

# **Payment Error Rate Measurement**

**PERM Eligibility Tracking Tool**

## **PERM Eligibility Tracking Tool Eligibility Form Submission Website**

<https://www.cmspett.org>

**FY 2012 Website Instructions & User Guide (updated August 15, 2012)**

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## OVERVIEW

Each State participating in PERM is required to submit monthly sample, eligibility review and payment review reporting forms on both Medicaid and CHIP eligibility reviews. The PERM Eligibility Tracking Tool (PETT) allows States to fill out and submit their eligibility sampling reporting forms directly on the website. States can also upload data to the website. To use this option, States must first download the formatted PETT Excel Spreadsheet from the website. To ensure the data is uploaded correctly on the PETT website, the format of the Excel spreadsheet **cannot** be modified.

PETT will help States track their own progress, examine eligibility review outcomes, and monitor the eligibility error rate throughout the cycle. A copy of the reporting form is in Appendix A. Line by line instructions for completing the form are in Appendix B. A copy of the Summary Case Review Findings form can be found in Appendix C with instructions for completing the form in Appendix D. The PERM eligibility timeline can be found in Appendix E.

Each State will only be able to view its own data. States will be allowed to register up to four users. These users must be designated as having one of two access levels: administrative or view-only. Administrators will be able to input, edit and review data. View-only users will only be able to review submitted data. States may designate the users for Medicaid, CHIP, or both programs. Individuals that register as Medicaid or CHIP will only be able to see data for that specific program.

CMS and the Statistical Contractor (SC) will have access to all States' data to monitor that submission deadlines are met and to conduct regular quality control checks on submitted data throughout the sampling, eligibility review and payment review process.

## HOME PAGE

The Home Page (**Exhibit 1**) allows authorized users to login to their respective State pages to enter, edit and review monthly sample, review and payment data. New users need to register for access to the PETT site and should select “New users click here.”

To access your State’s information:

- Enter your username and password; both are case sensitive
- Click the “Login” button and you will be directed to your State’s page
- Be sure to click “Logout” at the end of each session to protect the security of your State’s data
- Users will be logged out after 15 minutes of inactivity
  - Please note that to be considered “active” by the website, users entering data need to select the Save as Draft option at least every 15 minutes or go to a different page on the PETT website to restart the counter
- Users can re-set passwords from the Home Page by selecting the “Click here if you have forgotten your password link” and entering the email address used when registering for the website. You will be emailed a new password. When you need to change your password, select “Click here to change your password” on the Home Page. You will be asked for your email address, username, current password and new password. Under certain circumstances, you will be asked to login again. If so, close the browser, then re-open the browser and login.
  - To re-set a username, users must contact the SC for assistance

**Exhibit 1. Home Page**



## NEW USER REGISTRATION

Selecting “New Users click here” will direct you to the Registration Page (**Exhibit 2**). Prior to the start of the cycle, States should notify CMS with the names of the individuals who should have access to the PETT website and the access level (administrative or view-only) for each individual.

To register:

- Select your State from the dropdown box
- Enter your First Name, Last Name and Email Address
- Select the program you are affiliated with (Medicaid or CHIP) or select “Both Medicaid and CHIP” if you are responsible for submitting data for both programs
- Create a Username of your choice (for example, firstname.lastname)
- Create a password of your choice
  - Passwords must be at least eight characters long and must contain at least one number, one upper case letter, one lower case letter and one special character. (i.e., !#\$%&()\*+,-./:;<=>@[\\]^\_`{|}~.)
  - Passwords must be changed every 60 days; after changing the password, the browser should be closed and reopened before logging back into the website
- Re-enter the password
- Click on the “Register” button

## Exhibit 2. Registration Page

A screenshot of a web browser displaying the registration page for the Payment Error Rate Measurement (PERM) Eligibility Tracking Tool. The page title is "Payment Error Rate Measurement PERM Eligibility Tracking Tool". Below the title, there is a navigation menu with "Home" and "CMS PERM" (with a time remaining of 14:20). A paragraph of text explains the password requirements: "You can create a username and password to use the site here. Passwords must be at least eight characters long and must contain at least one number, one upper case letter, one lower case letter and one special character. Special characters are: !@#\$%^&\*~+,-;:'<>?@{}|\_~()<". The registration form includes the following fields: "Please select your state" (a dropdown menu), "Please enter your first name" (text input), "Please enter your last name" (text input), "Please enter your e-mail address" (text input), "Please create a username" (text input), "Please choose a program" (a dropdown menu), "Please create a password" (text input), and "Please repeat password" (text input). A "Register" button is located at the bottom of the form.

Once you click on the “Register” button, the registration request will be sent to CMS for approval. CMS will verify that you should have access for the State (State or contractor staff). If your name has not been given to CMS previously, CMS will contact the PERM primary contact of the selected State to verify your work on PERM; this may delay the registration process.

Once CMS approves the registration, you will receive an email message that will instruct you to click on a long link to the website to confirm the registration. This is a protection against someone else registering with your email address.

### STATE PAGE

After a successful login to PATT, you will see your State Page (**Exhibit 3**). From this page, you will be able to download the PATT Instructions and User Guide (this document) and the PATT Excel Spreadsheet. Additionally, you will be able to access the PERM Eligibility Form (Appendix A), which is used to directly input data into PATT and the PERM Eligibility Review Findings Upload Page (**Exhibit 9**) where states can upload completed Excel spreadsheets.

### Exhibit 3. State Page



### ELIGIBILITY SAMPLE, REVIEW & PAYMENT SUBMISSIONS

States are required to submit data to the PETF website on the monthly sample, the eligibility review findings and the payments collected for each sampled case. There will be one form for each month, the PERM Eligibility Review Findings Form (Appendix A), used to complete the three required submissions; at each submission, additional information is entered to complete the form. States have two options when submitting the sample, eligibility review and payment information: (1) enter the data directly on to the PETF website or (2) use the formatted Excel spreadsheet to upload data on to the PETF website. Below we describe each method available to States for data submission as well as the process for submitting data at each phase of the eligibility review (monthly sample, eligibility review and payment review).

#### ***Monthly Sample Report Submission***

States must submit sampled cases for each program for each sample month of the PERM cycle. Both active and negative cases that are sampled in a given month are included on each monthly form. The monthly sample selection report requires basic information about the cases that have been randomly selected for the given sample month. The information required for the sample submission includes:

- State Name
- Date of Submission
- Program (Medicaid or CHIP)
- Sample Month
- Active Universe Total
- Negative Universe Total

- Case or Beneficiary ID
- Universe (Active or Negative)
- Stratum (if applicable)

See Appendix B for specific field definitions and requirements.

This form must be submitted by the 15<sup>th</sup> day of the month after the sample month and **must be submitted before eligibility reviews begin.**

Upon submission of the Monthly Sample Report, the PETT website will review the submission to determine if all required fields have been submitted and if the State has submitted the required number of cases for the program and universe based on the state-specific sample sizes calculated for the program and universe. States will be required to correct any errors identified by the PETT website. **If the submission of the monthly sample report is accepted by the website, the monthly sample has been approved and the State can proceed with the eligibility reviews.**

#### *Using Direct Data Entry for the Monthly Sample Report*

When using the direct data entry option, States will enter the monthly sampled case information directly in the PETT website. From the State Page, users should select the “PERM Eligibility Form” link, which will take the user to the PERM Eligibility Review Findings Form Selection (**Exhibit 4**) page. The State name and the current date will pre-populate. Users should select the Program (Medicaid or CHIP), the sample month and the calendar year (not the fiscal year) the sample was drawn from the universe. Select the type of submission (Sample, Eligibility Review or Payment Review). Then click on “Select Submission Type.”

**Exhibit 4. PERM Eligibility Review Findings Form Selection**

The screenshot shows a web browser window displaying the PERM Eligibility Review Findings Form Selection page. The page has a blue header with the text "Payment Error Rate Measurement" and "PERM Eligibility Tracking Tool". Below the header, there is a navigation bar with "Home", "Logout", "CMS PERM", and "Time remaining: 14:20". The main content area is titled "Payment Error Rate Measurement (PERM) Eligibility Review Findings Form". It contains a "Login/Test" section with a date of "November 6, 2011". Below this are four sections: "A. State", "B. Date", "C. Program", and "D. Sample Month and Year". Each section has a dropdown menu. A "Select Submission Type" button is located at the bottom left of the form area.

When you first access the sample submission form for a specific program and month, you will only see the information necessary for the Sample Report with No Stratification (**Exhibit 5**) or the Sample Report with Stratification (**Exhibit 6**). (**Note:** States will only see the Sample Report with Stratification if they identified in their sampling plan that they will be stratifying the active case universe.) Although Eligibility Category is listed, it is not necessary to complete until the Eligibility Review submission.

**Exhibit 5. Sample Report with No Stratification**

The screenshot shows a web browser window with the URL 'http://msbpc.org'. The page title is 'Payment Error Rate Measurement (PERM) Eligibility Review Findings Form'. The page includes a navigation bar with 'Home', 'Logout', 'CMS PERM', and 'Time remaining: 52:49'. Below the title, there are buttons for 'Save as Draft', 'Submit', and 'Print'. A link says 'click here to select another program, sample month, or submission type'. The 'Submission Type: Sample' section contains the following fields:

- A. State: Iowa
- B. Date: June 5, 2011
- C. Program: CHIP
- D. Sample Month and Year: May 2011
- E. Active Universe Total: [input field]
- F. Negative Universe Total: [input field]

Below these fields is a table with three columns: 'Case ID', 'Eligibility Category', and 'Universe'. The 'Universe' column has a dropdown menu with 'Select Universe' and 'Print Universe' options.

**Exhibit 6. Sample Report with Stratification**

The screenshot shows a web browser window with the URL 'http://msbpc.org'. The page title is 'Payment Error Rate Measurement (PERM) Eligibility Review Findings Form'. The page includes a navigation bar with 'Home', 'Logout', 'CMS PERM', and 'Time remaining: 13:13'. Below the title, there are buttons for 'Save as Draft', 'Submit', and 'Print'. A link says 'click here to select another program, sample month, or submission type'. The 'Submission Type: Sample' section contains the following fields:

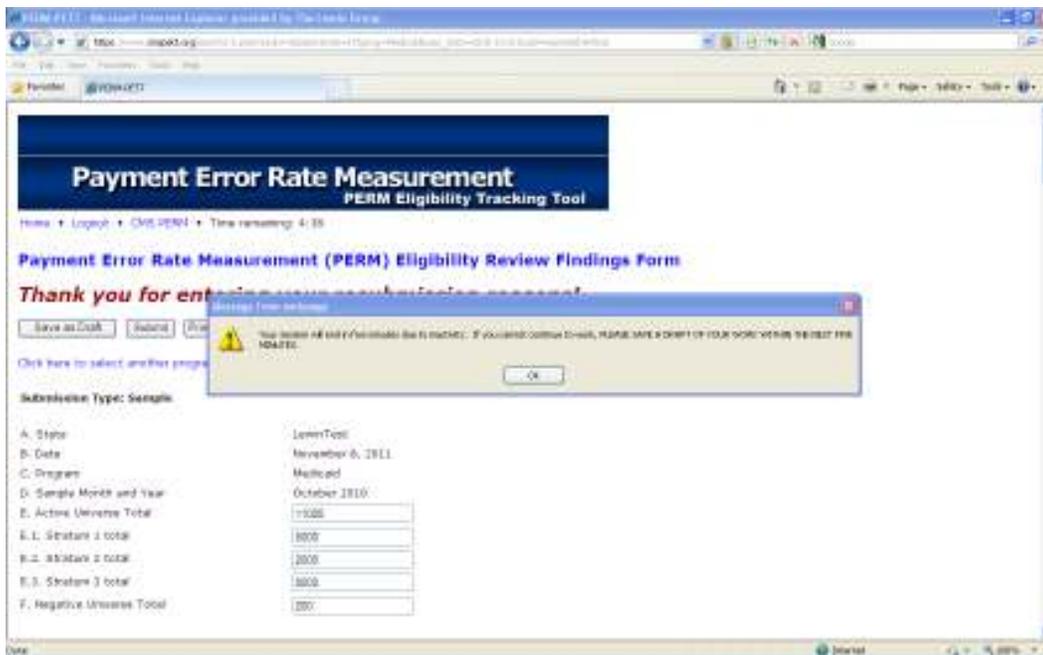
- A. State: ILLINOIS
- B. Date: November 8, 2011
- C. Program: Medicaid
- D. Sample Month and Year: July 2011
- E. Active Universe Total: [input field]
- E.1. Stratum 1 total: [input field]
- E.2. Stratum 2 total: [input field]
- E.3. Stratum 3 total: [input field]
- F. Negative Universe Total: [input field]

Below these fields is a table with four columns: 'Case ID', 'Eligibility Category', 'Universe', and 'Stratum (only complete if stratifying)'. The 'Universe' and 'Stratum' columns have dropdown menus with 'Select Universe' and 'Print Universe' options.

You can enter the data on the form and “Save as Draft” if the data submission is incomplete or not finalized. The information will be saved but is not considered an official submission. Data saved as draft can be changed without giving a reason.

**Note:** When you are entering data, you should click on “Save as Draft” often. For security reasons, users are logged off the PETT website automatically after 15 minutes of inactivity. Inactivity occurs when you stay on the same web page. To be considered “active” by the website, users entering data need to select the Save as Draft option at least every 15 minutes to restart the counter. Alternatively, go to a different page on the PETT website to restart the counter. There is a warning message when there are 5 minutes remaining in your session telling you to save a draft of your work (**Exhibit 7**).

**Exhibit 7. Warning Message to Save As Draft**



When you click on “Save as Draft”, you will get a message the draft submission has been saved for the specific month and year (**Exhibit 8**).

**Exhibit 8. Save As Draft**

The screenshot shows a web browser window with the title "PERM-PTT: Microsoft Internet Explorer, provided by The Lewis Group". The address bar shows "http://mspcr.org". The page content includes a header "Payment Error Rate Measurement PERM Eligibility Tracking Tool" and a sub-header "Payment Error Rate Measurement (PERM) Eligibility Review Findings Form". A prominent message in red text states "Draft Submission Saved for October 2010!". Below this message are buttons for "Save as Draft", "Submit", and "Over". A link "Click here to select another program, sample month, or submission type." is also present. The "Submission Types Sample" section contains a table with the following data:

A. State	Univertec
B. Date	November 8, 2011
C. Program	Medicaid
D. Sample Month and Year	October 2010
E. Active Universe Total	11000
E.1. Stratum 1 total	1000
E.2. Stratum 2 total	1000
E.3. Stratum 3 total	8000
F. Negative Universe Total	000

At the bottom, there are input fields for "Case ID" (value: 11), "Disability Category" (value: Non), "Universe" (value: Active), and "Stratum (only complete if stratifying)" (value: 1)Acquisition.

### *Using the Upload Option for the Monthly Sample Report*

Users who want to upload eligibility data to the website must first download the formatted PETT Excel Spreadsheet from the State Page. The Excel spreadsheet format should **not** be modified; otherwise, the data may not load properly. When ready to upload, click on “PERM Eligibility Upload” on the State Page. You will see the PERM Eligibility Review Findings Upload Page (**Exhibit 9**).

**Exhibit 9. PERM Eligibility Review Findings Upload Page**



Click the “Browse” button to choose the file to upload. Select the type of submission (Sample, Eligibility Review or Payment Review). Then click on “Upload.” You will see the form as if you had entered the data online and saved as draft (**Exhibit 10**). Check to make certain the data uploaded properly. You can change any of the information as if you had entered the data directly on the website.

At this point, data can be directly edited in the PETT site. However, if you make changes online and plan to continue using the PETT Excel Spreadsheet for that month for a subsequent submission (e.g., plan to use spreadsheet to upload Eligibility Reviews), be sure to make the same changes in the PETT Excel Spreadsheet.

## Exhibit 10. Upload Saved as Draft

The screenshot shows a web browser window displaying the "Payment Error Rate Measurement PERM Eligibility Tracking Tool". The page title is "Payment Error Rate Measurement (PERM) Eligibility Review Findings Form" and it indicates a "Draft Submission Saved for October 2010!". There are buttons for "Save as Draft", "Submit", and "Print". Below this, there is a section for "Submission Type: Sample" with a list of fields: A. State, B. Date, C. Program, D. Sample Month and Year, E. Active Universe Total, H.L. Stratum 1 total, E.L. Stratum 2 total, S.L. Stratum 3 total, and F. Negative Universe Total. Each field has a corresponding input box or dropdown menu. At the bottom, there are fields for "Case ID", "Eligible Category", "Universe", and "Stratum (only complete if stratifying)".

### *Submitting the Monthly Sample Report*

When you have entered all the necessary information for the submission or uploaded the Excel file with the necessary information, States should confirm that the data is correct and click on "Submit." You will be asked to confirm the submission (**Exhibit 11**).

## Exhibit 11. Confirm Submission

The screenshot shows the same web browser window as Exhibit 10, but the page title is "Confirm Submission of Sample". The main heading is "Confirm Submission of Sample" and the text asks, "Are you sure you want to submit this data for your Sample Report for October 2010?". There are two buttons: "Yes" and "No".

If you click on “No,” you will get a message that the data was not submitted (**Exhibit 12**). If you click “Yes,” the website will check the form for missing or invalid entries. Whenever data is officially submitted using the “Submit” button, the website conducts error checks. If an error is made, the program will give you an error message (**Exhibit 13**). You should correct the errors and click on “Submit.” If you do not have the necessary information to correct the errors, click on “Save as Draft.”

**Exhibit 12. Data Not Submitted**

The screenshot shows a web browser window with the title "PERM ECT" and the URL "http://www.dhs.gov/perm-ect". The page is titled "Payment Error Rate Measurement (PERM) Eligibility Review Findings Form". A prominent red message states: "Your data has not been submitted for your Sample Report for October 2010". Below this message are buttons for "Save as Draft", "Submit", and "Print". A link is provided: "Click here to select another program, change month, or submission type." The form includes a "Submission Type: Sample" section with the following fields:

A. State	Submitted:
B. Data	November 8, 2011
C. Program	Medicaid
D. Sample Month and Year	October 2010
E. Active Universe Total	17000
E.I. Stratum 1 total	1000
E.II. Stratum 2 total	2000
E.III. Stratum 3 total	8000
F. Negative Universe Total	200

At the bottom, there are fields for "Data ID" (value: 1), "Eligibility Category" (value: No), "Universe" (value: Active), and "Stratum (only complete if stratifying)" (value: Application).

### Exhibit 13. Sample Report Error Message Example

The screenshot shows a web browser window with the title "PERM-RTT - Microsoft Internet Explorer, provided by The Levels Group". The address bar shows "http://mspcot.org". The page title is "Payment Error Rate Measurement (PERM) Eligibility Review Findings Form". A red error message at the top reads: "Please see error message(s) below in red. If you cannot correct these errors now, please click Save as Draft." Below this, another red message states: "You must enter a sample size of at least 5 active cases to submit this sample for Medicaid." The form contains several input fields and dropdown menus. Fields for "Stratum 1 total" and "Stratum 2 total" are highlighted in red with the message "Stratum 1 total must not be blank." and "Stratum 2 total must not be blank." respectively. A table at the bottom has columns for Case ID, Eligibility Category, Universe, and Stratum. The first row shows Case ID "1", Eligibility Category "Med", Universe "Select Universe", and Stratum "Select Stratum". A red message "Please select Universe." is below the first row, and "Please select stratum." is below the second row.

If the validity checks are met, you will receive a message that the form was submitted for the specific month and year (Exhibit 14). Once this message is received, States can proceed with the eligibility reviews for the given sample month.

### Exhibit 14. Sample Report Submitted

The screenshot shows the same web browser window as Exhibit 13. The page title is "Payment Error Rate Measurement (PERM) Eligibility Review Findings Form". A blue banner at the top reads "Payment Error Rate Measurement PERM Eligibility Tracking Tool". Below the banner, there is a navigation bar with "Home", "Logout", and "CMS PERM". A red message in the center of the page reads: "Sample Report Approved for June 2011!". The form fields are now populated with different values: "Date" is "November 6, 2011", "Sample Month and Year" is "June 2011", "Active Universe Total" is "10000", "Stratum 1 total" is "2000", "Stratum 2 total" is "1000", and "Stratum 3 total" is "1000". The table at the bottom now shows Case ID "10346", Eligibility Category "Med", Universe "Active", and Stratum "Blank (for Stratification)".

### ***Making Changes to the Monthly Sample Selection Submission***

Once data is officially submitted using the “Submit” button, it can be changed and resubmitted. You will be asked to give the reason for each change (**Exhibit 15**). (**Note:** States are able to make changes to data submitted to PETT at any time and after any submission of data.)

The three monthly reporting forms (Monthly Sample Selection, Eligibility Case Review Findings and Payment Review Findings) are not independent. The data that will be used for the summary reports and calculator will be the information that is in the last Payment Review Findings submission. If a State needs to make a change on a submission (e.g., Monthly Sample Selection report) but has already submitted a subsequent reporting form (e.g. Eligibility Review Findings or Payment Review Findings report), the State should make the change on the reporting form that was most recently submitted by the State for a given sample month.

### **Exhibit 15. Resubmission Reason Request**

The image is a screenshot of a web browser displaying the PERM Eligibility Tracking Tool. The page title is "Payment Error Rate Measurement PERM Eligibility Tracking Tool". There are navigation links for "Home", "Logout", and "CMS PERM". A timer shows "Time remaining: 14:15". The main heading is "Request for Reasons for Resubmission of Data". Below this, a red banner reads "Sample Report Approved for June 2011!". The text states: "It appears that you have modified data that was previously submitted. In the text box below, please provide the reasons why the following value(s) were changed:". A specific example is given: "The value for Case ID, row 1, was changed from 12345 to 12343". There is a large empty text box for the user to provide reasons, and a "Submit" button at the bottom left of the form area.

### ***Printing the Monthly Sample Report***

You can click on “Print” at any time and the current form will be directed to your local printer. (**Note:** States are able to print reports after any submission of data whether in draft or final form.)

### ***Eligibility Review Findings Report Submission***

States submit one Eligibility Review Findings Report for each program in each month of the sampling timeframe. The information required for the Eligibility Review submission includes:

- Eligibility Category
- Case Action
- Review Month
- Review Finding

- Cause of Error

See Appendix B for specific field definitions and requirements.

***Using Direct Data Entry for the Eligibility Review Findings Report***

When you click on the “PERM Eligibility Form” link and select Eligibility Review from the dropdown box, you will see the fields required for the Eligibility Review Findings submission (see Exhibit 16).

***Using the Upload Option for the Eligibility Review Findings Report***

After updating the Excel spreadsheet with the required information for the Eligibility Review Findings Report, click on the “PERM Eligibility Upload” link, select Eligibility Review from the dropdown box and click on “Upload.” You will see the form as if you had entered the data online and saved as draft (including all data that was submitted at the time of the Monthly Sample Selection submission). Check to make certain the data uploaded properly. You can change any of the information as if you had entered the data directly on the website.

**Exhibit 16. Eligibility Review Findings Report**

The screenshot shows a web browser window displaying the 'Payment Error Rate Measurement (PERM) Eligibility Tracking Tool'. The page title is 'Payment Error Rate Measurement (PERM) Eligibility Review Findings Form'. There are buttons for 'Save as Draft', 'Submit', and 'Print'. Below the buttons, there is a link: 'Click here to select another program, sample month, or submission type.' The 'Submission Type' is set to 'Eligibility Review'. The form contains several fields for data entry:

- A. State: LaveTest
- B. Date: November 6, 2011
- C. Program: Medicaid
- D. Sample Month and Year: October 2009
- E. Active Unenroll Total: 11300
- E.1. Stratum 1 total: 7000
- E.2. Stratum 2 total: 2000
- E.3. Stratum 3 total: 2000
- F. Negative Unenroll Total: 200

At the bottom, there is a table with columns: Case ID, Eligibility Category, Unenroll, Stratum (only complete if stratified), Case Action, Review Month, Review Finding, and Date of Error. The table contains two rows of data:

Case ID	Eligibility Category	Unenroll	Stratum (only complete if stratified)	Case Action	Review Month	Review Finding	Date of Error
1	NA	Active	1 (Applicants)	Application	October	E	
2	JA	Active	2 (Medicaid/AMI)	Redetermination	October	IE	10/31/09

### *Submitting the Eligibility Review Findings Report*

When you have completed all information necessary for the Eligibility Review Findings Report submission, by direct data entry or by data upload, click on “Submit.” You will be asked to confirm the submission. If you click “Yes,” the website conducts a standardized series of error checks to confirm that all required fields are complete and that information is entered appropriately. If an error was made, the program will give you an error message. You should correct the errors and click on “Submit.” If you do not have the necessary information to correct the errors, click on “Save as Draft.” If there are no errors, you will get a message that the Eligibility Review Report was submitted for the specific month and year (**Exhibit 17**).

**Exhibit 17. Eligibility Review Report Submitted**

The screenshot shows a web browser window displaying the "Payment Error Rate Measurement (PERM) Eligibility Tracking Tool". The main heading is "Payment Error Rate Measurement (PERM) Eligibility Review Findings Form". Below this, a red banner reads "Eligibility Review Report Submitted for October 2010!". There are buttons for "Save as Draft", "Submit", and "Print". A link is provided to "Click here to select another program, sample month, or submission type." The "Submission Type: Eligibility Review" section contains the following data:

A. State	LowriTest
B. Date	November 9, 2010
C. Program	Medicaid
D. Sample Month and Year	October 2010
E. Active Universe Total	11200
E.1. Stratum 1 total	7000
E.2. Stratum 2 total	3000
E.3. Stratum 3 total	3000
F. Negative Universe total	300

Below the data is a table with columns: Case ID, Eligibility Category, Universe, Stratum (only complete if Applicable), Case Action, Review Month, Review Finding, and Case of Error. The first row shows Case ID 1, Eligibility Category 100, Universe Active, Stratum 1 (Applicable), Case Action Approver, Review Month October, Review Finding E, and Case of Error.

### *Making Changes to the Eligibility Review Findings Report Submission*

Once data is officially submitted using the “Submit” button, it can be changed and resubmitted. You will be asked to give the reason for each change. (**Note:** States are able to make changes to data submitted to PETF at any time and after any submission of data.)

The three monthly reporting forms (Monthly Sample Selection, Eligibility Case Review Findings and Payment Review Findings) are not independent. The data that will be used for the summary reports and calculator will be the information that is in the last Payment Review Findings submission. If a State needs to make a change on a submission (e.g., Monthly Sample Selection report) but has already submitted a subsequent reporting form (e.g. Eligibility Review Findings or Payment Review Findings report), the State should make the change on the reporting form that was most recently submitted by the State for a given sample month.

### ***Printing the Eligibility Review Findings Report Submission***

You can click on “Print” at any time and the current form will be directed to your local printer. (Note: States are able to print reports after any submission of data whether in draft or final form.)

### ***Payment Review Report Submission***

States submit one Payment Review Report for each program in each month of the sampling timeframe. The Payment Review submission includes all Eligibility Review submission information with the addition of:

- Total Dollars
- Total Dollars in Error
- Total Dollars Correct
- Total Dollars Undetermined

See Appendix B for specific field definitions and requirements.

### ***Using Direct Data Entry for the Payment Review Report***

When you click on the PERM Eligibility Form and select Payment Review from the dropdown box, you will see additional information necessary for the Payment Review Report (**Exhibit 18**). States will also be able to update the Review Finding and Cause of Error fields if a payment error is found during the payment review.

### ***Using the Upload Option for the Payment Review Report***

When you click on the PERM Eligibility Upload, select Payment Review and click on “Upload.” You will see the form as if you had entered the data online and saved as draft. Check to make certain the data uploaded properly. You can change any of the information as if you had entered the data directly on the website.

## Exhibit 18. Payment Review Report

**Payment Error Rate Measurement**  
PERM Eligibility Tracking Tool

Home | Logout | CMS PERM | Time remaining: 14:22

**Payment Error Rate Measurement (PERM) Eligibility Review Findings Form**

Save as Draft | Submit | Print

Click here to select another program, sample month, or submission type.

Submission Type: **Payment Review**

A. State: IowaTest  
 B. Date: November 9, 2011  
 C. Program: Medicaid  
 D. Sample Month and Year: December 2009  
 E. Active Universe Total: 800  
 E.L. Status 1 total: 200  
 E.O. Status 2 total: 200  
 E.S. Status 3 total: 200  
 F. Negative Universe Total: 700

Case ID	Eligibility Category	Universe	Status (only complete if stratifying)	Case Action	Review Month	Review Finding	Case of Error	Total Dollars	Total Dollars in Error
1		Active	1 (Applications)	Approver	December	E		200	0
2		Active	2 (Redeterminations)	Redeterminator	December	E		0	0

### *Submitting the Payment Review Report*

When you have completed all information necessary for the Payment Review Report submission, by direct data entry or by data upload, click on “Submit.” The website conducts a standardized series of error checks to confirm that all required fields are complete and that information is entered appropriately. If an error is made, the program will give you an error message. You should correct the errors and click on “Submit.” If you do not have the necessary information to correct the errors, click on “Save as Draft.” If there are no errors, you will get a message that the Payment Review Report was submitted for the specific month and year (Exhibit 19).

## Exhibit 19. Payment Review Report Submitted

**Payment Error Rate Measurement (PERM) Eligibility Review Findings Form**  
**Payment Review Report Submitted for November 2010!**

Save as Draft Submit Print

Click here to select another program, sample month, or submission type.

Submission Type: Payment Review

A. State: Louisiana  
B. Date: November 9, 2010  
C. Program: Medicaid  
D. Sample Month and Year: November 2009

E. Active Universe Total: 1000  
E.1. Status 1 total: 200  
E.2. Status 2 total: 200  
E.3. Status 3 total: 600  
F. Negative Universe Total: 50

Case ID	Eligibility category	Universe	Status (only complete if attached)	Case Action	Review Month	Review Finding	Cases of Error	Total Dollars in Error	Total Dollars in Error
1	ad	Active	1 (Applications)	Application	March	E	1	200	\$
2	ad	Active	2 (Redeterminations)	Redetermination	March	E	1	100	\$
3	id	Active	2 (Redeterminations)	Redetermination	March	E	1	100	\$

### *Making Changes to the Payment Review Findings Report Submission*

Once data is officially submitted using the “Submit” button, it can be changed and resubmitted. You will be asked to give the reason for each change. (**Note:** States are able to make changes to data submitted to PETT at any time and after any submission of data.)

The three monthly reporting forms (Monthly Sample Selection, Eligibility Case Review Findings and Payment Review Findings) are not independent. The data that will be used for the summary reports and calculator will be the information that is in the last Payment Review Findings submission. If a State needs to make a change on a submission (e.g., Monthly Sample Selection report) but has already submitted a subsequent reporting form (e.g. Eligibility Review Findings or Payment Review Findings report), the State should make the change on the reporting form that was most recently submitted by the State for a given sample month.

### *Printing the Payment Review Findings Report Submission*

You can click on “Print” at any time and the current form will be directed to your local printer. (**Note:** States are able to print reports after any submission of data whether in draft or final form.)

## **DROPPED AND OVERSAMPLE CASES**

States are allowed to select both active and negative case oversamples to be used if a case sampled is under active beneficiary fraud or if a case is found to have been inappropriately included in the State’s universe. If States opt to select an oversample, they have an option to either submit the oversampled cases with the rest of their sample or maintain the cases separately, only reporting the oversampled Case IDs if used.

If States opt to submit the oversampled cases with the rest of the monthly sample, the “OVER” option should be selected in the Review Finding field when submitting the eligibility case reviews.

After eligibility reviews have commenced, if a State finds that a case needs to be dropped from the universe, the following steps should be taken:

- (1) Receive approval from CMS and the SC to drop and replace the case
- (2) Identify the case being dropped from the sample by selecting “X” from the Review Finding field
- (3) Update the monthly report with the Case ID being used as the replacement. If the State has already included the oversampled cases with the rest of the sample, change the finding “OVER” to reflect the appropriate finding for the oversampled case being reviewed

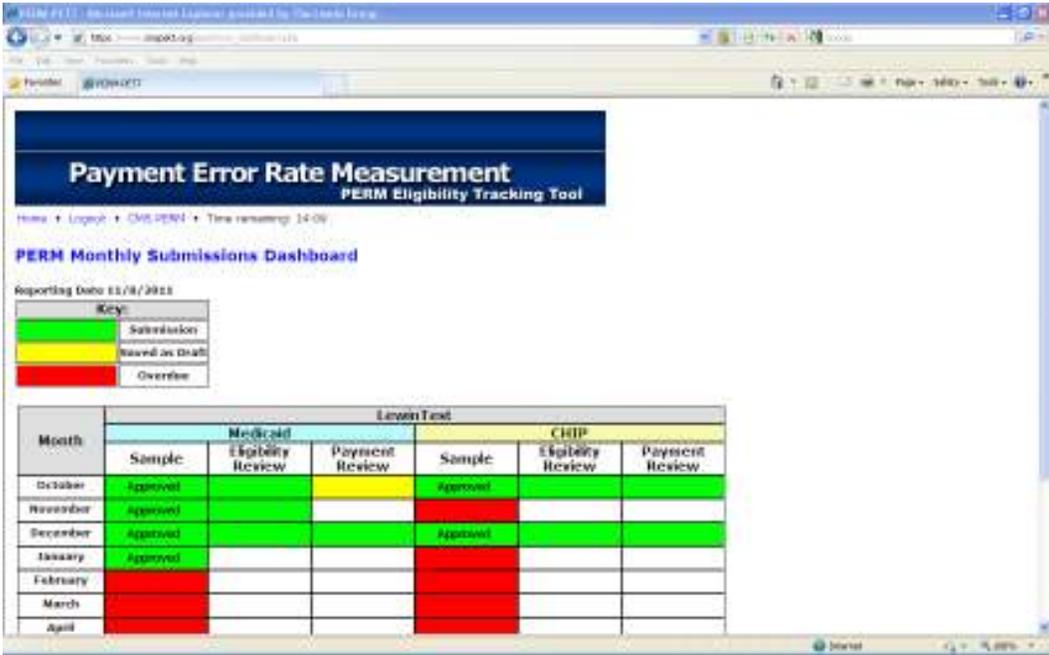
## STATE DASHBOARD

The PETT website also offers States a dashboard that can be used to track the State’s progress throughout the PERM eligibility review process. The dashboard is broken out by program (Medicaid and CHIP), month and report (sample, eligibility review and payment review). The dashboard can be accessed from the State Page by selecting the “PERM Monthly Submissions Dashboard” link.

The dashboard utilizes color coding so that States can easily identify when reporting requirements have been met, when additional information is required and when a deadline for reporting has passed. **Exhibit 20** shows a sample dashboard and the color coding key. The dashboard is green for a specific program, month and report when data has been submitted. For monthly samples only, the dashboard also displays “Approved” when the sample submitted has met all requirements. When the dashboard indicates that a sample has been approved, States can proceed with the eligibility reviews.

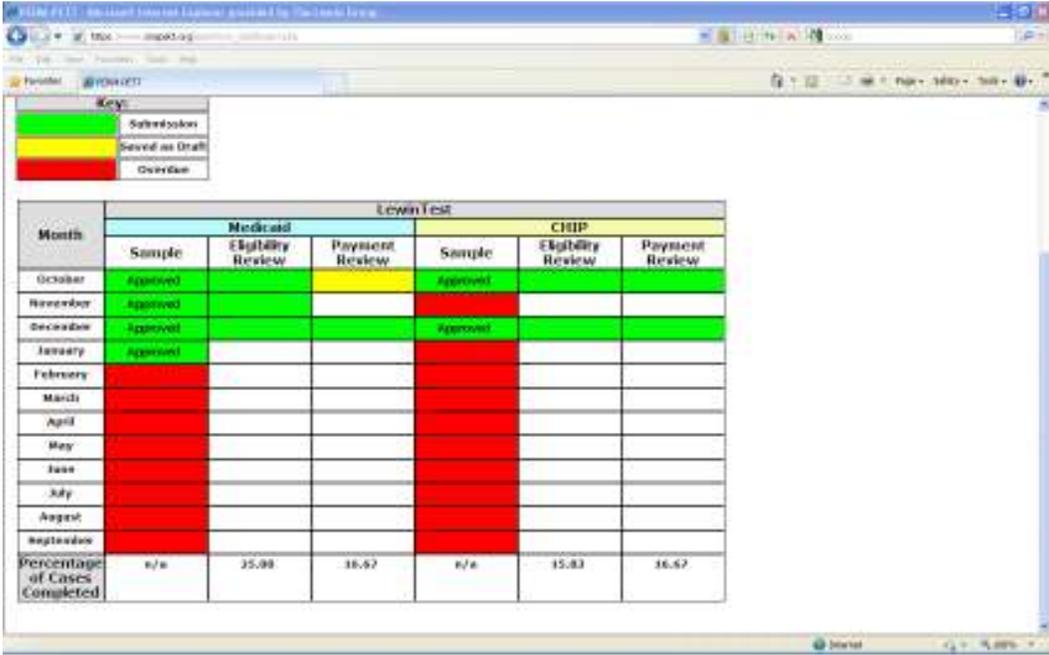
The dashboard is yellow for a specific program, month and report when partial data has been uploaded and/or when States use the “Save as Draft” option. The dashboard is red when any report for a given program and month is overdue.

Exhibit 20. Dashboard Color-coded Key



In addition to tracking submissions by month, the dashboard also calculates percentages of cases completed for eligibility reviews and payments reviews. Exhibit 21 shows the “Percentage of Cases Completed” line of the dashboard. A case is completed if it has all the required information for the type of review; it can be in a month that has been saved as draft or submitted.

Exhibit 21. Percentage of Cases Completed Dashboard Feature



## REVIEWING SUBMITTED DATA

After submission, States can access previously submitted data to review or edit in one of two ways. The first way to review data is to select the “PERM Eligibility Form” link from the State Page and select the Program, Sample Month and Year and the type of submission (Monthly Sample, Eligibility Review Findings, or Payment Review Findings) from the dropdown boxes to locate the report you would like to view.

The second way in which a user can access previously submitted data is directly from the dashboard. Users can double-click on the box of the report under review and will be directed to the report for the program, month and type of submission selected.

## SUMMARY CASE REVIEW FINDINGS FORM

States are required to submit a Summary Case Review Findings form to CMS at the end of each eligibility review cycle. The form can be found in Appendix C and instructions for completing the form can be found in Appendix D. The form includes aggregate-level information on the State’s eligibility universes and samples, including the total dollars associated with sampled cases. The State Medicaid or CHIP director (or designee) in each State is required to sign the form prior to submission to CMS.

The PETF website offers States the option of collecting the information necessary for the Summary Case Review Findings form directly from the data submitted to PETF. To access the data, States should select the “Summary Case Review Findings Form” from the State Page. States will then be asked to select Medicaid or CHIP from the dropdown box. **Exhibit 22** provides a view of a populated Summary Case Review Findings form.

**Exhibit 22. Summary Case Review Findings Form**

The screenshot shows a web browser window displaying the "Payment Error Rate Measurement PERM Eligibility Tracking Tool". The page title is "Summary Case Review Findings". The form is populated with the following information:

- State: Louisiana
- Date: 07/20/2012
- Program: Medicaid

	Number of Cases in Universe	Number of Cases Sampled	Number of Cases Dropped from Sample	Number of Cases Correct	Number of Cases Incorrect	Number of Cases Undetermined	Total Dollars Paid	Total Dollars Correct	Total Dollars in Error	Total Dollars Undetermined
Active	24100	30		27	3	1	1920.00	1500.00	420.00	1200.00
Stratum1	10900	6		6			900.00	900.00	0	0
Stratum2	9000	11		9	1	1	320.00	200.00	120.00	1200.00
Stratum3	11200	8		7	1		700.00	400.00	300	0
Negative	5640	30		12	3					
Denials		8			2					
Terminations		7			1					
Totals	29740	60	0	35	5	1	1920.00	1500.00	420.00	1200.00

## ERROR RATE CALCULATOR

The PETT website has a calculator which can be used to calculate the eligibility error rates. In order for the calculator to function for your State program (Medicaid or CHIP), there has to be at least three months of submitted Payment Review Findings. If there are fewer than three months, you will get a message to try again later.

The calculator can be accessed from the State Page by selecting the link “Go to the PERM Calculator.” You will see a Welcome Page. Click “Start Analysis.” Next, select the program in the dropdown box and click “Submit.” **Exhibit 23** displays the available analyses the calculator can compute.

Select whether to include undetermined cases as errors or without undetermined cases as errors. Please note that the official PERM error rates are calculated with undetermined cases as errors. Select the statistic. You can choose Payment Error Rate, Active Case Rate, Negative Case Rate or Total error and payment by month.

**Exhibit 23. Select Type of Analysis**



The screenshot shows a web browser window titled "PERM-RTT" with the URL "http://msc.mspet.org". The page is titled "PERM Eligibility Tracking Tool" and has a navigation bar with "Home", "Logout", and "CMS PERM". A timer shows "Time remaining: 14:33". The main content area is titled "Select Type of Analysis" and contains five steps:

- Step 1: Your fiscal year: Fiscal year 2011
- Step 2: Your program: Medicaid
- Step 3: Select whether to include undetermined cases as errors (Please note CMS is calculating two eligibility error rates, with and without undetermined cases as errors)
  - with undetermined cases
  - without undetermined cases
- Step 4: State: Lewin Test
- Step 5: Select statistic:
  - Payment Error Rate
  - Active Case Rate
  - Negative Case Rate
  - Total error and payment by month

### *Selecting Payment Error Rate*

You will see output similar to **Exhibit 24** if your State program stratified the active case universe or **Exhibit 25** if your State program did not. For programs with stratified samples, there is information for each Stratum and Overall. For programs that did not stratify, Stratum 99 refers to all active cases and the information will be the same as Overall.

**Exhibit 24. Payment Error Rate (Active Cases Stratified)**

Stratum	Error rate	Standard Error	Projected Payments	Projected Improper Payments	Sample Paid Amount	Sample Error	Number of Sample Cases	Number of Sample Cases in Error
1	0.00	0.00 %	\$2,480,000	\$ 0	\$ 900	\$ 0	4	0
2	62.31	2.37 %	\$ 390,000	\$ 360,000	\$ 1,520	\$ 1,320	5	2
3	49.70	1.56 %	\$1,660,000	\$ 625,000	\$ 700	\$ 300	6	2
<b>Overall</b>	<b>18.27</b>	<b>12.72 %</b>	<b>\$4,530,000</b>	<b>\$1,185,000</b>	<b>\$ 3,120</b>	<b>\$ 1,620</b>	<b>15</b>	<b>4</b>

**Exhibit 25. Payment Error Rate (Active Cases Not Stratified)**

Stratum	Error rate	Standard Error	Projected Payments	Projected Improper Payments	Sample Paid Amount	Sample Error	Number of Sample Cases	Number of Sample Cases in Error
99	45.69	20.81 %	\$70,892,255	\$32,394,077	\$ 14,564	\$ 9,756	30	13
<b>Overall</b>	<b>45.69</b>	<b>20.81 %</b>	<b>\$70,892,255</b>	<b>\$32,394,077</b>	<b>\$ 14,564</b>	<b>\$ 9,756</b>	<b>30</b>	<b>13</b>

**Selecting Active Case Rate**

If your State program stratified the active case universe, output for the active case error rate will be similar to **Exhibit 26**. There is an error rate for each Stratum and Overall. For programs that did not stratify, you will see Stratum 99 (all active cases) and the same information for Overall (see **Exhibit 27**).

Exhibit 26. Active Case Error Rate (Active Cases Stratified)

Select Different State and Program  
Same State and Program Select Different Statistics

Report date : Fiscal year 2011  
Statistics Computed : Active Case Rate  
Error Type : Including Undetermined Cases  
Universe for the analysis : Medicaid LowInTest

**Results**

Stratum	Error rate	Standard Error	Projected Total Cases	Projected Total Cases in Error	Sample Number of Cases	Number of Sample Cases in error
1	0.00 %	0.00 %	8,450	0	4	0
2	84.00 %	4.00 %	2,500	2,100	5	2
3	2.87 %	2.87 %	8,700	250	6	1
<b>Overall</b>	<b>11.94 %</b>	<b>1.37 %</b>	<b>19,650</b>	<b>2,350</b>	<b>15</b>	<b>3</b>

Exhibit 27. Active Case Error Rate (Active Cases Not Stratified)

Payment Error Rate Measurement  
PERM Eligibility Tracking Tool

Home • Logout • CMS PERM • Time remaining: 14:46

Welcome ahaley, you are logged in.

Select Different State and Program  
Same State and Program Select Different Statistics

Report date : Fiscal year 2011  
Statistics Computed : Active Case Rate  
Error Type : Including Undetermined Cases  
Universe for the analysis : Medicaid LowIn

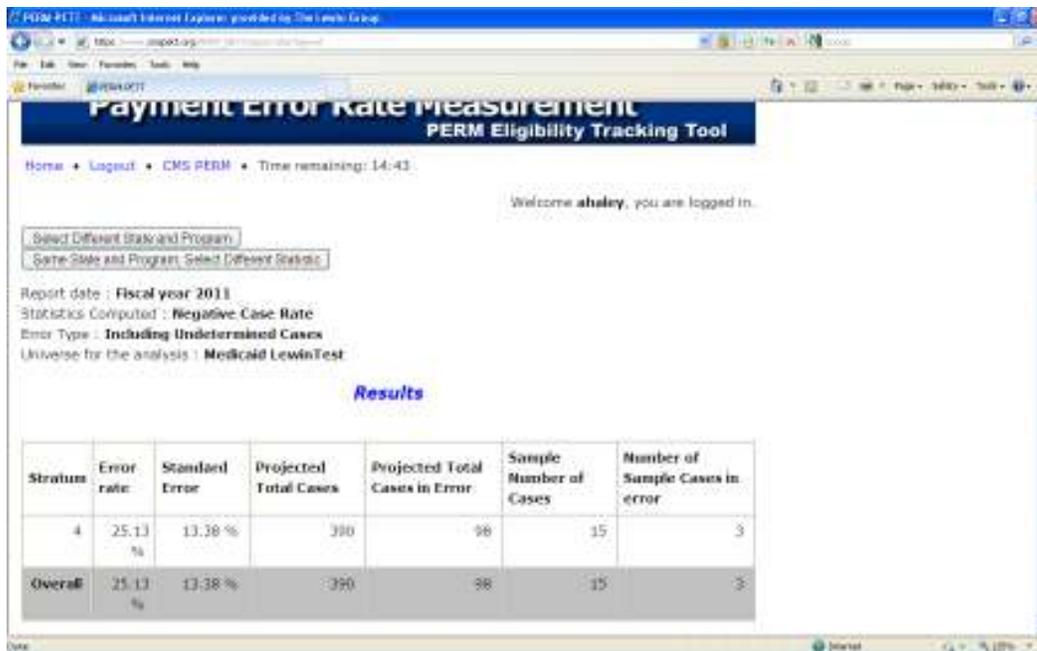
**Results**

Stratum	Error rate	Standard Error	Projected Total Cases	Projected Total Cases in Error	Sample Number of Cases	Number of Sample Cases in error
99	19.41 %	11.49 %	105,893	20,554	30	5
<b>Overall</b>	<b>19.41 %</b>	<b>11.49 %</b>	<b>105,893</b>	<b>20,554</b>	<b>30</b>	<b>5</b>

## Selecting Negative Case Rate

For all programs, the output for the negative case error rate is similar to **Exhibit 28**.

**Exhibit 28. Negative Case Error Rate**



The screenshot shows a web application titled "Payment Error Rate Measurement PERM Eligibility Tracking Tool". The user is logged in as "ahaley". The report is for Fiscal year 2011, with statistics computed for the Negative Case Rate. The error type is "Including Undetermined Cases" and the universe for analysis is "Medicaid LewinTest".

**Results**

Stratum	Error rate	Standard Error	Projected Total Cases	Projected Total Cases in Error	Sample Number of Cases	Number of Sample Cases in error
4	25.13 %	13.38 %	390	98	15	3
<b>Overall</b>	<b>25.13 %</b>	<b>13.38 %</b>	<b>390</b>	<b>98</b>	<b>15</b>	<b>3</b>

### Selecting Total Error and Payment by Month

By selecting “Total Sample Error and Payment by Stratum and month,” States are able to view sample information for each program by each month (see **Exhibit 29**). **Note:** The Number of Dropped Cases are not counted in the Sample Number of Cases which only reflects the number of cases that were reviewed by the State.

**Exhibit 29. Sample Error and Payment by Stratum and Month**

Report date : Fiscal year 2011  
 Statistics Computed : Total Sample Error and Payment by Stratum and Month  
 Error Type : Including Undetermined Cases  
 Universe for the analysis : Medicaid LewinTest

**Results**

Stratum	Month	Universe Number of Cases	Sample Number of Cases	Number of Dropped Cases	Total Sample Payment (\$)	Total Sample Error (\$)	Number of Cases with Payment Error	Number of Cases with Eligibility Error
1	October 2010	8,000	2	0	\$ 500	\$ 500	1	1
1	November 2010	200	1	0	\$ 100	\$ 0	0	0
1	December 2010	200	1	0	\$ 200	\$ 0	0	0
2	October 2010	2,000	1	0	\$ 120	\$ 120	1	1
2	November 2010	200	2	0	\$ 200	\$ 0	0	0
2	December 2010	200	2	0	\$ 1,200	\$ 1,200	1	1

# APPENDIX A: PERM Eligibility Form

Payment Error Rate Measurement (PERM) Eligibility Review Findings Form											OMB Approval #0938-1012		
A. State													
B. Date													
C. Program													
D. Sample Month &													
E. Active Universe Total													
E.1 - Stratum 1 total (if applicable)													
E.2 - Stratum 2 total (if applicable)													
E.3 - Stratum 3 total (if applicable)													
F. Negative Universe Total													
	Case/Beneficiary ID	Eligibility Category	Universe	Stratum (only complete if stratifying)	Case Action	Review Month	Review Finding	Total Dollars	Total Dollars in Error	Total Dollars Correct	Total Dollars Undetermined	Cause of Error	
1													
2													
3													
4													
5													
6													
7													
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25													

## APPENDIX B: PERM Eligibility Review Findings Form Line by Line Instructions

- **Line A: State**

The name of the State is pre-populated on the form if using the Direct Data Entry method. If using the Upload option, select the appropriate State from the drop-down list.

- **Line B: Date**

The current date is pre-populated on the form if using the Direct Data Entry method. If using the Upload option, the current date will populate after you upload the form.

- **Line C: Program**

The program (Medicaid or CHIP) is pre-populated on the form if using the Direct Data Entry method. If using the Upload option, select the appropriate program from the drop-down list.

- **Line D: Sample Month and Year**

The sample month and year is pre-populated on the form if using the Direct Data Entry method. If using the Upload option, select the sample month and year from the drop-down lists.

- **Line E: Active Universe Total**

The Active Universe is the total number of cases in the sample month that are considered eligible for services based on a completed application, redetermination, or are currently on the program rolls. The universe will be unique for each month.

If the State is stratifying active cases, complete E.1, E.2, and E.3.

Enter the total number of active cases during the sample month. For active cases, include the number of cases in each stratum in the respective cell as follows:

- **E.1 - Stratum 1 total** – Enter the total number of Stratum 1 cases during the sample month. A case is in Stratum 1 (Applications) in the month the decision is made to grant eligibility or in the month the eligibility becomes effective, whichever is later.
- **E.2 - Stratum 2 total** – Enter the total number of Stratum 2 cases during the sample month. A case is in Stratum 2 (Redeterminations) in the month the decision is made to continue eligibility or in the month the new period of eligibility becomes effective, whichever is later.
- **E.3 - Stratum 3 total** – Enter the total number of Stratum 3 cases during the sample month. A case is in Stratum 3 (All Other Cases) if the case is on the program in the sample month but does not meet the Strata 1 or 2 criteria.

- **Line F: Negative Universe Total**

The Negative Universe is comprised of all cases denied in the sample month and all cases where the termination is effective in the sample month. The universe will be unique for each month.

- **Case ID**

Enter the case identification (ID) for each sampled case selected from both the active and negative universes. States should use the ID that correlates with the case in the State’s eligibility system. The State may assign a “dummy” case ID to each case to protect personally identifiable information. If the State assigns dummy IDs, a crosswalk between the “dummy” case ID and the actual case ID should be sent on a monthly basis to CMS via secure email or a password-protected CD.

- **Eligibility Category**

The eligibility category is the eligibility coverage program in which the beneficiary is enrolled under Medicaid or CHIP. This information can be completed when you submit the Eligibility Review Report and is not required for Negative Universe cases. For each case, select the appropriate eligibility category from the drop-down list. The Eligibility Category options are provided below.

If the sampled individual is enrolled in more than one category, choose what the state believes is the "primary" category. Note that the "primary" category will not necessarily be based on dollars associated with the case, but instead could be based on the category requested at application.

Example: An individual is enrolled in QMB and Nursing Home Medicaid. Nursing Home is the primary because the applicant is in need of nursing care at the time of application, and is at that time also found eligible for QMB. In this example, QMB is considered the secondary category.

States are also provided an “Other” category if none of the descriptions apply to a sampled case, e.g. a State has a CMS approved waiver and the waiver category does not fit one of the PERM categories.

**Eligibility Category Options**

Families with Dependent Children (General)	SLMB
Caretaker Relative - Categorically Needy	Qualifying Individual
Caretaker Relative - Medically Needy	Qualified Disabled and Working Individuals
Children (All Ages) less than 133% Federal Poverty Limit	Other Full Benefit Dual Eligible (FBDE)
Children (All Ages) Medically Needy	Home and Community-Based Services
Pregnant Woman	Katie Beckett
Newborn	Nursing Home
Unborn Child (Undocumented Pregnant Woman)	Elderly Waivers
Transitional Medicaid	Family Planning Services
Aged, Blind & Disabled Categorically Needy	Women with Breast or Cervical Cancer
Aged, Blind & Disabled Medically Needy	Emergency Services (Including for Non-Citizens)
SSI Recipients (Non-1634 States)	Medicaid expansion

### Eligibility Category Options

Institutional or Hospital Care	CHIP Stand-alone
QMB	Other (None of the Above)

- **Universe**  
For each case, select Active or Negative universe.
- **Stratum (only complete if stratifying)**  
For each case, select Stratum 1 (Applications), Stratum 2 (Redeterminations) or Stratum 3 (All Other Cases).
- **Case Action**  
Identify the last case action on the case that is under review. For Active Cases, enter Application if the action on the case was to grant eligibility based on a completed application or Redetermination if the action on the case was to redetermine eligibility based on a completed redetermination. (**Note:** When submitting data directly into the PETT website, States that stratify will only have to enter this information for Stratum 3 cases; Stratum 1 and Stratum 2 cases are pre-populated on the form based on the data provided in the Stratum field). For Negative Cases, states should select Denial if the action being reviewed is the denial of a new application or Termination if the action being reviewed is termination based on a redetermination of eligibility.
- **Review Month**  
Enter the review month for which eligibility is being verified which may not be the sample month. In general, the review month is the month of the last action. If the last action was more than 12 months prior to the sample month, the review month is the sample month. For Stratum 1 (Applications) and Stratum 2 (Redeterminations) cases, the review month should be the same as the sample month if the decision and effective dates are in the same month. For Negative Universe cases, the review month would be the month a case was denied or terminated.
- **Review Finding**  
Select the letter code for the review finding (e.g., E, NE, EI, MCE1) for each case. The active and negative case review finding codes are defined as follows:

#### *Active Cases*

- **E - Eligible** –A case meets the State’s categorical and financial criteria for receipt of benefits under the program
- **NE - Not eligible** – An individual beneficiary or family is receiving benefits under the program but does not meet the State’s categorical and financial criteria being verified using the State’s documented policy and procedures.
- **EI - Eligible with ineligible services** – An individual beneficiary or family meets the State’s categorical and financial criteria for receipt of benefits under the Medicaid or CHIP program but was not eligible to receive particular services in accordance with the State’s documented policies and procedures

- **U - Undetermined** - The case record lacks or contains insufficient documentation, in accordance with the State's documented policies and procedures, to make a definitive review decision for eligibility or ineligibility
- **L/O - Liability overstated** - The beneficiary overpaid toward an assigned liability amount or cost of institutional care and the State underpaid
- **L/U - Liability understated** - The beneficiary underpaid toward an assigned liability amount or cost of institutional care and the State overpaid
- **MCE1 - Managed care error, Ineligible for managed care** -- Upon verification of residency and program eligibility, the beneficiary is enrolled in managed care but is not eligible for managed care
- **MCE2 - Managed care error, Eligible for managed care but improperly enrolled** -- Beneficiary is eligible for both the program and for managed care but not enrolled in the correct managed care plan as of the month eligibility is being verified
- **X - Dropped** - Case is dropped from the sample. Sampling situations that might cause a State to adjust the sample and the universe after it has already been pulled include when:
  - A case is found to be under active beneficiary fraud investigation
  - A case should have been excluded from the sampling universe but was included inadvertently in the universe and sampled (e.g., a State-only case was sampled)
  - A case was enrolled in Medicaid or CHIP using States' Express Lane Eligibility option, set forth in Section 1902(e)(13) and Section 2107(e)(1) of the Social Security Act (although these cases should be coded in a way that they could be excluded from the sampling universe)

**Note:** If a case is identified in the sample under the above conditions, or other circumstances not listed here that may warrant a drop, please contact CMS and the SC before making a resubmission. This will help CMS identify the scope of any sampling concerns and provide the appropriate guidance for how to proceed.

### *Negative Cases*

- **C - Correct** - The negative case was properly denied or terminated by the State
- **ID - Improper denial** - An application for program benefits was denied by the State for not meeting a categorical and/or financial eligibility requirement but, upon review, is found to be eligible for the tested category or a different category under the program in accordance with the State's documented policies and procedures
- **IT - Improper termination** - During a redetermination, the State determined that an existing beneficiary no longer met the program's categorical and/or financial eligibility requirements and was terminated but upon review is found to have been eligible for the tested category or a different category under the program in accordance with the State's documented policies and procedures
- **X - Dropped** - Case is dropped from the sample. Please contact CMS and the SC when a case needs to be dropped

- **Cause of Error**

Enter the cause of the error for findings other than Eligible or Correct. For each error, select the appropriate cause of error from the drop-down list. The Cause of Error options are provided below.

For cases that are found to have more than one cause of error, CMS leaves discretion to the States to identify the primary cause of error. For cases where more than one aspect of eligibility cannot be verified, the State should select “Eligibility Criteria Cannot be Verified.”

The list of PERM error causes is not all-inclusive. If cases are in error based on agency or client circumstances that are not listed here, States may select one of the “Other” error causes.

<b>Active Case Options</b>	
Income: Client Failed to Report Countable Income	Citizenship/Identification/Residency: Case Record Missing Citizenship/Identity Doc
Income: Agency Failed to Collect Appropriate Income Verification	Citizenship/Identification/Residency: Agency Failed to Accept Appropriate Citizenship/Identification Doc
Income: Agency Miscalculated Countable Income	Citizenship/Identification/Residency: Residency Cannot be Determined
Income: Other	Citizenship/Identification/Residency: Recipient is Not a State Resident
Assets: Agency Failed to Accept Appropriate Asset Verification	Citizenship/Identification/Residency: Other
Assets: Agency Miscalculated Countable Assets	State Procedure: Application is Incomplete
Assets: Client Failed to Report Countable Assets	State Procedure: Missing/Insufficient/Inconsistent Case Notes
Assets: Other	State Procedure: Missing Pregnancy Verification (Eligibility/Technical Error)
Household Composition: Person Improperly Included/Excluded from Budget Group	State Procedure: Beneficiary Premium Payment Miscalculated
Household Composition: Agency Accepted Inappropriate Verification of Household Composition	State Procedure: Recipient in Wrong Medicaid Category
Household Composition: Other	State Procedure: CHIP Case not Properly Screened for Medicaid Eligibility
Third Party Liability (TPL): Client Failed to Report TPL	State Procedure: Agency Failed to Accept Appropriate Self Declaration
Third Party Liability (TPL): TPL Failed to Pay Applicable Medical Expenses	State Procedure: Other
Third Party Liability (TPL): Client Ineligible Due to TPL	Eligibility Criteria Cannot be Verified
Third Party Liability (TPL): Other	

Negative Case Options	
Recipient Not Given 10 Day Advance Notice	Case Not Evaluated for Transitional Medicaid/Medicaid Extension
Notice had Incorrect Denial/Termination Reason	Case Terminated Without Evaluation for Other Medicaid Category
Missing Case Record	Other
Agency Failed to Act on Timely Verification	

- **Total Dollars**

For all Active Universe cases except those with a Review Finding of Undetermined (U) or Liability Overstated (L/O), enter the total dollars for claims the State paid for services received in the sample month for each case.

Place a zero in this column if the review finding for the case is Undetermined.

For Liability Overstated (L/O) cases, enter the dollars the State paid but do not include the dollars the beneficiary paid. This is the only instance where Total Dollars equals the Total Dollars Correct (the amount the State should have paid) minus the Total Dollars in Error (the amount the beneficiary overpaid). Example: A State made a payment of \$150 and the recipient paid \$40 but should have only paid \$10. Total Dollars equals \$150; the Total Dollars Correct (\$180) minus Total Dollars in Error (\$30).

- **Total Dollars in Error**

For all Active Universe cases not found to be Undetermined, enter the amount of payment that is in error based on each case's:

- Ineligibility for services received
- Ineligibility for the program
- Liability overstated or understated
- Ineligibility for managed care
- Eligibility for managed care but enrollment in the wrong managed care plan (e.g., the difference in the amount managed care capitation payment for which the case is eligible, if any)

Enter the portion of the total payments, in whole or in part, that was in error for each sampled case. Place a zero in this column if there is no payment amount in error or if the review finding for the case is Undetermined.

For Liability Overstated (L/O) cases, enter the dollars the beneficiary paid in error. Example: A State made a payment of \$150 and the recipient paid \$40 but should have only paid \$10. Total Dollars in Error equals \$30.

- **Total Dollars Correct**

For all Active Universe cases except those with a Review Finding of Undetermined (U) or Liability Overstated (L/O), a correct payment amount is a payment to a provider, insurer or managed care organization based on the case's eligibility for the program and for the services received under the coverage group under which the case is eligible as defined in the State's plan.

- For fee-for-service cases, enter the total amount of dollars paid for the beneficiary based on claims for services received at any time through the sample month and paid in that month or the four subsequent months, allowing 60 days for adjustments
- For managed care cases, enter the capitated amount paid for the case. All managed care payments for the sample month are included regardless of the actual payment date so long as the payment dates fall within the sample month and are paid by the end of the fourth subsequent month after the sample month. Prospective capitation payments are also included in the payment review so long as the prospective payment is applied to the beneficiary's coverage in the sample month

Enter the portion of the payments, in whole or in part, as appropriate, that were correct for each sampled case. Place a zero in this column if there is no correct payment amount.

Place a zero in this column if the review finding for the case is Undetermined.

For Liability Overstated (L/O) cases, the Total Dollars Correct equals the Total Dollars (the amount the State paid) plus the Total Dollars in Error (the amount the beneficiary overpaid). The State paid too little and the Total Dollars Correct is the amount the State should have paid.

**Example:** A State made a payment of \$150 and the recipient paid \$40 but should have only paid \$10. Total Dollars Correct equals \$180; the Total Dollars (\$150) plus Total Dollars in Error (\$30).

- **Total Dollars Undetermined**

For all Active Universe cases that are found to be Undetermined (based on a case not having the verification necessary to make an eligibility review decision), enter the total amount of payments associated with the case. Place a zero in this column if the case is not undetermined.

**Note:** While reported separately on the PETT website, Total Dollars Undetermined are included in the error rate calculations. Total Dollars Undetermined are combined with Total Dollars to obtain the Sample Paid Amount. Total Dollars Undetermined are combined with Total Dollars in Error to obtain the Sample Error Amount. (On the PETT website, States also have the option to calculate the error rates with undetermined cases excluded as errors. In those instances, Total Dollars Undetermined are not added to Total Dollars in Error.)

Leave payment columns blank if a case is dropped and leave payment columns blank for all negative cases.

## APPENDIX C: PERM Eligibility Summary Case Review Findings Form

### Payment Error Rate Measurement (PERM) Eligibility Reviews Summary Findings

<b>A. State</b>										
<b>B. Date</b>										
<b>C. Program</b>										
	<b>Number of Cases in Universe</b>	<b>Number of Cases Sampled</b>	<b>Number of Cases Dropped from Sample</b>	<b>Number of Cases Correct</b>	<b>Number of Cases Incorrect</b>	<b>Number of Cases Undetermined</b>	<b>Total Dollars Paid</b>	<b>Total Dollars Correct</b>	<b>Total Dollars in Error</b>	<b>Total Dollars Undetermined</b>
<b>D. Active</b>										
<b>Stratum 1</b>										
<b>Stratum 2</b>										
<b>Stratum 3</b>										
<b>E. Negatives</b>										
<b>Denials</b>										
<b>Terminations</b>										
<b>F. Totals</b>										

I certify that this information is accurate and that the State will maintain the sampled case records used in the calculation of the eligibility error rate for a minimum period of three years from this date. I understand that this information may be subject to Federal review and that our sampled case records are subject to Federal audit.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

State Medicaid or CHIP Director or Designee

## APPENDIX D: PERM Eligibility Summary Case Review Findings Form Line by Line Instructions

- **Line A: State**

Enter the name of the State participating in the PERM program that is submitting this report.

- **Line B: Date**

Enter the date the Summary Findings form is being submitted to CMS (e.g. July 1, 2010).

- **Line C: Program**

Enter the program for which the Summary Findings form applies (e.g. Medicaid or CHIP).

- **Line D: Active**

Enter information on all active cases from across the twelve sampling months of the PERM cycle. An active case is a case containing information on beneficiaries who are enrolled in the Medicaid or CHIP program in the sample month.

- Stratum 1 – Applications: Enter information on all Stratum 1 active cases from across the twelve sampling months of the PERM cycle.
- Stratum 2 – Redeterminations: Enter the information on all Stratum 2 active cases from across the twelve sampling months of the PERM cycle.
- Stratum 3 – All Other Cases: Enter the information on all Stratum 3 active cases from across the twelve sampling months of the PERM cycle.

Please note that the rows with the three eligibility strata are not used if a State decides not to stratify the eligibility universes and samples.

- **Line E: Negative**

Enter the appropriate information on all negative cases from across the twelve sampling months of the PERM cycle. A negative case is a case containing information on a beneficiary who applied for benefits and was denied or whose program benefits were terminated based on the State agency's eligibility determination.

- Denials: Enter the appropriate information on all cases where the State rejected an application for not meeting categorical and financial eligibility requirements.
- Terminations: Enter the appropriate information on all cases where the State took an action to termination program eligibility when an existing beneficiary no longer meets eligibility requirements.

- **Line F: Totals**

Enter the total number of cases and dollars in each column. For example, in column one, sum the total number of active cases and the total number of negative cases and in column two, sum the total number of active and negative cases sampled.

For each row described above, enter the appropriate numbers in each column as follows:

- **Number of Cases in the Universe Column**

Enter the number of cases in the universe subject to sampling for the months reviewed throughout the fiscal year. These cells should be left blank in the Denials and Terminations rows because States are not required to collect this level of information.

- **Number of Cases Sampled Column**

Enter the number of cases sampled in each of the categories described in the rows above (when applicable).

- **Number of Cases Dropped from Sample**

Enter the number of cases excluded from the sample due to the acceptable reasons given in the PERM eligibility guidance in each of the categories described in the rows (when applicable). These should equal the number of dropped cases reported on the monthly PERM Eligibility Review Findings form.

**Note:** In the Summary Review Findings form on PETT, the Number of Dropped Cases are not counted in the Sample Number of Cases which only reflects the number of cases that were reviewed by the State.

- **Number of Cases Correct Column**

Enter the number of cases deemed to be correct through the PERM eligibility reviews in each of the categories described in the rows (when applicable).

For active cases, the column should equal the number of cases reported on the PERM Eligibility Review Findings forms completed throughout the fiscal year with a review finding of E-eligible, EI-eligible with ineligible services, L/O-liability overstated, L/U-liability understated, MCE1-managed care error, ineligible for managed care or MCE2-eligible for managed care, but improperly enrolled.

The State should not include any cases with a review finding of U - undetermined in this column.

For negative cases, the column should equal the number of denied and terminated cases reported on the PERM Eligibility Review Findings forms completed throughout the fiscal year with a review finding of C - correct.

- **Number of Cases Incorrect Column**

Enter the number of cases deemed to be incorrect through the PERM eligibility review in each of the categories described in the rows.

For active cases, the column should equal the number of cases reported on the PERM Eligibility Review Findings forms completed throughout the fiscal year with a review finding of NE - not eligible.

The State should not include any cases with a review finding of U - undetermined in this column.

For negative cases, the column should equal the number of cases reported on the PERM Eligibility Review Findings forms completed throughout the fiscal year with a review finding of either ID - incorrect denial or IT - incorrect termination.

- **Number of Cases Undetermined Column**

Enter the number of cases for which the State was unable to determine eligibility in each of the rows (when applicable).

For active cases, the column should equal the number of cases reported on the PERM Eligibility Review Findings forms completed throughout the fiscal year with a review finding of U- Undetermined.

The cells should be left blank in the Negative, Denials and Terminations rows because Undetermined review findings do not apply to negative cases.

- **Total Dollars Paid Column**

Enter the total dollars paid that corresponds with each of the categories described in the rows (when applicable).

The cells should be left blank for Undetermined cases which are reported separately.

The cells should be left blank in the Negative, Denials and Terminations rows because payment reviews are not completed for negative cases.

- **Total Dollars Correct Column**

Enter the total dollars paid correctly that corresponds with each of the categories described in the rows (when applicable).

The cells should be left blank for Undetermined cases which are reported separately.

The cells should be left blank in the Negatives, Denials and Terminations rows because payment reviews are not completed for negative case.

- **Total Dollars in Error Column**

Enter the total dollars paid in error that corresponds with each of the categories described in the rows (when applicable).

The cells should be left blank for Undetermined cases which are reported separately.

The cells should be left blank in the Negatives, Denials and Terminations rows because payment reviews are not completed for negative cases.

- **Total Dollars Undetermined Column**

Enter the total dollars associated with all cases cited as Undetermined for each of the categories described in the rows (when applicable).

The cells should be left blank in the Negative, Denials and Terminations rows because payment reviews are not completed for negative cases and undetermined cases are not associated with negative cases.

## APPENDIX E: PERM Eligibility Medicaid and CHIP Timeline

PERM Eligibility Timeline for Medicaid and CHIP														
Process			Quarter 1			Quarter 2			Quarter 3			Quarter 4		
	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept
Pre-Cycle	States submit Sampling Plans-- August 1	CMS sampling plan review	States take action to implement approved sampling plans											
Sample Selection				Select October Sample: Due November 15	Select November Sample: Due December 15	Select December Sample: Due January 15	Select January Sample: Due February 15	Select February Sample: Due March 15	Select March Sample: Due April 15	Select April Sample: Due May 15	Select May Sample: Due June 15	Select June Sample: Due July 15	Select July Sample: Due August 15	Select August Sample: Due September 15
Eligibility Review							October Eligibility Review Findings: Due March 31	November Eligibility Review Findings: Due April 30	December Eligibility Review Findings: Due May 31	January Eligibility Review Findings: Due June 30	February Eligibility Review Findings: Due July 31	March Eligibility Review Findings: Due August 30	April Eligibility Review Findings: Due September 31	
Payment Review									October Payment Review Findings: Due May 15	November Payment Review Findings: Due June 15	December Payment Review Findings: Due July 15	January Payment Review Findings: Due August 15	February Payment Review Findings: Due September 15	
PERM Eligibility Timeline for Medicaid and CHIP--Continued														
Sample Selection			Select September Sample: Due October 15											
Eligibility Review			May Eligibility Review Findings: Due October 31	June Eligibility Review Findings: Due November 30	July Eligibility Review Findings: Due December 31	August Eligibility Review Findings: Due January 31	September Eligibility Review Findings: Due February 28							
Payment Review			March Payment Review Findings: Due October 15	April Payment Review Findings: Due November 15	May Payment Review Findings: Due December 15	June Payment Review Findings: Due January 15	July Payment Review Findings: Due February 15	August Payment Review Findings: Due March 15	September Payment Review Findings: Due April 15					
Post Cycle										States must finalize all eligibility reviews, payment reviews and appeal results.	Finalized Error Findings: Due July 1			