



CMS PERM—PETT 2.0: Round 4 Pilot Findings Submission

User Guide Documentation

May 1, 2016

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1.0 Introduction

State Health Official (SHO) Letter 13-005, which was issued on August 15, 2013, directs states to implement Medicaid and Children's Health Insurance Program (CHIP) Eligibility Review Pilots in place of the Payment Error Rate Measurement (PERM) and Medicaid Eligibility Quality Control (MEQC) eligibility reviews for fiscal years (FY) 2014 – 2016. An additional SHO letter, 15-004, was issued on October 7, 2015 to extend the pilot measurement through FY 2017, requiring states to conduct five streamlined pilot measurements over the four year period.

The Medicaid and CHIP Eligibility Review Pilots consist of two independent components. States are required to:

1. Pull a sample of actual eligibility determinations made by the state and perform an end to end review; and
2. Run test cases.

States are required to enter the Medicaid and CHIP Eligibility Review pilot findings from the state's review of eligibility determinations directly on the PERM Eligibility Tracking Tool (PETT 2.0) website. States will not report test case findings on the PETT website.

The PETT 2.0 website is accessible to authorized system and program administrators (*i.e., CMS and its contractors*), state administrators, and state viewers who monitor data submission or provide input to the PERM program. Users will have different website privileges depending on their program roles. During the registration process, state users will be asked to select which level of access they are requesting – state administrator or state viewer. Users will be approved by CMS and Lewin after the state eligibility lead notifies CMS and Lewin regarding which individuals should have access to the website.

The remaining sections of this document provide an overview of the Round 4 Eligibility Pilot Findings as well as guidance around how to access and use the PETT 2.0 website to complete the findings.

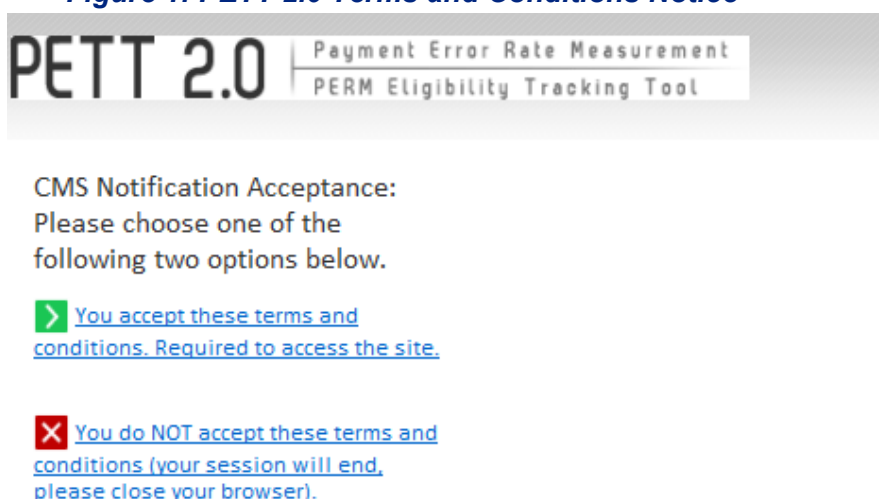
2.0 User Registration and Login

2.1 Login Screen

To access this feature: Go to the PETT 2.0 website which can be accessed at the following web address: <https://www.cmspett2.org/my.policy>.

The first screen that users will see is the PETT 2.0 terms and conditions notification. To proceed to login and access PETT 2.0, all users will have to “Accept” the terms and conditions by clicking on the appropriate option, which is identified by the green arrow as shown in Figure 1 below.

Figure 1: PETT 2.0 Terms and Conditions Notice



PETT 2.0 | Payment Error Rate Measurement
PERM Eligibility Tracking Tool

CMS Notification Acceptance:
Please choose one of the
following two options below.

☒ [You accept these terms and conditions. Required to access the site.](#)

☐ [You do NOT accept these terms and conditions \(your session will end, please close your browser\).](#)

Upon acceptance of the PETT 2.0 terms and conditions, the login screen will be displayed (Figure 2). New users will need to register to gain access to PETT 2.0. If you have already registered, enter your case-sensitive user name and password and click the “Logon” button.

Figure 2: Login Screen

PETT 2.0 Payment Error Rate Measurement
PERM Eligibility Tracking Tool

Secure Logon.
You will receive a One Time
Passcode (OTP) to the email
account that is associated with
your login. Please go to your
email to retrieve the One Time
Passcode (OTP) needed to
complete your logon. The
passcode will expire in 15
minutes. If you do not complete
the logon activity within this
time you will be required to start
a new logon session.

Username

Password

[Register for Access](#)

[Forgot Password](#)

After selecting “Logon,” the user will receive an email with their six digit one-time password (OTP). The user will have to enter this OTP into the text box in order to login. Users will need to follow this same process each time they login.

NOTE: Please be sure to check your junk folder, as the one-time password may have been sent there.

2.2 Registration

To access this feature: Click the “Register for Access” link on the login screen. Then, click on “Register Account.”

Figure 3: Registration Page

Sign Up For Your Login Account

***Required Fields**

*First Name: *Last Name:

*User Name: *State:

*Email:

*Password: *Confirm Password:

Please note: Your password must be at least 8 characters, including at least 1 lowercase letter, 1 uppercase letter, 1 number, and 1 special character.

*System Role: *Project Role:

*My Program(s): ☐ Medicaid ☐ CHIP ☐ Pilot Access

My Status: ☐ I am a State Lead

Continue

New users must register for access to the PETT 2.0 website. Each state will be allowed to have up to **three users**, who will be designated as either a “State Admin” or a “State Viewer.” State administrators will be able to input, edit, and review their state’s pilot findings, while state viewers will only be able to review their state’s submitted pilot findings.

During the registration process, state users should select the appropriate level of access (e.g., State Admin or State Viewer) from the “System Role” drop-down box. State users should also identify their “Project Role” (e.g., CHIP lead). The state PERM eligibility lead has the option of selecting the box under “My Status” to indicate their role as the State Lead.

Users should check Pilot Access under “My Program(s).” The Medicaid and CHIP boxes should not be used as they are for routine PERM only. New users will need to create a case-sensitive user name and password. Passwords must be at least eight characters long and contain at least one of each of the following:

- ▶ A number
- ▶ An upper case letter
- ▶ A lower case letter
- ▶ A special character !#\$%&()*+,-./:;<=>?@[N]^_{|}~

NOTE: Users cannot use dictionary words for their passwords.

All new account registrations are sent to system administrators (CMS and Lewin) for review. If they approve the new user, the system administrator will enable the account and send the new user a “User Account Approved” email. Confirmation emails will be sent from PERM.Eligibility@Lewin.com typically within 48 hours of registration. To ensure that emails are received, users should add PERM.Eligibility@Lewin.com to their contact list and follow up with CMS and Lewin if confirmation is not received within 48 hours.

NOTE: Users will need to change their passwords every 60 days. PETT 2.0 will notify users when their passwords are about to expire. Users will receive an email reminder at the following timeframes before their password has expired:

- ▶ Ten (10) days before the password will expire;
- ▶ Five (5) days before the password will expire;
- ▶ Four (4) days before the password will expire;
- ▶ Three (3) days before the password will expire;
- ▶ Two (2) days before the password will expire;
- ▶ One (1) day before the password will expire; and
- ▶ The day the password is expiring.

Once the password has been successfully changed, users will stop receiving the notification emails.

TIP: If the user gets an error message when logging in, noting that their username or password is not correct, the user should change their password, utilizing the instructions *described in Section 2.3*, below. If issues are still encountered after changing the password, the user is encouraged to contact Lewin for assistance at PERM.Eligibility@Lewin.com.

2.3 Password Retrieval Feature

To access this feature: Click the “Forgot password” link on the login screen. Users will then be taken to a new screen, where they will need to select the “Reset Password” button.

Users will then be instructed to enter their user name (Figure 4). An email will be sent to the address associated with the account, with instructions and a link needed to change the password. Users will have to follow the link found in the email, and reset password as instructed. After resetting the password, users will be directed back to the log-in screen where they can enter their user name and new password. Users can only reset their password once in a 24 hour period.

Forgotten user names can only be retrieved by contacting the system administrators, which can be accomplished using the contact form (*described in Section 3.3*).

Figure 4: New Password Dialog Box

CMS Notification:

- You are accessing a U.S. Government information system, which includes: (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.
- Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.
- By using this information system, you understand and consent to the following:

* You have authorized any person to use this system. At any time, any person may use this system to communicate, monitor, intercept, or otherwise use any information transiting or stored on this system for any purpose.

* Any communication or information transmitted or received by this system may be monitored, intercepted, or otherwise used for any purpose.

Forgot Your Password?

Enter your User Name.

User Name:

Submit

3.0 User Support Features

3.1 Manage My Account

To access this feature: Click the “Manage My Account” link in the upper right navigation bar.

The Manage My Account page allows users to perform account management tasks, such as changing their password, name, and contact information.

Users cannot update their user name, system role, state, program, status as state lead, or preference to receive notifications. To change these settings, users should contact the system administrators using the contact form (*described in Section 3.3*).

Figure 5: Manage My Account Screen

The screenshot displays the PETT 2.0 interface. At the top, the header includes the PETT 2.0 logo, the text "Payment Error Rate Measurement PERM Eligibility Tracking Tool", and a user status bar indicating "Logged in as RFSL" with links for "Manage my Account", "Help", "Contact", and "Logout". Below the header, a navigation bar contains tabs for "Main Dashboard", "Data Submission", "View Reports", and "State Profile". The main content area is divided into two sections. The left section, titled "Change Your Password", contains three input fields: "Enter Current Password:", "Enter New Password:", and "Confirm New Password:", followed by a "Change Password" button. The right section, titled "My Account Settings", contains a "*Required Fields" label and several input fields: "*First Name:" (Susan), "*Last Name:" (Miller), "*Email:" (susan.miller@state.gov), "Phone:", "Fax:", "Project Role:" (Tester), "User Name:" (RFSL), "System Role:" (State Admin), "State:" (LewinStrat), "Programs:" (Medicaid, CHIP), and checkboxes for "State Lead" and "Receive Notifications". An "Update" button is located at the bottom right of the "My Account Settings" section.

3.2 Guidance

The Round 4 Pilot Findings CMS guidance can be accessed directly from PETT 2.0. Once logged in, users can select “Download Round 4 Findings Guidance” on the right hand side of the main dashboard page.

3.3 Contact

To access this feature: Click the “Contact” link in the upper right navigation bar from any area of the system.

PETT 2.0 contains a Contact feature allowing users to submit questions and comments directly to system administrators. The system administrators will be able to assist users with any issues users may encounter, including data submission errors and PETT 2.0 website use. Users will

receive a response to their messages typically within 48 hours of submission. To ensure that they receive a response, users should add PERM.Eligibility@Lewin.com to their contact list.

System administrators from Lewin will be available for any technical assistance needs. If a user encounters an issue that is not easily resolved via email or if the question is complicated, please request a teleconference and a Lewin administrator will contact the user via telephone, utilizing WebEx functionality, as needed.

NOTE: If you do not have a PETT 2.0 account and need assistance with registering or have any other questions, please contact perm.eligibility@lewin.com for assistance.

Figure 6: Contact Screen

3.4 View State Details

To access this feature: Hover over the “State Profile” tab and click on “View State Details.”

The State Profile shows the list of users for the selected state (Figure 7), as well as the state’s primary contacts (Figure 8). Each row of the user profile shows the contact name, email address, user name, phone number, system access role, project role and whether or not the individual is the state lead. ***Each state should provide their primary points of contact’s information under the contacts for state, as shown in Figure 8 below. It is important for state users to update the “State Contacts” list, as needed, for this list of contacts is the one used by CMS to share and send out pilot related information.***

NOTE: The contacts listed in PETT 2.0 are responsible for sharing pilot information distributed by CMS with any relevant state staff who work on the pilots if they are not listed in the contacts section of PETT.

Figure 7: State User Profiles

PETT 2.0

Payment Error Rate Measurement
PERM Eligibility Tracking Tool

Logged in as AbricaVMDtest | [Manage my Account](#) | [Help](#) | [Contact](#) | [Logout](#)

14:38

Main Dashboard

Data Submission

View Reports

State Profile

Pilot Reporting

User Profiles for Lewin

| ST ^ | Contact Name ^ | Email ^ | Username ^ | Phone ^ | Program(s) ^ | Pilot ^ | System Role ^ | Project Role ^ | Lead ^ |
|------|----------------|--------------------------------------------------------------------|----------------|---------|----------------|-------------------------------------|---------------|----------------|--------------------------|
| LW | Abrica, Maria | maria.abrica@lewin.com | maria.e.abrica | | Medicaid, CHIP | <input checked="" type="checkbox"/> | Lewin Admin | Admin | <input type="checkbox"/> |
| LW | Abrica, Maria | maria.abrica@lewin.com | AbricaVMDtest | | Medicaid, CHIP | <input checked="" type="checkbox"/> | State Admin | Admin | <input type="checkbox"/> |

Figure 8: State Contacts

Contacts for Lewin

| ST ^ | Type ^ | Priority ^ | First Name ^ | Last Name ^ | Title ^ | Email ^ | Phone ^ | |
|------|-------------------------|--------------------|--------------|-------------|---------|----------------------------------------------------------------------------|--------------|------------------------------------------------|
| LW | Pilot Review | Primary | Liz | Harper | Tester | elizabeth.harper@lewin.com | 703-269-5523 | Edit Delete |
| LW | <div>Pilot Review</div> | <div>Primary</div> | | | | | | Insert |

Showing 1 to 1 of 1 entries

To add a state contact, a state user with administrator privileges can fill in the information in the blank fields, then click “Insert”.

NOTE: Adding a contact does not mean that individual will have access to PETT 2.0. In order for that individual to gain access to PETT 2.0, they will have to follow the registration instructions, discussed above. Upon registration, that individual will appear under the “User Profiles” (Figure 7).

4.0 Round 4 Pilot Findings

4.1 Overview of Round 4 Findings Components in PETT 2.0

There are two separate components of the Round 4 Pilot Findings:

1. The Round 4 Pilot Findings Spreadsheet; and
2. The Round 4 Pilot Findings Corrective Action Plan (CAP), also referred to the CAP report.

Both components of the Round 4 Findings are required to be submitted to CMS by **June 30, 2016**. No deadline extensions will be provided. **NOTE:** The Round 4 Reporting Guidance issued by CMS on Medicaid and CHIP findings submission, including the corrective action portion, is downloadable in PETT 2.0. This can be accessed from the main dashboard, as noted [above in Section 3.2](#).

States will be required to fill out the Round 4 Pilot Findings Spreadsheet with the requested information on all cases reviewed, which will then be uploaded onto PETT 2.0 as [described in Section 5, below](#). PETT 2.0 will use the individual case information from the spreadsheet to pre-populate numbers (e.g. total number of eligibility errors, technical deficiencies, etc.) into the CAP report on PETT 2.0.

NOTE: For states that participated in the Round 3 FY14-16 pilots, PETT 2.0 will also pre-populate information on the number of cases from Round 3 with specific qualifiers into the CAP report. States will then fill out the remainder of the CAP report by entering the descriptions of the case findings identified, corrective action information on those cases, and updates on previous corrective actions directly into the PETT 2.0 website.

States will have the option of submitting the Round 4 Pilot Findings Spreadsheet prior to the Round 4 Pilot Findings CAP, if needed. States will also have the option to start working on the CAP report prior to submitting the Round 4 Pilot Findings Spreadsheet. However, the CAP cannot be submitted before the Findings Spreadsheet has been uploaded and submitted to CMS.

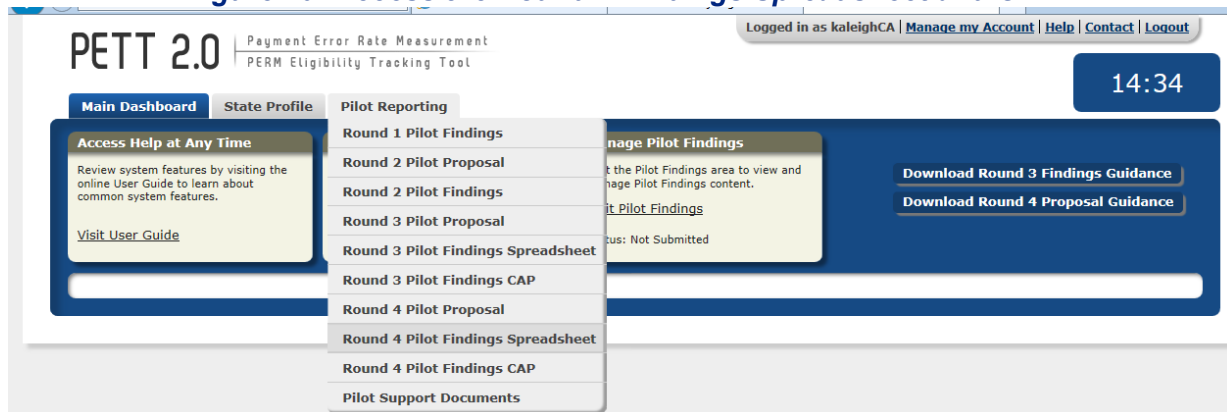
4.2 Accessing the Round 4 Pilot Findings

After successfully logging into PETT 2.0, users will be directed to the home page of the site (Figure 9).

Figure 9: PETT 2.0 Home Page

In order to access the Round 4 Pilot Findings, users will hover over the grey tab, titled “Pilot Reporting” and will then see both Round 4 Pilot Findings components (Figure 10):

1. **Round 4 Pilot Findings Spreadsheet:** This page allows states to download the blank reporting spreadsheet, and upload their completed spreadsheet once case review findings have been entered. Once users have uploaded the spreadsheet, the case review findings will be displayed directly on the spreadsheet window.
2. **Round 4 Pilot Findings CAP:** This component is the form on which states will be adding and editing required fields, including the issue descriptions and corrective actions. A total of 16 sections are required for reporting purposes, all of which are displayed in one page. These sections are described in more detail in [Section 6 below](#).

Figure 10: Access the Round 4 Findings Spreadsheet and CAP

5.0 Round 4 Pilot Findings Spreadsheet

This section describes how state users will download the Round 4 Pilot Findings Spreadsheet, complete the required fields, upload it to PETT 2.0 and submit to CMS for review, and make any updates as needed.

5.1 Accessing the Round 4 Findings Spreadsheet

After Selecting “Round 4 Pilot Findings Spreadsheet” under the Pilot Reporting drop-down, users will be taken to the following page (Figure 11). In order to download the Round 4 Pilot Findings Spreadsheet, users should select the “Get Template” button, as indicated in the figure below. The reporting template will then open in Excel.

TIP: Users should save their Round 4 Pilot Findings Spreadsheets, as updates or edits may be needed

Figure 11: Downloading the Round 4 Findings Spreadsheet from PETT 2.0

The screenshot shows the PETT 2.0 interface. At the top, there's a header with "PETT 2.0" and "Payment Error Rate Measurement PERM Eligibility Tracking Tool". On the right, it says "Logged in as kaleightest" with links for "Manage my Account", "Help", "Contact", and "Logout". A clock shows "14:07". Below the header, there are tabs: "Main Dashboard", "State Profile", and "Pilot Reporting". The "Pilot Reporting" tab is selected. The main content area is titled "Round 4 Pilot Findings Spreadsheet for Lewin". It features a "Get Template" button (highlighted with a yellow box), an "Upload Data" button, and a "Current Version" dropdown. To the right are "Print", "Export", and "Validate and Submit" buttons. Below these buttons, the page shows "State: Lewin", "Status: Not Submitted", and "Last Modified: 4/11/2016 by Kaleigh Beronja". There are sections for "Summary Information" (Total Cases, Total Medicaid, Total CHIP), "Comments for Pilot Upload", and "Detail Information" (No data was returned).

5.2 Understanding the Round 4 Pilot Findings Spreadsheet

States are required to submit the Round 4 Pilot Findings Spreadsheet that lists each Case ID for ALL reviewed cases, along with information about the case, and the case review findings fields must be inputted into the spreadsheet in order to be populated into PETT 2.0, with the exception of Columns M through Y.

General Information

On the top left corner, the spreadsheet contains required “General Information” (Figure 12). The figure below indicates which fields will be pre-populated, and which will require states to enter information.

Figure 12: General Information on Round 4 Pilot Findings Spreadsheet

| | A | B | C |
|---|----------------------------------|-------------------------|-----------------------------------------------------------------------------------|
| 1 | | | |
| 2 | | | |
| 3 | Reporting Form | | |
| 4 | General Information | | |
| 5 | A. Pilot Round | Round 4 | A. Prepopulated |
| 6 | B. Determination Review Period | April 2015 - March 2016 | B. Prepopulated |
| 7 | C. Total Cases Reviewed | | C. State to enter. Number should match total Case IDs reported in the spreadsheet |
| 8 | D. Total Medicaid Cases Reviewed | | D. State to enter total Medicaid cases reviewed |
| 9 | E. Total CHIP Cases Reviewed | | E. State to enter total CHIP cases reviewed |

Column A

States will not be required to enter any information in Column A. This column lists the row number, to allow for easier reviewing and commenting. A total of 1,050 rows are numbered down column A in this spreadsheet, although not all of these need to be completed.

Column B: Case ID

States must enter the 9 digit Case ID for each case review. The Case ID's should follow the logic specified by CMS (see CMS guidance for more information).

Column C: Program

States will identify each case as "Medicaid" (Title XIX funds) or "CHIP" (Title XXI funds) (or would have been Medicaid and CHIP) using the dropdown box provided. **NOTE:** If the state is unable to specify whether the Negative case would have been Medicaid or CHIP, these cases should be assigned to one program. The state should then explain how Negatives were identified in this pilot, using one of the two optional field columns (columns X and Y).

Column D: Active/Negative

States will use the dropdown box to select whether the reviewed case was in the Active or Negative universe.

Column E: Point of Application

States will use the dropdown box to select one of the following options for the Point of Application:

- State Agency
- Local Office/County Office
- Transferred from FFM/SBM
- Redetermination
- Hospital Presumptive Eligibility
- Targeted Enrollment
- Unknown
- Other

“Unknown” can only be selected if the state was unable to capture the case’s point of application. The state can also use the optional fields (columns X and Y) to track specific details, such as the type or name of a sister agency, for internal purposes.

Column F: Type of Application

States will use the dropdown menu to select one of the following options for the type of application:

- Single-streamlined
- Multi-benefit
- Redetermination
- Hospital Presumptive Eligibility
- Targeted Enrollment
- Unknown
- Other

“Unknown” should only be selected if the state was unable to capture the type of application.

Column G: Channel

States will use the dropdown menu to select one of the following channels of application:

- In-Person
- Online
- Mail
- Telephone
- Transferred from FFM/SBM
- Fax
- Redetermination
- Hospital Presumptive Eligibility
- Targeted Enrollment
- Unknown
- Other

“Unknown” should only be selected if the state was unable to capture the type of application.

Column H: MAGI/Non-MAGI

States will use the dropdown box to identify whether the case was MAGI or non-MAGI.

Column I: Case Action

States will use the dropdown box to identify whether the action taken was an “Initial Determination” or a “Redetermination.”

Column J: General Eligibility Category/Group

States will use the dropdown box to identify the general eligibility category/group that the individual is enrolled in. This is only a requirement for **active cases**. One of the following options should be used to identify the eligibility category:

- Aged, Blind, & Disabled
- Home and Community-Based Services
- Long Term Care/Nursing Home
- MAGI CHIP Pregnant Women

- MAGI CHIP Unborn
- MAGI CHIP Targeted Low-Income Children
- MAGI Medicaid Adults – not newly eligible
- MAGI Medicaid Children Under 19
- MAGI Medicaid Expansion Adults – newly eligible
- MAGI Medicaid Newborn
- MAGI Medicaid Parent/Caretaker
- MAGI Medicaid Pregnant Women
- QMB
- SLMB
- Other

NOTE: If a state cannot determine the eligibility category/group for a specific case, the state should contact their CMS liaison to address the question, before reporting “Other” in the spreadsheet.

If the individual was eligibility for more than one eligibility group, states should enter this information in one of the optional field columns (columns X and Y).

Column J: State Eligibility Category/Subcategory/Group

States will be required to identify their state specific category/group or subcategory in this free text box for all **active cases**. If the individual was eligibility for more than one eligibility group, states should enter this information in one of the optional field columns (columns X and Y).

Column L: Finding Code

States will use the dropdown box to assign one finding code per case reviewed. States can select “Correct”, “Deficiency”, “Eligibility Error”, “Group Error,” or “Undetermined.”

Columns M: Primary Qualifier 1

States are required to assign at least one qualifier for all cases that were not determined to be correct. Cases identified as having an “Eligibility Error,” “Group Error,” and “Deficiency” must have at least one qualifier reported. All “Undetermined” cases should have at least two qualifiers reported. A state can select up to four separate qualifiers per case, if needed.

NOTE: If a state reports more than one qualifier, the primary qualifier that led to the error or deficiency should be reported in this column. For Undetermined cases, the primary qualifier should be 20, and States will be required to provide a supplementary qualifier.

Columns O, Q, and S: Qualifiers

There are three additional columns for states to report other qualifiers on the case reviewed. **All “Undetermined” cases should have at least two qualifiers reported.**

NOTE:

- **If the case is “Undetermined,” the “Primary Qualifier 1” (column N) must have a qualifier 20 reported, and there must be at least one additional qualifier reported.**
- Qualifiers 01, 02, and 03 can only be used for negative cases.
- Qualifiers 04 and 05 can only be used for active cases.
- Qualifiers 08, 10, 11, 26, 27, and 28 can only be used for non-MAGI cases.
- Qualifier 21 can only be used for cases with a finding code “D- Deficiency.”

Column N, P, R, and T: Caseworker or System

States are required to use the dropdown to identify whether the qualifier was the result of a “Caseworker” issue, “System” issue, “Caseworker and System” issue, or “Other”. **NOTE:** This information is not required for correct cases.

Column U: For GE, Correct General Eligibility Category/Group

For any cases on which a “Group Error” was identified, states will be required to select the correct general eligibility category/group from the dropdown. This column is only required if a group error was identified.

Column V: For GE, Correct State Eligibility Category/Subcategory/Group

For any cases on which a “Group Error” was identified, states will be required to identify the correct state specific category/subcategory/group in the text box. This column is only required if a group error was identified.

Column X and Y: Optional Fields

There are two “Optional Field” columns available for states to track any additional state specific information that may be useful in developing corrective action. These fields should function as supplemental and should only be used as an alternate to selecting dropdown boxes from required fields. **NOTE:** The two optional fields have a limit of 300 characters.

5.3 Uploading & Submitting the Round 4 Findings Spreadsheet

Once the state has populated all required fields on the Round 4 Pilot Findings Spreadsheet, the template can be uploaded into PETT 2.0.

Before uploading the spreadsheet, please note the following:

- The findings spreadsheet should not be uploaded until all cases being reviewed have been documented.
- In order for the spreadsheet to upload successfully, the row for each case reviewed **must** be completed per the business rules outlined above (i.e. there should be no missing information in the required fields). Incomplete rows will result in an upload error. **NOTE:** If the user receives an error message when uploading the spreadsheet, please first check that all necessary fields have been completed.
- Note that there are numbers included in Column A, to track the total number of cases (starting from row 12 in column A). Please ensure that the numbering remains the same (i.e. do not delete any rows, as it may impact the numbering).

To upload the spreadsheet, hover over the “Pilot Reporting” tab and click on the “Round 4 Pilot Findings Spreadsheet” dropdown option. Users will then click the “Upload Data” button, as shown in Figure 13. Click on “Browse” to locate the spreadsheet.

Figure 13: Uploading the Round 4 Findings Spreadsheet

Once the upload has been processed, PETT 2.0 will import all of the data inputted in the spreadsheet, which will then be displayed in the “Round 4 Pilot Findings Spreadsheet” window (Figure 14).

Figure 14: Spreadsheet to PETT 2.0 Upload View

| Row | Case | Program | Universe | Point of Application | Type of Application | Channel | Magi Non- | Case Action | General Eligibility | State Eligibility | Finding Code |
|-----|------|----------|----------|----------------------------------|----------------------------------|-----------|-----------|-----------------------|--------------------------|-------------------|--------------|
| 1 | 1 | Medicaid | A | State Agency | Single-streamlined | In-Person | M | Initial Determination | MAGI CHIP Pregnant Women | N/A | C |
| 2 | 2 | Medicaid | A | Local office/county office | Multibenefit | Online | M | Initial Determination | Aged, Blind, & Disabled | Test | C |
| 3 | 3 | Medicaid | N | Hospital Presumptive Eligibility | Hospital Presumptive Eligibility | Mail | M | Initial Determination | MAGI CHIP Pregnant Women | N/A | C |

To submit the Round 4 pilot findings, the state will have to first review that all of the data imported into PETT 2.0 is correct. The data should be final prior to CMS submission.

When the state is ready to submit their Round 4 Pilot Findings Spreadsheet, click on the “Validate and Submit” button in the upper right corner of the window. A pop-up certification window will appear (Figure 15). Check the “I certify” box, enter your full name, and then click on “Submit Pilot Findings.”

PETT 2.0 | Payment Error Rate Measurement
PERM Eligibility Tracking Tool

Logged in as kaleightest | [Manage my Account](#) | [Help](#) | [Contact](#) | [Logout](#)

14:55

Main Dashboard | State Profile | **Pilot Reporting**

Round 4 Pilot Findings Spreadsheet for Lewin

Get Template | Upload Data | Current Version ▼ | Print | Export | Validate and Submit

State: Lewin

Status: Not Submitted Last Modified: [blank]

Summary Information

- Total Cases
- Total Medicaid
- Total CHIP

Comments for Pilot Upload

Detail Information

Submit Round 4 Findings Upload

You are about to submit your Round 4 Findings Upload. Would you like to continue?

☐ I certify that this information is accurate and understand that this information may be subject to Federal review.

Name:

Cancel | **Submit Pilot Findings**

| Row | Case | Program | Universe | Poin Application | Appr | Shame | Rev | Sub Action | General Eligibility | State Eligibility | Finding Code | C |
|-----|------|----------|----------|------------------|--------------------|-----------|-----|-----------------------|--------------------------|-------------------|--------------|---|
| 1 | 1 | Medicaid | A | State Agency | Single-streamlined | In-Person | M | Initial Determination | MAGI CHIP Pregnant Women | N/A | C | |

5.4 Revising the Round 4 Findings Spreadsheet

If the email received by the state says “**Submitted – State Revising**,” the state will be required to login to PETT 2.0 and address any comments added.

To view comments added to the Round 4 spreadsheet uploaded into PETT 2.0, select “Round 4 Pilot Findings Spreadsheet” under the “Pilot Reporting” tab. The comments are viewable under the “Comments for Pilot Upload” section (Figure 16).

Figure 16: Viewing Comments on the Round 4 Spreadsheet in PETT 2.0

PETT 2.0 | Payment Error Rate Measurement
PERM Eligibility Tracking Tool

Logged in as kpberonja | [Manage my Account](#) | [Help](#) | [Contact](#) | [Logout](#)

14:43

Main Dashboard | Data Submission | View Reports | State Profile | **Pilot Reporting** | Administration

Round 4 Pilot Findings Spreadsheet for Lewin Test Show Summary

Current Version Print Export Reject or Approve

State: Lewin Test Last Attested: 4/5/2016 by Denesia Rodgers
Status: Submitted - State Revising Last Modified: 4/25/2016 by Kaleigh Beronja

Summary Information

| | |
|----------------|-----|
| Total Cases | 100 |
| Total Medicaid | 52 |
| Total CHIP | 48 |

Comments for Pilot Upload

Test Comment 1 Kaleigh Beronja, 4/29/2016 10:12 AM ×

[Add Comment](#)

Detail Information

| Row | Case | Program | Universe | Point of Application | Type of Application | Channel | Magi Non- | Case Action | General Eligibility | State Eligibility | Finding Code | C |
|-----|------|----------|----------|----------------------------|---------------------|-----------|-----------|-----------------------|--------------------------|-------------------|--------------|---|
| 1 | 1 | Medicaid | A | State Agency | Single-streamlined | In-Person | M | Initial Determination | MAGI CHIP Pregnant Women | N/A | C | |
| 2 | 2 | Medicaid | A | Local office/county office | Multibenefit | Online | M | Initial Determination | Aged, Blind, & Disabled | Test | C | |

States will be required to address any comments by making edits to their original Round 4 Pilot Findings Spreadsheet and then re-upload it to PETT 2.0, following the same instructions that were provided above.

6.0 Round 4 Pilot Findings CAP

The second component of the Round 4 Pilot Findings is the CAP report, which states will enter directly in PETT 2.0. To access this report, users will select “Round 4 Pilot Findings CAP” from the Pilot Reporting dropdown menu. Users will then be directed to the form, as shown in the figure below (Figure 17).

Figure 17: Initial view of Round 4 Pilot Findings CAP Report

The screenshot shows the initial view of the Round 4 Pilot Findings CAP Report for LewinStrat. The interface includes a top navigation bar with the PETT 2.0 logo, a user login status (Logged in as kberonjatest), and a clock showing 14:53. Below the navigation bar, there are tabs for Main Dashboard, Data Submission, View Reports, State Profile, and Pilot Reporting. The main content area is titled "Round 4 Pilot Findings for LewinStrat" and contains several sections:

- State:** LewinStrat
- Status:** Not Submitted
- Last Modified:** 4/29/2016 by Kaleigh Beronja
- Buttons:** Print, Export, Validate and Submit, Edit, Open All, Close All
- Section 1: General Information**
 - 1. Pilot Round: Round 4
 - 2. Determination Review Period: October 2015 - March 2016
 - 3. Date of Submission
 - 4. Reporting Period: June 2016
 - 5. State Contact Name 1:
 - 6. State Contact E-mail Address 1:
 - 7. State Contact Phone Number 1:
 - 8. State Contact Name 2:
 - 9. State Contact E-mail Address 2:
 - 10. State Contact Phone Number 2:
- Comments for Section 1**
- Section 2: State Background Information**
 - 1. Has anything changed about the pilot since approval of the pilot proposal? If yes, please describe.
 - 2. Please indicate any system updates that impacted these findings (include effective date of system updates).
 - 3. Please include any other information that may help interpretation of the pilot results.

The Round 4 Pilot Findings CAP report on PETT 2.0 contains 16 sections, which need to be completed before submitting for CMS review. These sections are described in more detail throughout the remainder of this guidance.

In order to begin entering the information required in the Round 4 Pilot Findings CAP, users will select the “Edit” button in the right upper corner of the screen, as shown in Figure 18 above. Once in “edit” mode, the 15 minute window for which users can enter information without selecting “Save Progress” begins. Therefore, states should utilize the “Save Progress” button, at the top right hand corner of the page frequently in order to ensure that submitted data is not lost.

NOTE: If PETT 2.0 times out on a user that has not selected the “Save Progress” button, the user’s work will be lost.

TIP: States should utilize the “Paste as Text” feature when entering information into the text boxes. In the past, there have been instances where HTML code gets pasted directly into the text boxes, which then alters the format of the PETT 2.0 page. This can be avoided by clicking on the “Paste as Text” icon (the second icon from the right as indicated above), pasting text into the box that pops up, and clicking “Submit.”

6.1 Section 1: General Information

Figure 18: Section 1: General Information

| Section 1: General Information | |
|------------------------------------|---------------------------------------|
| 1. Pilot Round: | Round 4 |
| 2. Determination Review Period: | October 2015 - March 2016 |
| 3. Date of Submission | |
| 4. Reporting Period | June 2016 |
| 5. State Contact Name 1: | <div> <div> </div> <div></div> </div> |
| 6. State Contact E-mail Address 1: | <div> <div> </div> <div></div> </div> |
| 7. State Contact Phone Number 1: | <div> <div> </div> <div></div> </div> |
| 8. State Contact Name 2: | <div> <div> </div> <div></div> </div> |
| 9. State Contact E-mail Address 2: | <div> <div> </div> <div></div> </div> |
| 10. State Contact Phone Number 2: | <div> <div> </div> <div></div> </div> |
| Comments for Section 1 | |

Pilot Round: (no entry--autofill)

PETT 2.0 will automatically populate this field with “Round 4.” No state action is required.

Determination Review Period: (no entry--autofill)

PETT 2.0 will automatically populate this field with the review period (October 2015 – March 2016). No state action is required.

Date of Submission: (no entry--autofill)

This will be populated when the CAP reported is submitted to CMS for review. No state action is required.

Reporting period: (no entry--autofill)

This field will be populated by PETT 2.0 as “June 2016.” No state action is required.

State Contact Name [1 & 2]: (text)

Please provide the contact name for the individuals who should be contacted with questions or comments related to the Round 4 Pilot Findings. States will be required to provide contact information for two individuals.

State Contact Email Address [1 & 2]: (text)

Please provide the e-mail addresses for individuals who should be contacted with questions or comments related to the Round 4 Pilot Findings. States will be required to provide contact information for two individuals.

State Contact Phone Number [1 & 2]: (text)

Please provide the phone numbers for the individuals who should be contacted with questions or comments related to the Round 4 Pilot Findings. States will be required to provide contact information for two individuals.

6.2 Section 2: State Background Information

Figure 19: Section 2: State Background Information

Section 2: State Background Information

1. Has anything changed about the pilot since approval of the pilot proposal? If yes, please describe.

2. Please indicate any system updates that impacted these findings (include effective date of system updates).

3. Please include any other information that may help interpretation of the pilot results.

Comments for Section 2

Indicate if anything changed about the pilot since approval of the pilot proposal: (text)

Please indicate whether anything about the pilot has changed since the approval of your Round 4 Pilot Proposal. If applicable, describe the change(s).

Indicate any system updates that impacted these findings: (text)

Please indicate any updates that have been made on your eligibility systems that impact these findings, and describe how the findings were impacted, if applicable. In addition, states will be required to include the effective dates of any system updates implemented.

Indicate if there is any other information that may help with interpreting results (text)

Please include in this section any other information that may help interpretation of the pilot results. The state should include any other information that someone reviewing the state's results should know. If there is no other information that needs to be included, the state can enter "N/A."

6.3 Sections 3-9: Case Review Findings

Sections 3 through 9 will each be prepopulated with the number of cases associated with each qualifier and the specific case IDs associated with the qualifiers. Additionally, the number of cases from the Round 3 Pilot Findings will be prepopulated. **NOTE:** If the state participated in the Round 2 ESC pilots, the number of cases from the Round 3 Pilot Findings will not be prepopulated. However, the state will still need to ensure that updates on these findings are provided. The groupings for the findings codes are listed below:

- **Section 3: Notice Related Findings**
- **Section 4: Procedure/Process Related Findings**
- **Section 5: Document Related Findings**
- **Section 6: Transfer Related Findings**
- **Section 7: Income and Household Composition Related Findings**
- **Section 8: Verification Related Findings**
- **Section 9: Non-MAGI Findings**

Figure 20 displays an example of Section 3 of the Round 4 Pilot Findings CAP Report. Aside from the qualifiers that will be prepopulated, the required information in these seven sections is the same. The required fields are described in more detail below.

Figure 20: Section 3: Case Review Findings

| Section 3: Notice Related Findings | | | |
|------------------------------------------------------------------------------------------------------|----------------------------|----------------------------------------|-----------------------------------------------|
| Qualifier | # of Cases Round 4 | Case IDs | # of Cases Round 3 |
| 02 - Notice not sent upon denial or termination. Negatives only. | 7 | 22, 23, 58, 59, 69, 75, 94 | 0 |
| 03 - Notice sent but was not timely or did not contain correct information. Negatives only. | 10 | 16, 25, 38, 44, 45, 46, 70, 93, 95, 98 | 0 |
| 04 - Notice of eligibility not sent. Actives only. | 9 | 14, 39, 40, 50, 51, 62, 63, 64, 90 | 0 |
| 05 - Notice of eligibility sent but not timely or did not contain correct information. Actives only. | 6 | 8, 11, 61, 80, 81, 82 | 0 |
| Caseworker vs. System Findings | | # of Cases Round 4 | |
| C - Caseworker | 27 | | |
| S - System | 1 | | |
| B - Caseworker and System | 4 | | |
| Round 4 Root Cause and Corrective Action Analysis (states enter a row for each issue) | | | |
| Describe Issue | Case IDs | Corrective Action description | Component/Staff Responsible Corrective Action |
| <div></div> | <div></div> | <div></div> | <div></div> |
| <div>Comments for Section 3</div> | | | |
| Updates on Previous Rounds Ongoing Corrective Actions | | | |
| Ongoing Round 3 FY14-16/Round 2 ESC Issue | Root Cause Being Addressed | Root Cause Owner | Corrective Action Updates |
| <div></div> | <div></div> | <div></div> | <div></div> |
| <div>Comments for Section 3 Previous Rounds</div> | | | |

of Cases Round 4: (no entry-- pre-populated)

The number of cases for each qualifier will be prepopulated, based on the information that was entered into the Round 4 Pilot Findings Spreadsheet. Depending on the types of qualifiers cited, the number of rows under these sub-sections may vary. Please review these numbers for accuracy, before submitting. **NOTE:** If there were no findings identified specific to one of the seven sections, the section will be blank.

Case IDs: (no entry-- pre-populated)

The Case IDs for each qualifier will be prepopulated, based on the information that was entered into the Round 4 Pilot Findings Spreadsheet.

of Cases Round 3: (no entry-- pre-populated)

The number of cases from the Round 3 Pilot Findings will be prepopulated for each qualifier. This information is based on the findings from states' Round 3 Pilot Findings Spreadsheets.

NOTE: If the state participated in the Round 2 ESC pilots, the number of cases from the Round 3 Pilot Findings will not be prepopulated, and "0" will automatically be entered.

Caseworker vs. System Findings: (no entry-- pre-populated)

The number of caseworker and system findings for findings will be prepopulated based on the information entered into the Round 4 Pilot Findings Spreadsheet. **NOTE:** If there were no findings identified specific to one of the seven sections, this section will be blank.

Round 4 Root Cause and Corrective Action Analysis:

States must describe the issue and provide corrective actions for all cases where the decision about program eligibility was incorrect, undetermined, or there was a deficiency related to the qualifier in each specific section. Please note that the number of rows in PETT will expand to accommodate as many root causes as the state identified. The state will be required to enter the following information.

- **Describe Issue: (text)**

States must describe the issue that was identified leading to the error, deficiency, or undetermined finding.

- **Case IDs: (text)**

States must enter the Case IDs associated with each specific issue described. There may be several cases associated with a particular issue, meaning that many Case IDs may be entered per row. Please note that the Case IDs entered should match those prepopulated in the subsection above.

- **Corrective Action Description: (text)**

States must provide details on the corrective action that the state has implemented or will implemented to address the issue that was described.

- **Component/Staff Responsible for the Corrective Action: (text)**

Include the state key staff personnel and components responsible for implementing the corrective action.

- ***Estimated Date of Completion or Implementation: (text)***

Enter the estimated date for which the corrective action will be completed or the date on which any necessary systems updates will be implemented.

- ***Expected Results of Corrective Action Plan: (text)***

Enter the estimated date for which the corrective action will be completed or the date on which any necessary systems updates will be implemented.

- ***Monitor Effectiveness: (text)***

Please describe how the state will monitor the effectiveness of the corrective action implemented.

- ***Responsible Component/Unit: (dropdown)***

States are required to select the responsible component/unit (system, caseworker, or other) for monitoring the effectiveness of the corrective action.

- ***Timeframe for Monitoring: (text)***

Please describe the timeframe for monitoring the impact of the corrective action implemented.

- ***Was this an issue in Rounds 1 – 3: (dropdown)***

Select 'Yes' or 'No' from the drop down box to indicate whether the same issue was identified during any of the three previous rounds of pilots. **NOTE:** This includes the Round 1 and Round 2 ESC pilots. If the state selects 'Yes,' the state will be required to provide an update on the Corrective Action in the subsection below, as described.

Updates on Previous Rounds Ongoing Corrective Actions:

In Round 4, states will be required to provide updates on their corrective actions for all continuing issues in the section where the specific qualifier is noted. If a state has cases with a specific issue in both the Round 3 Eligibility Pilots and the Round 4 Eligibility Pilots, the state will be required to provide an update on the corrective action implemented to address the issue.

NOTE: If the state answers 'Yes' to "Was this an issue in Rounds 1 – 3," the user will be required to enter at least one row in this section. The state will be required to enter the following information.

- ***Ongoing Issues from Previous Rounds: (text)***

States must describe the issue that was in both the Round 4 Pilot Findings as well as in the previous rounds.

- ***Root Cause being Addressed: (text)***

States must describe the root cause of the issue that is still continuing.

- ***Root Cause Owner: (text)***

For each ongoing issue, states should note the party or entity responsible for the root cause (e.g., systems staff, caseworkers).

- **Corrective Action Updates:** (text)

Provide updates on the status of the corrective action that was previously performed or implemented.

- **Targeted Completion Date:** (text)

Enter the estimated date for which the corrective action will be completed or the date on which any necessary systems updates will be implemented.

- **Plan for Evaluation:** (text)

Please describe how the state will continue to evaluate the corrective action and monitor its effectiveness.

6.4 Section 10: Other Findings

Similar to Section 3 – 9, the number of cases with other findings (Qualifier 99) will be prepopulated, if applicable. Figure 21 displays the required fields in Section 10.

Figure 21: Section 10: Other Findings

The screenshot shows the 'Section 10: Other Findings' form. It has a header bar with the title. Below it are several sections:

- Qualifier:** A table with columns for '# of Cases Round 4', 'Case IDs', and '# of Cases Round 3'.
- Caseworker vs. System Findings:** A table with columns for '# of Cases Round 4'.
- Round 4 Root Cause and Corrective Action Analysis (states enter a row for each issue):** A table with columns for 'Issue/Root Cause Description', 'Case IDs', 'Root Cause Owner', and 'Corrective Action Description'. Each cell contains a rich text editor with icons for bold, italic, underline, link, unlink, and insert image.
- Comments for Section 10:** A text area for comments.
- Updates on Previous Rounds Ongoing Corrective Actions:** A table with columns for 'Ongoing Round 3 FY14-16/Round 2 ESC Issue', 'Root Cause Being Addressed', 'Root Cause Owner', and 'Corrective Action Updates'. Each cell contains a rich text editor.
- Comments for Section 10 Previous Rounds:** A text area for comments.

In addition to the information described above for Sections 3 – 9, states will be required to provide the **root cause owner** associated with each “Other” issue or root cause description, as shown above.

6.5 Section 11: Eligibility Error Discussion

This section is intended to capture additional information about the eligibility errors identified during this pilot. Figure 22 displays the required fields in Section 9, which are described in detail below.

Figure 22: Section 11: Eligibility Error Discussion

| Section 11: Eligibility Errors Discussion | | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|--------------------|--------------------|
| Active vs. Negative | Error code | # of Cases Round 4 | # of Cases Round 3 |
| A - Active | EE - Eligibility Error | 4 | 0 |
| N - Negative | EE - Eligibility Error | 6 | 0 |
| <p>1. What were the main contributors to active case eligibility errors?</p> | | <div> </div> | |
| <p>2. What were the main contributors to negative case eligibility errors?</p> | | <div> </div> | |
| <p>3. Please provide an analysis describing the caseworker vs. system issues.</p> | | <div> </div> | |
| <p>4. Please provide an analysis and generally describe your state's active vs. negative findings, including changes from previous rounds.</p> | | <div> </div> | |
| <p>5. Describe the state's plan for handling actual cases identified where the incorrect eligibility determination was made (i.e., errors).</p> | | <div> </div> | |
| Comments for Section 11 | | | |

Active vs. Negative: (no entry-- pre-populated)

The number of cases associated with the Active and Negative Eligibility Errors will be prepopulated based on the information entered into the Round 4 Findings Spreadsheet. **NOTE:** Unlike in previous rounds, the number of cases with Eligibility Errors from the Round 3 pilot findings will be populated. If the state participated in the Round 2 ESC pilots, this information will not be included and the number of cases will be noted as "0."

Main Contributors to Active Case Eligibility Errors: (text)

States must describe the main contributors to the Active Case Eligibility errors. If there were no Active errors, the states can enter "N/A."

Main Contributors to Negative Case Eligibility Errors: (text)

States must describe the main contributors to the Negative Case Eligibility errors. If there were no Active errors, the states can enter "N/A."

Analysis and Description Caseworker vs. System Issues: (text)

Please provide a general analysis and a description of the key issues that impacted your state's Eligibility Errors. For example, describe whether a greater portion of eligibility errors were the result of caseworker issues.

Analysis and Description of Active vs. Negative Findings: (text)

Please provide a general analysis and a description of your state's Active vs. Negative case review findings. For example, if your state had a greater proportion of Negative case review

findings, describe why that was the case. Please also include a brief analysis on how this is different than previous rounds.

Plan for Handling Cases where the Incorrect Eligibility Determination was Made: (text)

Describe your state's plan for handling any cases that were identified for which the incorrect eligibility determination was made (i.e. errors).

6.6 Section 12: Group Errors Discussion

This section is intended to capture information about any of the cases that were placed in the incorrect eligibility group/category. Figure 23 displays the required fields in Section 12, which are described in detail below.

Figure 23: Section 12: Eligibility Group Discussion

| Section 12: Group Errors Discussion | | | |
|-------------------------------------------------------------------------------------------------------------------------|------------------|--------------------|--------------------|
| Active vs. Negative | Error code | # of Cases Round 4 | # of Cases Round 3 |
| A - Active | GE - Group Error | 5 | 0 |
| <p>1. What were the main contributors of cases being placed in the wrong eligibility group/category?</p> | | <div> </div> | |
| <p>2. Please provide an analysis of the typical groups affected and include changes from previous rounds' findings.</p> | | <div> </div> | |
| <p>3. Please provide an analysis describing the caseworker vs. system issues.</p> | | <div> </div> | |

Comments for Section 12

Medicaid vs. CHIP: (no entry-- pre-populated)

The number of cases with Eligibility Group errors will be prepopulated based on the information entered into the Round 4 Findings Spreadsheet. This information will be broken down by Medicaid and CHIP cases. **NOTE:** The number of Group Errors from the Round 3 pilot findings will also be pre-populated. If the state participated in the Round 2 ESC pilots, this information will not be included and the number of cases will be noted as “0.”

Analysis of Typical Groups Affected: (text)

States must provide a general analysis and description of the typical groups affected. For example, states should identify whether there were more errors found with individuals in one particular eligibility group than another.

Analysis and Description Caseworker vs. System Issues: (text)

Please provide a general analysis and a description of the key issues that impacted your state's Group Errors. For example, describe whether a greater portion of eligibility errors were the result of caseworker issues.

6.7 Section 13: Missing Documentation Discussion

This section is intended to capture information about any instances in which there was documentation missing from a case file, which resulted in the case being cited as either “Undetermined” or “Deficient.” Figure 24 displays the required fields in Section 13, which are described in detail below.

Figure 24: Section 13: Missing Documentation Discussion

| Section 13: Missing Documentation Discussion | | |
|----------------------------------------------|---------------------|-----------------|
| Finding Code | # of Medicaid Cases | # of CHIP Cases |
| D - Deficiency - 21 | 16 | 19 |
| U - Undetermined - 20 | 14 | 7 |

1. Please provide an analysis on the typical cases affected by missing documentation (e.g., more non-MAGI than MAGI cases).

2. Please provide common reasons for missing documentation. Were issues related to no evidence in system of verification or missing documentation in records?

3. What can your state do to improve this issue with missing documentation before PERM resumes?

Comments for Section 13

Finding Code: (no entry-- pre-populated)

The number of cases where documentation was missing and resulted in either 1) Qualifier 20, or 2) Qualifier 21 will be prepopulated. This will be broken down by Medicaid and CHIP cases separately.

Analysis of Typical Cases Affected: (text)

States must provide a general analysis and description of the typical cases affected. For example, if more non-MAGI cases were affected, states should provide reasons that this may have been the case.

Improving this Issue: (text)

States should describe how they can improve the issue of missing documentation prior to PERM resuming in FY 2018.

6.8 Section 14: State Analysis of Findings

This section is intended to capture additional analysis on the findings from the Round 4 Pilots. This section is divided into six sub-sections, which are listed below:

- **Program**
- **MAGI or non-MAGI**
- **Case Action**
- **Point of Application**

- *Type of Application*
- *Channel of Application*

Figure 25 displays the required fields in Section 14, which are described below.

Figure 25: Section 14: State Analysis of Findings

Section 14: State Analysis of Findings

| Program | # of Eligibility Errors | # of Group Errors | # of Deficiencies | # of Undetermined |
|----------|-------------------------|-------------------|-------------------|-------------------|
| CHIP | 9 | 0 | 19 | 7 |
| Medicaid | 1 | 5 | 16 | 14 |

A. Please provide an analysis and generally describe your state's Medicaid vs. CHIP Findings.

| MAGI vs. Non-MAGI | # of Eligibility Errors | # of Group Errors | # of Deficiencies | # of Undetermined |
|-------------------|-------------------------|-------------------|-------------------|-------------------|
| MAGI | 6 | 1 | 15 | 11 |
| Non-MAGI | 4 | 4 | 20 | 10 |

B. Please provide an analysis and generally describe your state's MAGI vs. Non-MAGI findings.

| Case Action | # of Eligibility Errors | # of Group Errors | # of Deficiencies | # of Undetermined |
|-----------------------|-------------------------|-------------------|-------------------|-------------------|
| Initial Determination | 4 | 4 | 29 | 15 |
| Redetermination | 6 | 1 | 6 | 6 |

C. Please provide an analysis and generally describe your state's Initial Determinations vs. Redeterminations findings.

| Point of Application | # of Eligibility Errors | # of Group Errors | # of Deficiencies | # of Undetermined |
|----------------------------------|-------------------------|-------------------|-------------------|-------------------|
| Hospital Presumptive Eligibility | 1 | 1 | 4 | 1 |
| Local office/county office | 2 | 1 | 6 | 3 |
| Other | 2 | 0 | 0 | 0 |
| Redetermination | 2 | 0 | 3 | 3 |
| State Agency | 3 | 1 | 13 | 6 |
| Targeted enrollment | 0 | 1 | 1 | 4 |
| Transferred from FPM/SBM | 0 | 0 | 3 | 1 |
| Unknown | 0 | 1 | 5 | 3 |

D. Please provide an analysis and generally describe your state's findings by Point of Application.

| Type of Application | # of Eligibility Errors | # of Group Errors | # of Deficiencies | # of Undetermined |
|----------------------------------|-------------------------|-------------------|-------------------|-------------------|
| Hospital Presumptive Eligibility | 1 | 0 | 4 | 0 |
| Multibenefit | 1 | 1 | 9 | 2 |
| Other | 2 | 0 | 0 | 1 |
| Redetermination | 2 | 1 | 2 | 3 |
| Singlestreamlined | 3 | 1 | 13 | 7 |
| Targeted enrollment | 0 | 1 | 1 | 4 |
| Unknown | 1 | 1 | 6 | 4 |

E. Please provide an analysis and generally describe your state's findings by Type of Application.

| Channel of Application | # of Eligibility Errors | # of Group Errors | # of Deficiencies | # of Undetermined |
|----------------------------------|-------------------------|-------------------|-------------------|-------------------|
| Fax | 1 | 2 | 3 | 5 |
| Hospital Presumptive Eligibility | 1 | 0 | 2 | 0 |
| In-Person | 0 | 1 | 10 | 2 |
| Mail | 0 | 0 | 11 | 6 |
| Online | 4 | 0 | 1 | 4 |
| Redetermination | 2 | 1 | 1 | 0 |
| Telephone | 1 | 1 | 6 | 3 |
| Transferred from FPM/SBM | 1 | 0 | 1 | 0 |
| Unknown | 0 | 0 | 0 | 1 |

F. Please provide an analysis and generally describe your state's findings by Channel of Application.

Comments for Section 14

For each of the six sub-sections, the number of eligibility errors, group errors, deficiencies, and undetermined cases will be prepopulated based on the information reported in the Round 4 Pilot Findings Spreadsheet. The state will then be required to provide an analysis and generally describe the differences found for each section. For example, the state will be required to provide an analysis on the differences identified between their Medicaid and CHIP cases.

6.9 Section 15: Updates on Round 3 FY14-16/Round 2 ESC Completed Corrective Actions

Similar to the Round 3 Pilot Findings, states are required to provide an update and an evaluation of all completed corrective actions that were implemented as a result of previous issues identified. Unlike the previous rounds of the pilots, continuing corrective actions will be identified in Sections 3 – 10. However, states will still be asked to note all resolved issues in this section. The number of rows in PETT will expand to accommodate all updates. **NOTE:** These updates should also include completed corrective actions from the Round 2 ESC pilots.

Figure 26: Section 15: Updates on Completed Corrective Actions

Resolved Round 3 FY14-16/ Round 2 ESC Issues:

States must enter corrective actions implemented based on the Round 3 FY14-16 pilot findings or the Round 2 ESC pilot findings (as applicable for the state) for issues (i.e. root causes) that were resolved and were not identified in the Round 4 Pilots. These are actions the state took which fixed processed and prevented similar errors from occurring again. For example, *a state identified an issue with the system assigning accurate program codes. The corrective action included implementation of system codes updates and system accuracy retesting has been successfully completed.* States should enter a separate row for each corrective action. States must provide the following information for each issue resolved by corrective action:

- **Corrective Action: (text)**

Provide a brief description of the corrective action that was previously implemented or conducted.

- **Root Cause Addressed: (text)**

Provide a brief description of the root cause that the corrective action was intended to address.

- **Root Cause Owner: (drop down)**

Specify if the root cause of the issue identified was resulted to a systems problem, a caseworker issue, or other.

o **Completion Date: (text)**

Enter the date the corrective action was completed (or implemented, if the corrective action was a system update).

o **Evaluation: (text)**

Include an evaluation of the effectiveness of the corrective action. Define the methods and procedures used for evaluation purposes.

o **Impact on Round 4 (if any): (text)**

Describe the impact the corrective action had on the Round 4 Pilot Findings.

6.10 Section 16: Summary and Other Information

This section is intended to capture any additional information that can be gleaned from the pilot results. States are asked to provide information in each of the fields below. If the question/item is not relevant to the state's pilot findings, please specify that in the field. Figure 27 displays the required fields in Section 16, which are described in more detail below.

Figure 27: Section 16: State Summary and Other Information

Section 16: Summary and Other Information

1. Provide an overall summary of your Round 4 pilot findings.

2. How did Round 4 findings compare to the findings from your state's previous pilot findings?

3. For findings identified that may have impacted numerous cases, describe how your state handled non-sampled cases that may have been impacted. Did the state follow up on these cases?

4. Is your state willing to share any best practices that may be helpful to other states in resolving ongoing issues?

5. Optional Additional State Analysis:

Comments for Section 16

Provide an Overall Summary of your Round 4 Pilot Findings (text):

Please provide an overall summary of your Round 4 Pilot Findings.

Describe how Findings Compared to Round 1 and Round 2 Findings (text):

Please describe how your case review findings from the Round 4 Eligibility pilots compare to those from the previous rounds of pilots, including the Round 1 and Round 2 ESC pilots, if applicable. Were there significant changes between the rounds?

Describe how your State Handled non-Sampled Cases that May Have Been Impacted (text):

If applicable, please describe how your state handled non-sampled cases that may have been impacted by some of the issues identified in your Round 4 Pilot Findings.

Best Practices (text):

If willing, please share any best practices that your state identified through the completion of the Round 4 Pilot that may be helpful to other states in resolving ongoing issues.

Optional Additional State Analysis (text):

Please provide any additional analysis that has not been provided above. In addition, please provide your feedback of the Round 4 Pilot.

6.11 Questions

Please submit all questions on the content of Pilot Review Findings to FY2014-2016EligibilityPilots@cms.hhs.gov. Any questions on the use of the PETT 2.0 website should be directed to PERM.Eligibility@Lewin.com.

7.0 Submission and Review of Round 4 Pilot Findings Data

7.1 Submission and Review of Round 4 Findings Spreadsheet

After the state has uploaded the completed Round 4 Findings Spreadsheet (i.e. all cases being reviewed are included) in PETT 2.0 and confirmed the completeness and accuracy of the reported information, states should “Validate and Submit” the spreadsheet as discussed above.

NOTE: States will not be able to edit and upload an updated spreadsheet while CMS is reviewing.

Upon submission of the Round 4 Findings Spreadsheet, the state will receive an automated notification to confirm submission. The email will note that the spreadsheet is “**Submitted – Under CMS Review.**” The status of the findings spreadsheet can also be found in the top, left hand corner of the findings spreadsheet window (Figure 28).

Levels of Approval: CMS will review and provide comments on the Round 4 Findings Spreadsheet within 10 business days of receipt. Please note the following:

- If CMS has no comments on the Round 4 Pilot Findings Spreadsheet, CMS will approve the findings pending the approval of the Round 4 Pilot Findings CAP. In this case, the state will receive an email notification that notes that the findings are now “**Pending Approval.**” This means that the findings will not be approved as final by CMS until the CAP portion of the findings has also been submitted and approved, for the state may need to make revisions to the findings spreadsheet following CMS reviews of the CAP.
- If CMS has comments on the Round 4 Findings Spreadsheet, the status will be changed to “**Submitted – State Revising,**” so that the state can make appropriate updates.
NOTE: Users will need to make updates to their spreadsheets outside of PETT 2.0, and re-upload the spreadsheet for review.

Once the Round 4 Pilot Findings CAP portion has been approved, CMS will also approve the final Round 4 findings spreadsheet.

Figure 28: Submission & Review Status of Round 4 Pilot Findings Spreadsheet

PETT 2.0 | Payment Error Rate Measurement
PERM Eligibility Tracking Tool

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14:56

Main Dashboard | Data Submission | View Reports | State Profile | **Pilot Reporting**

Round 4 Pilot Findings Spreadsheet for Lewin Test

Get Template | Current Version | Print | Export

State: Lewin Test | Last Attested: 4/5/2016 by Denesia Rodgers

Status: Submitted - Under CMS Review | Last Modified: 4/29/2016 by Kaleigh Beronja

Summary Information

| | |
|----------------|-----|
| Total Cases | 100 |
| Total Medicaid | 52 |
| Total CHIP | 48 |

Comments for Pilot Upload

Detail Information

| Row | Case | Program | Universe | Point of Application | Type of Application | Channel | Magi Non- | Case Action | General Eligibility | State Eligibility | Finding Code |
|-----|------|----------|----------|----------------------|---------------------|-----------|-----------|-----------------------|--------------------------|-------------------|--------------|
| 1 | 1 | Medicaid | A | State Agency | Single-streamlined | In-Person | M | Initial Determination | MAGI CHIP Pregnant Women | N/A | C |
| 2 | 2 | Medicaid | A | Local office/county | Multibenefit | Online | M | Initial Determination | Aged, Blind, & Disabled | Test | C |

7.2 Submission of Round 4 Pilot Findings CAP

After a state has entered the Round 4 Pilot Findings CAP information in PETT 2.0 and confirmed the completeness and accuracy of the reported information, states should click the “Validate and Submit” button, as shown in Figure 29. **NOTE:** States must be in “Edit” mode to view the “Submit Pilot Findings” button.

Figure 29: Submit Round 4 Pilot Findings CAP

PETT 2.0 | Payment Error Rate Measurement
PERM Eligibility Tracking Tool

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14:17

Main Dashboard | Data Submission | View Reports | State Profile | **Pilot Reporting**

Round 4 Pilot Findings for LewinStrat

Print | Export | **Validate and Submit**

State: LewinStrat | Save Progress | Validate Page | Cancel

Status: Not Submitted | Last Modified: 4/29/2016 by Kaleigh Beronja | Open All | Close All

Section 1: General Information

| | |
|---------------------------------|---------------------------|
| 1. Pilot Round: | Round 4 |
| 2. Determination Review Period: | October 2015 - March 2016 |
| 3. Date of Submission | |
| 4. Reporting Period | June 2016 |

Prior to selecting the “Submit Pilot Findings” button, users will be required to certify the submitted results. Users must check the box “I certify that this information is accurate and understand that this information may be subject to Federal review,” enter the name of the person submitting the report, and then click on “Submit Pilot Findings”. The website will not accept the pilot findings submission unless the results have been certified.

7.3 Review of Round 4 Pilot Findings CAP

Upon submission of each component of the Round 4 Pilot Findings, CMS will be notified of the submission. At that time, the state's status on the home page will change to **"Submitted - Under CMS Review."** CMS will conduct a review of the state's findings and will provide comments, via the PETT 2.0 site.

7.4 Changes to Round 4 Pilot Findings CAP

States will not be able to make any changes to their Round 4 Pilot Findings CAP as long as the status of the report is **"Submitted - Under CMS Review."** Once the review has been completed, CMS will change the status to **"Approved"** or **"Submitted - State Revising"** if revisions are needed. State users will receive an email notification when CMS changes the state's report status.

If CMS approves the state's pilot findings, users can no longer edit the data. If a state has to make a change to the data, a state user must contact CMS to change the status of the report back to **"Submitted - State Revising."**

If CMS has comments on the state's pilot findings, CMS will change the status of the report back to **"Submitted – State Revising."** State users will see the CMS comments under each section, if applicable. State users should proceed with making updates and edits in response to the CMS comments and resubmit the report for CMS review.

TIP: When making updates to the Round 4 Findings in response to CMS comments, states should utilize the "Font Color" icon, as shown in Figure 30 below. Users should indicate that new text has been added by writing **"UPDATE v.2"** (or the version number they are working on) in front of the new information. Additionally, users should highlight the new information, click on the icon shown in the figure below, and change the font color to red to note that it has been added in response to a comment from CMS.

Figure 30: Utilizing Font Color for the Round 4 Pilot Findings CAP

