

## Improper Payment Pre-Testing and Assessment (IPPTA) Checklist Template

Name of State  
Date

The IPPTA Checklist is the document that contains criteria that CMS will use to review and document a State-based Exchange's (SBE) completion of IPPTA requirements. Through IPPTA, CMS and SBEs will test the processes and procedures that support CMS's review of determinations of advance payments of the premium tax credit made by SBEs. The IPPTA Plan will include the IPPTA Checklist. At the closeout of an SBE's IPPTA period, CMS will provide each SBE with a final version of the IPPTA Checklist as part of their IPPTA Report.

I. Participation in IPPTA Orientation and Planning Processes										
During the IPPTA orientation and planning processes, CMS collaborates with the SBE to refine its IPPTA plan and reviews agreements and processes to share data and data documentation. The IPPTA Plan details the procedures, sequence, and schedule to accomplish required IPPTA activities during the IPPTA period.										
#	Measurable Objective	Activity Progress	Request Date	Due Date	Date Complete	Points Earned	Points Available	Challenges/Issues (Root Cause)	RC's Mitigation Strategy	Notes
A	SBE collaborated with CMS to refine its IPPTA Plan (Incomplete - 0, Complete - 1)						1			
B	The appropriate agreement(s) between SBE and CMS are in place to share data and data documentation (Incomplete - 0, Complete - 1)						1			
C	SBE set-up and tested connectivity to the designated CMS systems for data and data documentation transfer (Incomplete - 0, Complete - 1)						1			
<b>Total Score</b>						0	3	<b>Low participation</b> - SBE has passively engaged in activities of the IPPTA program and either has never or minimally responded to Review Contractor (RC)'s requests. <b>Moderate participation</b> - SBE has somewhat engaged in activities of the program, responded to RC's requests partially and fulfilled some of the requests. <b>High participation</b> - SBE has actively engaged in activities of the program and responded to either all or most RC's requests.		
<b>Participation Rate: Low - 0 or 1, Moderate - 2, High - 3</b>										
II. SBE-Specific Review Modules Document (RMD) Development and Acknowledgement										
The SBE submits data documentation to CMS to support the incorporation of SBE-specific policies and business rules into the improper payment Review Architecture using the Baseline RMD as a framework. CMS uses the analysis of the data documentation submitted by the SBE to determine the SBE-specific review criteria for its SBE-specific RMD. The SBE reviews the SBE-specific RMD, which provides context to the SBE for the data mapping and data submission tasks as well as the review execution process.										
#	Measurable Objective	Activity Progress	Request Date	Due Date	Date Complete	Points Earned	Points Available	Challenges/Issues (Root Cause)	RC's Mitigation Strategy	Notes
A	SBE submitted data documentation that addresses the SBE's: 1. Business rules and related calculations 2. Entity Relationship Diagram 3. Data Dictionary 4. Operating Procedures 5. State Policies 6. System Technology						2			
B	Follow-Up: SBE responded to CMS questions and requests for clarification related to data documentation (No Response - 0, Partial Response - 1, All Response or N/A - 2)						2			
C	SBE reviewed and acknowledged the SBE-specific RMD that CMS created based on the SBE's specific business rules and policies (Incomplete - 0, Complete - 1)						1			
<b>Total Score</b>						0	5	<b>Low participation</b> - SBE has passively engaged in activities of the IPPTA program and either has never or minimally responded to Review Contractor (RC)'s requests. <b>Moderate participation</b> - SBE has somewhat engaged in activities of the program, responded to RC's requests partially and fulfilled some of the requests. <b>High participation</b> - SBE has actively engaged in activities of the program and responded to either all or most RC's requests.		
<b>Participation Rate: Low - 0-1, Moderate - 2-3, High - 4-5</b>										
III. Mapping SBE Data to IPPTA Data Request Form (IPPTA DRF)										
CMS requires sample data for the improper payment review process. A prerequisite to data submission involves an SBE mapping source data elements from its systems to the IPPTA DRF information elements. The IPPTA DRF is a multi-tab Excel spreadsheet and includes fields for information elements that correspond to the review criteria in the Baseline RMD.										
#	Measurable Objective	Activity Progress	Request Date	Due Date	Date Complete	Points Earned	Points Available	Challenges/Issues (Root Cause)	RC's Mitigation Strategy	Notes
A	SBE completed the mapping of SBE data elements from its source data repositories to the IPPTA DRF information elements (No Response - 0, Partial Response - 1, All Response - 2)						2			
<b>Total Score</b>						0	2	<b>Low participation</b> - SBE has passively engaged in activities of the IPPTA program and either has never or minimally responded to Review Contractor (RC)'s requests. <b>Moderate participation</b> - SBE has somewhat engaged in activities of the program, responded to RC's requests partially and fulfilled some of the requests. <b>High participation</b> - SBE has actively engaged in activities of the program and responded to either all or most RC's requests.		
<b>Participation Rate: Low - 0, Moderate - 1, High - 2</b>										
IV. Submission of Pre-Sampling and Sampled Unit Data										
SBE practices the data submission process by completing the IPPTA DRF pre-sampling and sampled unit record tabs. For the sampled unit data, CMS will specify scenario-based sampling criteria to help the SBE identify a diverse set of sample units that will allow CMS to test all IPPTA review requirements in the SBE-specific RMD.										
#	Measurable Objective	Activity Progress	Request Date	Due Date	Date Complete	Points Earned	Points Available	Challenges/Issues (Root Cause)	RC's Mitigation Strategy	Notes
B	Data Population Request: SBE identified the applications that collectively meet all the scenario-based criteria specified by CMS (Incomplete - 0, Complete - 1)						1			
C	Sampled Unit Data Request: SBE submitted the application data associated with <b>Review Area 4</b> (No Response - 0, Partial Response - 1, All Response - 2)						2			
D	Sampled Unit Data Request: SBE submitted the application data associated with <b>Review Area 5</b> (No Response - 0, Partial Response - 1, All Response - 2)						2			
E	Sampled Unit Data Request: SBE submitted the application data associated with <b>Review Areas 7-8</b> (No Response - 0, Partial Response - 1, All Response - 2)						2			
F	Sampled Unit Data Request: SBE submitted the application data associated with <b>Review Areas 9-11</b> (No Response - 0, Partial Response - 1, All Response - 2)						2			
G	Additional Follow Up: SBE engaged in follow-up discussions with CMS on additional information, clarifications, and corrections to ensure that the SBE's submitted data and consumer submitted documents are sufficient to enable CMS to test all IPPTA processes and procedures (No Response - 0, Partial Response - 1, All Response or N/A - 2)						2			
<b>Total Score</b>						0	11	<b>Low participation</b> - SBE has passively engaged in activities of the IPPTA program and either has never or minimally responded to Review Contractor (RC)'s requests. <b>Moderate participation</b> - SBE has somewhat engaged in activities of the program, responded to RC's requests partially and fulfilled some of the requests. <b>High participation</b> - SBE has actively engaged in activities of the program and responded to either all or most RC's requests.		
<b>Participation Rate: Low - 0-4, Moderate 5-7, High - 8-11</b>										
V. Discussion of Review Observations										
CMS provides its observations that result from reviewing and processing the SBE's submitted data and consumer submitted documents. CMS and the SBE discuss the										

for the observations and modify, if warranted. The SBE may provide additional information or clarifications, which CMS will use to re-evaluate observations.

#	Measurable Objective	Activity Progress	Request Date	Due Date	Date Complete	Points Earned	Points Available	Challenges/Issues (Root Cause)	RC's Mitigation Strategy	Notes
A	SBE acknowledged CMS's review observations including the underlying reasons why they were generated and collaborated with CMS re-evaluating the observations, if warranted (Incomplete - 0, Complete - 1)						1			
<b>Total Score</b>							1	<b>Low participation</b> - SBE has passively engaged in activities of the IPPTA program and either has never or minimally responded to Review Contractor (RC)'s requests. <b>High participation</b> - SBE has actively engaged in activities of the program and responded to either all or most RC's requests.		
<b>Participation Rate: Low - 0 or High - 1</b>										

<b>Overall SBE IPPTA Score</b>	<b>0</b>	<b>22</b>
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<b>Overall Participation Rate: Low 0-7, Moderate 8-14, High - 15-22</b>	
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