for each BA
  - New checklist format contains business objectives and system review criteria
  - Checklists used to accomplish all Roadmap milestones



# 2006 MMIS Conference

- Discussed the expanded certification process
  - New Checklists
  - New Instructions
- Benefits of the new approach
- Samples of checklist parts

# Worth Repeating (continued)

- Benefits of new approach
  - Holistic view of the MMIS from inception to certification and beyond
  - Strengthens the Team approach between States, Industry and CMS
  - Provides better and consistent National guidance to States
  - Better communication, Better organization and Better documentation
  - Comprehensive set of user friendly checklists in one location
  - Easy access to Toolkit via CMS' web site

# Worth Repeating (continued)

- What's New about the Certification Review
  - State complete and enclose checklists for all applicable Business Areas (BAs) with their Request for Certification letter to CMS
  - Emphasize value of accurately completed checklists
  - State prepares folders containing applicable checklists which documents that requirements are met prior to arrival of the CMS Certification team
  - State and CMS both have more preparation tasks
  - State's Overview is now part of the pre-visit activities

# Worth Repeating

## What's New about the Certification Review (continued)

- State maintains up-to-date information in the checklists
- Checklists serve as a snap-shot of State's current MMIS

## Part II: Toolkit Accomplishments since 2006 MMIS Conference

- Toolkit 90-percent completed
- Twenty Certification Checklists developed (90-percent completed)
- Project Team trained all CMS Regional Offices on How to Use the Toolkit in April 2007
- CMS Atlanta RO trained their States on How to Use the Toolkit in May 2007

## Part II: Toolkit Accomplishments since 2006 MMIS Conference (continued)

- Overview of the MMIS Enterprise Certification Toolkit (Toolkit for short)

# MMIS Enterprise Certification Toolkit Table of Contents

- Chapter 1: Medicaid Enterprise Certification Toolkit
- Chapter 2: Medicaid Enterprise Certification Roadmap
- Chapter 3: Protocols
- Chapter 4: Using the Checklists
- Chapter 5: Checklists

## Using New Business Area Checklists

**Beneficiary  
Management Checklist**

**Provider  
Management Checklist**

**Operations Management  
Checklists**

- Reference Data Mgmt
- Claims Receipt
- Claims Adjudication
- POS Rx
- TPL

**Program Management  
Checklists**

- DSS/DW
- Program Mgmt Reporting
- Financial Management
- Federal Reporting
- Privacy and Security

**Program Integrity  
Checklist**

**Care Management  
Checklists**

- Managed Care (4)
- HCBS Waivers
- Immunization Registry (2)

# Certification Checklists

# A Real Certification Checklist

## FINANCIAL MANAGEMENT CHECKLIST (FI)

### FINANCIAL MANAGEMENT CHECKLIST BACKGROUND

*Background for this checklist:*

This checklist is intended to assess the adequacy of the way the MMIS handles the financial side of claims processing.

*Sources for the criteria in this checklist are as follows:*

SMM – State Medicaid Manual, MMIS Section, available from

<http://www.cms.hhs.gov/Manuals/PBM/list.asp>, Document 45. The SMM reference includes the State Buy-In Manual , document number 100-15, available from <http://www.cms.hhs.gov/Manuals/IOM/>

IBP – Industry Best Practice. Items are selected from RFPs for MMISs developed by States and approved by CMS.

CFR – Code of Federal Regulations, available from

<http://www.access.gpo.gov/uscode/title42/title42.html>

HIPAA HIPAA – HIPAA act, at

[http://www.cms.hhs.gov/TransactionCodeSetsStands/02\\_TransactionsandCodeSetsRegulations.asp#TopOfPage](http://www.cms.hhs.gov/TransactionCodeSetsStands/02_TransactionsandCodeSetsRegulations.asp#TopOfPage)

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### BUSINESS OBJECTIVES

Refer#	Business Objectives
FI1	Produce Individual Explanation of Benefits (EOB).
FI2	Ensure that accounts payable and receivable transactions are recognized and posted in accordance with State and Federal regulations.

### FI2 – ENSURE THAT ACCOUNTS PAYABLE AND RECEIVABLE TRANSACTIONS ARE IN ACCORDANCE WITH STATE AND FEDERAL REGULATIONS

Ref #	System Review Criteria	Source	Yes	No	Comments
FI2.1	Updates claims history and on-line financial files with the payment identification, date of payment, and amount paid after the claims payment cycle.	IBP			
FI2.2	Maintains garnishments and tax levies and assignment information to be used in directing or splitting payments to the provider and garnisher.	IBP			
FI2.3	Maintains financial transactions in sufficient detail to support 1099.	CFR			

# What's Different about the New Toolkit from our previous Certification Manual

- The SCOPE of new areas covered are BROADER
  - Operations Management BA includes Point of Service Pharmacy checklist
  - Program Management includes Privacy & Security and Decision Support Services/Data Warehouse (DSS/DW)
  - Care Management includes Managed Care, HCBS waivers, and Immunization Registry
- New Certification checklists are based on BA objectives and system review criteria. Business objectives include Federal & State requirements and Industry Best Practices
- The Toolkit checklists serve as a POWERFULL TOOL FOR COLLABRATION among States, Industry and CMS
- The Toolkit will be UPDATED as new requirements evolve

# Part III: Review of MMIS Funding Rules

# Authorities

- State Medicaid Manual, Part 11
- 42 CFR 433 Subpart C
- 45 CFR, Part 95, Subpart E §611
- OMB Circular A-87, “Cost Principles for State and Local Government”

## Using New Business Area Checklists

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Management Checklist**

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Management Checklist**

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- POS Rx
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### **Program Management Checklists**

- DSS/DW
- Program Mgmt Reporting
- Financial Management
- Federal Reporting
- Privacy and Security

**Program Integrity  
Checklist**

### **Care Management Checklists**

- Managed Care (4)
- HCBS Waivers
- Immunization Registry (2)

# Certification Checklists

# MMIS Certification Toolkit

Part IV: The Regional Office  
Role and Perspective

L. David Hinson  
Atlanta Regional Office



## Region IVs Approach

- RO MMIS Coordinators received training from Central Office
  - Looked at how Toolkit worked with our existing processes
  - Evaluated our States current projects and availability for training
  - Provided feedback to CO for Toolkit refinement/clarifications

## Region IVs Approach, Cont.

- Using our monthly Regional All States MMIS teleconference
  - States decided format of training
    - Telephonic, video, in-person
  - States decided location of training
    - Asheville, North Carolina
  - States decided length of training
    - 2 half-day sessions

## Region IVs Approach, Cont.

- States requested that contractors & consultants attend
  - Limited to those who had an existing contract in region
    - Must pay their own way
    - Space available basis

## Region IVs Approach, Cont.

- Class size capped at 60 persons
  - State Staff Priority
  - Contractor/Vendor first come basis
    - Balance of expertise, education and views

# Putting It All Together

- Understanding of MITA Self-Assessment process is required
  - Surveyed State knowledge level - **Needed Review**
    - Completed MITA Self-Assessments provide roadmap to projects & priorities
      - Future systems functionality clearly delineated
        - Interfaces
        - Interoperability
        - COTs

# Putting it All Together, Cont.

- Toolkit expands role of Regional MMIS Coordinator
  - Trainer/Educator for State Staff
  - Project Consultant
    - MITA Criteria
    - Certification Toolkit Criteria

# Putting It All Together

- All new APDs after April 1, 2007 must have completed MITA Self-Assessment attached
  - APDs must include functionality objectives identified during MITA Self-Assessment
- In the future CMS plans to incorporate the certification checklists into the APD process.
  - APDs must include certification requirements

# Putting It All Together

- RO can interpret State planning document easily
  - Linked to MITA assessment factors
    - Projects correspond to measurable criteria
  - Designed to meet certification standards
    - Reduces risk that system will need major redesign midway in development

# Putting it all together

- ROs facilitate final certification by
  - Ensuring State(s) complete certification checklists
  - Coordinating with CO Division of State Systems for final certification

## Putting it All Together, Cont.

- Toolkit will put certification requirements up front, rather than as an afterthought
- Toolkit will enable States to take an active part rather than relying upon CMS
- Toolkit will all but eliminate issues which need to be resolved prior to final certification

# Frequently Asked Questions

## Part V: FAQs

- **When will the Toolkit be published?**
  - CMS anticipates that the Toolkit will be published in October 2007
- **Where can I find the Toolkit?**
  - [www.cms.hhs.gov/MMIS](http://www.cms.hhs.gov/MMIS)
- **How soon can the States/Public use the Toolkit?**
  - As soon as it is published

## FAQs (continued)

- **When will States be required to use the Toolkit/checklists?**
  - After the SMM is revised
- **What if my State has already begun the Certification Process- will we be liable for the new rules?**
  - No, States that are in the middle of their certification process will be evaluated in accordance with the former MMIS Certification Manual.
- **Where can States get additional information?**

State contact is their Regional Offices representative
- **Can the States provide comments on the Toolkit?**
  - Yes, send your written comments to CMS Center Office

## FAQs (continued)

- **What position should States be in this time next year?**
  - Read and be familiar with Toolkit/checklists
  - Decide which aspects of the Toolkit/checklists are relevant to your State
  - Talk to RO representative to confirm their understanding of how the Toolkit/checklists applies to new procurement
  - Include Toolkit/checklists information, as appropriate, in APDs, RFPs, and contracts
  - States can share their experience with the Toolkit during the 2008 MMIS conference

## FAQs (continued)

- **How does the new certification process relate to MITA?**
  - **The Toolkit incorporates Business Areas defined in accordance to most of the MITA Business Areas.**
  - **Like MITA, the Toolkit has a broader scope than current Certification Manual**
  - **Like MITA, the Toolkit encourages stronger collaboration between States, Industry and CMS using checklists as a basis for translating business requirements into system changes**
  - **The Toolkit will be updated as Medicaid evolves and the MMIS certification process dove-tails with MITA.**

# Part VI: Audience's Questions/Answers

## Where to Find the Toolkit

[www.cms.hhs.gov/MMIS](http://www.cms.hhs.gov/MMIS)