

PROGRAM MANAGEMENT BUSINESS AREA FEDERAL REPORTING (FR) CHECKLIST

STATE:	DATE OF REVIEW:	REVIEWER:
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FEDERAL REPORTING (FR) CHECKLIST

FEDERAL REPORTING (FR) CHECKLIST BACKGROUND

Background for this checklist:

1. The first three objectives relate to the Federal reports required in SMM 2700, for Medicaid Statistical Information System (MSIS), Early Periodic Screening, Diagnosis and Treatment (EPSDT), and Home and Community Based Services (HCBS) Waivers
2. The delivery of adequate MSIS reports should be verified before the State visit. If there are no problems, the first set of criteria need not be verified.
3. The waiver reports are only required if the State has an HCBS waiver. If so, the waiver checklist will be used and the HCBS section of this checklist may be done by the Certification Team member who does the Waiver Checklist.
4. In addition, the MMIS must provide data to be used in the development of CMS financial reports – CMS 37 and CMS 64.

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

BUSINESS OBJECTIVES

Reference #	Business Objectives	Comments
FR1	Create and submit to CMS the Federally required MSIS reports.	
FR2	Create and submit to CMS the Federally required EPSDT reports.	
FR3	Create and submit to CMS the Federally required HCBS Waiver reports (optional, not needed if State has no waivers).	

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BUSINESS OBJECTIVES		
Reference #	Business Objectives	Comments
FR4	Meet all other Federal Reporting Requirements	
FRSS1	Add first State-specific business objective for Federal Reporting here.	

FR1 – CREATE AND SUBMIT THE FEDERALLY REQUIRED MSIS REPORTS					
Ref #	System Review Criteria	Source	Yes	No	Comments
FR1.1	Maintains data sets for MSIS reporting as required.	SMM			
FR1.2	Merges into MSIS data from outside sources if required: <ul style="list-style-type: none"> ▪ Capitation payment records from enrollment process ▪ Eligibility characteristic data from eligibility intake-process ▪ Medicaid services processed by non-MMIS State departments, such as mental health services ▪ Utilization based on Managed Care encounters 	SMM 2700.2			
FR1.3	Provides and maintains MSIS data for the following adjudicated claims: <ul style="list-style-type: none"> ▪ Inpatient hospital ▪ Long term institutional care ▪ Prescription drugs ▪ Other, not included in the above categories 	SMM 2700.2			

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FR1 – CREATE AND SUBMIT THE FEDERALLY REQUIRED MSIS REPORTS

Ref #	System Review Criteria	Source	Yes	No	Comments
FR1.4	Provides and maintains encounter data in appropriate claim(s) file.	SMM 2700.2			
FR1.5	Follows the eligibility reporting guidelines from Attachment A <i>MSIS Tape Specifications and Data Dictionary</i> document.	SMM 2700.2			
FR1.6	Meets MSIS reporting timelines, providing MSIS tapes for submission in accordance with the tape delivery schedules.	SMM 2700.2			
FR1SS.1	<i>Add State-specific criteria for this objective here.</i>				

FR2 – CREATE AND SUBMIT THE FEDERALLY REQUIRED EPSDT REPORTS

Ref #	System Review Criteria	Source	Yes	No	Comments
FR2.1	<p>Produces the CMS-416 report in accordance with CMS requirements. The report must include:</p> <ul style="list-style-type: none"> ▪ The number of children provided child health screening services, ▪ The number of children referred for corrective treatment, ▪ The number of children receiving dental services, and ▪ The State's results in attaining goals set for the state under section 1905(r) of the Act provided according to a State's screening periodicity schedule. 	SMM 2700.4			

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FR2 – CREATE AND SUBMIT THE FEDERALLY REQUIRED EPSDT REPORTS

Ref #	System Review Criteria	Source	Yes	No	Comments
FR2SS.1	Add State-specific criteria for this objective here.				

FR3 – CREATE AND SUBMIT TO CMS THE FEDERALLY REQUIRED HCBS WAIVER REPORTS

Ref #	System Review Criteria	Source	Yes	No	Comments
FR3.1	Produces the CMS-372 and CMS-372S Annual reports on Home and Community Based Waiver Reports, for any HCBS Waivers that exist in accordance with CMS requirements.	SMM 2700.6			
FR3SS.1	Add State-specific criteria for this objective here.				

FR4 – MEET ALL OTHER FEDERAL REPORTING REQUIREMENTS

Ref #	System Review Criteria	Source	Yes	No	Comments
FR4.1	Provides data to support the production of CMS-37 and CMS-64 quarterly estimates and expenditure reports.	SMM			
FR4SS.1	Add State-specific criteria for this objective here.				

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FRSS1 – FIRST STATE-SPECIFIC OBJECTIVE					
Ref #	System Review Criteria	Source	Yes	No	Comments
FRSS1.1	Add criteria based on the APD, RFP, etc., that are relevant to this State-specific objective.				