

State User Budget Neutrality Playbook

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Purpose

Beginning in 2018, CMS adopted usage of a Budget Neutrality Workbook – an Excel file – to standardize how all states provide budget neutrality information. Standardized information makes it possible for CMS to develop future budget neutrality reports with consolidated and standardized information. Instead of a time-consuming process to extract this information from deliverable reports, the data is readily available in a consistent format.

The Budget Neutrality Workbook allows CMS and the state to review a summary of the total costs associated with Medicaid Eligibility Groups for an 1115 demonstration. The workbook compares the actual costs associated with a demonstration (the With Waiver scenario) and the projected costs if the demonstration was not in place (the Without Waiver scenario) and calculates the variance.

The previous Budget Neutrality Workbook template was rolled out to states beginning in 2018. Starting in November 2023, an updated version of the template (version 2.14) is being prepared for states to use.

This playbook can be used by a State User as a reference about both the process and the specific tasks for which a State User is responsible.

Overview of the Process

The following flow diagram shows the key steps in the Budget Neutrality Workbook population and submission process.

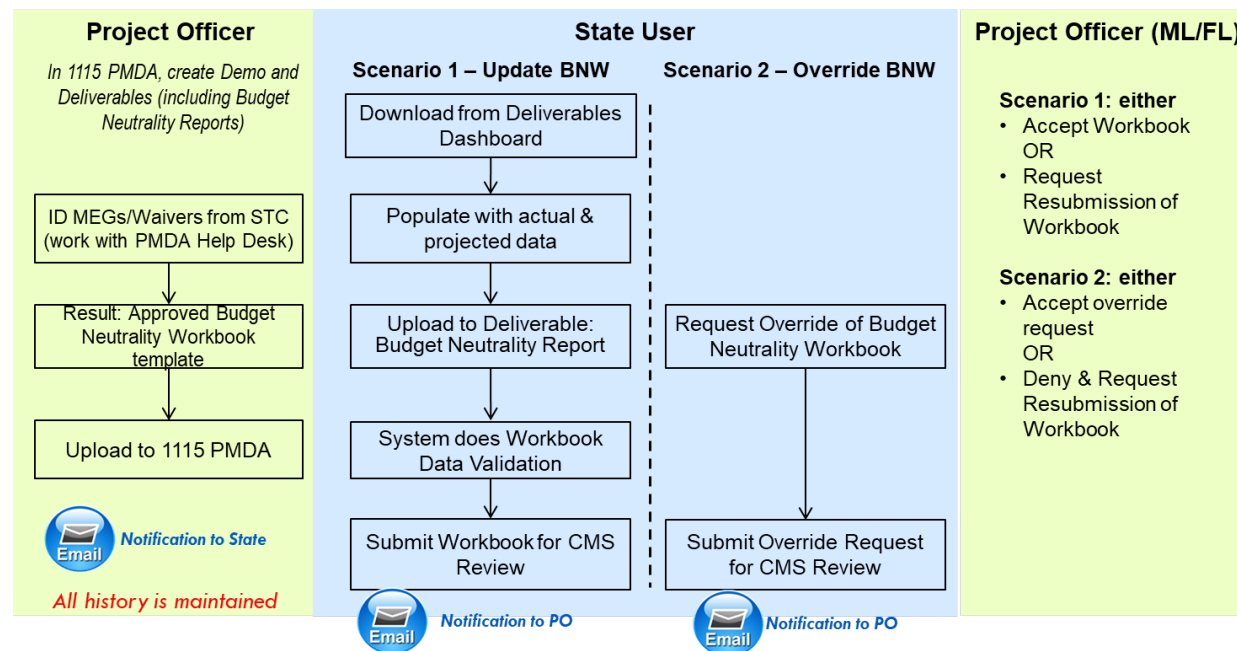


Figure 1: 1115 PMDA Budget Neutrality Process

A Budget Neutrality Workbook template is initially populated by the PMDA Help Desk using the information found in demonstration's Special Terms & Conditions document, or STC. Then the template is sent to the CMS Project Officer (PO) who works closely with the regional office and PMDA Team to validate the entries and make corrections or additions as needed. Validation includes confirming entries such as dates for Demonstration Years (DYs), Medicaid Eligibility Groups (MEGs) and their characteristics, association between waivers and MEGs, projected demonstration expenditures, etc.

After the template information has been validated by the PO and the regional office, the PO sends the PMDA team the final approved template for each active 1115 demonstration. The PMDA team does a final validation on the template to ensure integrity of the calculations in the document.

After approval from the PO and after impacted state users receive training, the PMDA team turns on 1115 PMDA budget neutrality functionality for the specific demonstration.

The PO uploads the final approved template into 1115 PMDA. An email notification is sent to the State User and they can go to the 1115 PMDA Deliverables Dashboard, download a copy of the template, and begin entering current budget neutrality data. After the state enters actual data, the template is then referred to as the Budget Neutrality Workbook.

Scenario 1 occurs when the state populates the Budget Neutrality Workbook and submits a Budget Neutrality Report deliverable for CMS Review. During upload, the 1115 PMDA system validates the workbook by performing several checks. If there are critical issues identified, the state must correct these issues. If there are non-critical errors identified, the state has the option to override these errors by submitting the file that contains the non-critical errors. CMS reviewers can also review these non-critical errors from within 1115 PMDA.

The demonstration's PO and Financial Lead reviews the submitted Budget Neutrality deliverable and provide a status determination of either accepted or not accepted. If the deliverable is not accepted, CMS requests resubmission. The state receives a determination notification and must make the required changes and re-submit the Budget Neutrality deliverable for CMS review.

Scenario 2 occurs when a State User is not able to provide a Budget Neutrality Workbook file for a deliverable with a budget neutrality requirement. The State User can request an override of the requirement.

The demonstration's CMS contacts are notified of the override request and can either accept the override request or request resubmission meaning the State User must complete and submit a Budget Neutrality Workbook for CMS review.

Roles

The following table defines which PMDA user roles support this process.

Table 1: User Responsibility in Budget Neutrality Process

Role Name	Definition
1115 PMDA Help Desk	<ul style="list-style-type: none"> • Provides user support with PMDA questions including Budget Neutrality. • Populates a demonstration-specific Budget Neutrality Workbook template using information from the Special Terms and Conditions document. Works with the appropriate CMS resources to validate the information. • With CMS approval, uploads the approved, validated Budget Neutrality Workbook template to 1115 PMDA.
CMS Project Officer, Technical Director, Financial Lead	<ul style="list-style-type: none"> • Works with the PMDA Help Desk and regional offices to validate the demonstration information in the Budget Neutrality Workbook template. When demonstration information changes, makes appropriate adjustments to the Budget Neutrality Workbook template. • Reviews and provides determination on submitted Budget Neutrality deliverables. • Coordinates/monitors status determination of submitted deliverables.
CMS Monitoring Lead	<ul style="list-style-type: none"> • In PMDA, assigns all required deliverables for a demonstration.
CMS Financial Lead	<ul style="list-style-type: none"> • Reviews and provides determination on submitted Budget Neutrality deliverables.
State User	<ul style="list-style-type: none"> • Downloads the Budget Neutrality Workbook template from 1115 PMDA. • Populates Budget Neutrality Workbook with actual and projected expenditure information. • Uploads Budget Neutrality Workbook to Budget Neutrality Report deliverables and submits for CMS review.
Evaluation Analyst	<ul style="list-style-type: none"> • Accesses and assists with review of deliverables including monitoring report and Budget Neutrality Workbook.

**Email
Notifications**

When certain trigger events occur related to Budget Neutrality deliverables, e-mail notifications are automatically sent by the PMDA system to the points of contact identified for a demonstration. There are additional non-Budget Neutrality trigger events that send e-mails, but these events are not listed below.

Table 4: Trigger Events for Budget Neutrality (BN) Related E-mail Notifications

Trigger Event	E-mail Sent to	Copied to
A new Budget Neutrality Workbook template has been uploaded by CMS	State Points of Contact	Project Officer Backup PO Technical Director
The State submitted a Deliverable type=Budget Neutrality Report for CMS review	Project Officer	Backup PO PO/Financial Lead PO/Monitoring Lead Technical Director
After Budget Neutrality functionality is turned on for a demonstration, the State submitted a Budget Neutrality Report for CMS Review. During the upload of the Budget Neutrality Workbook, non-critical errors were identified that were not resolved by the State.	Project Officer	Backup Project Officer Technical Director PO/Financial Lead PO/Monitoring Lead
CMS has reviewed a submitted Deliverable type=Budget Neutrality Report and accepted the deliverable	State Points of Contact	Project Officer Backup PO PO / Financial Lead PO/ Monitoring Lead Technical Director
CMS has reviewed a submitted Deliverable type=Budget Neutrality Report and requested resubmission of the deliverable	State Points of Contact	Backup PO PO/ Financial Lead PO/ Monitoring Lead Technical Director
For a deliverable type=Budget Neutrality Report, the state submitted an override request for CMS review	Project Officer	Backup PO PO/ Financial Lead PO/ Monitoring Lead Technical Director

Trigger Event	E-mail Sent to	Copied to
For a deliverable type=Budget Neutrality Report, CMS has reviewed a state override request and the CMS determination was Resubmission Required	State Points of Contact	Project Officer & Backup PO PO/Monitoring Lead PO/Financial Lead Technical Director
For a deliverable type=Budget Neutrality Report, CMS has reviewed a state override request and the CMS determination was Accepted	State Points of Contact	Project Officer & Backup PO PO/Monitoring Lead PO/Financial Lead Technical Director

Download
approved BN
Workbook
Template

Project Officers and Regional Offices must approve and upload the BN Workbook template before it is made available for the state to download in PMDA. If the download link is not visible on the *Deliverables* page, the BN Workbook template has not yet been uploaded. A State User receives an email notification whenever a new template is uploaded for a specific demonstration.

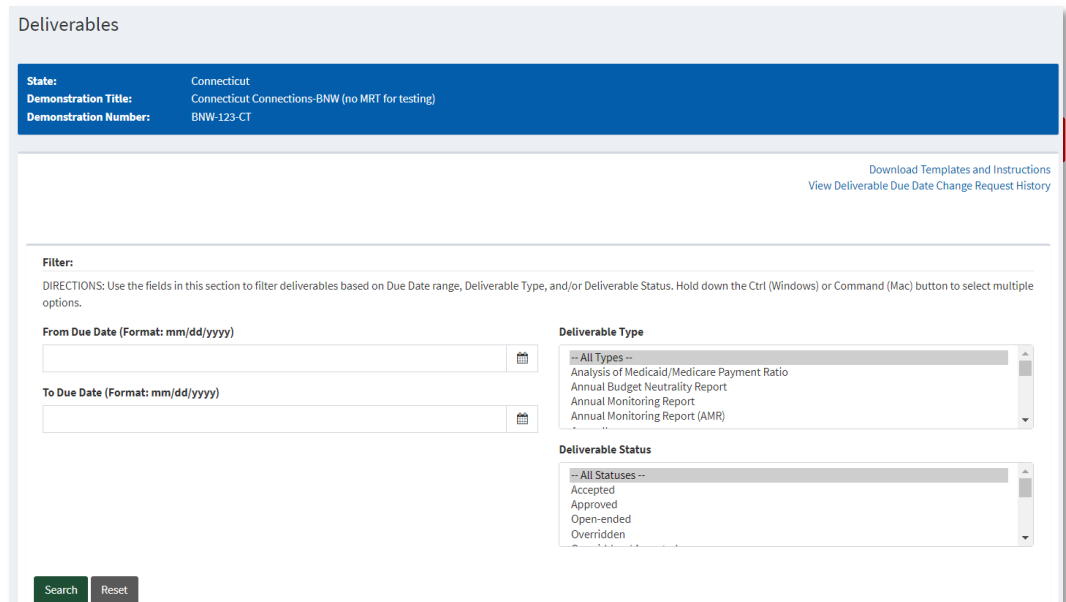
A State User **must** download the latest version of the Budget Neutrality Workbook template and the instructions. The State User populates the template with the latest quarterly actual and projected data.

The populated template is considered a Budget Neutrality Workbook.

For future BN Workbook submissions, a State User can either open the same BN Workbook file and populate it with information for the current quarter and DY or they can elect to download the uploaded BN Workbook template and add the new information to the downloaded template.

When a demonstration has been amended or renewed, CMS will ensure the BN Workbook template is updated and that the updated version is uploaded to PMDA. State Users receive an email and must download the updated the latest version of the template and populate that version for future submissions.

1. Log into 1115 PMDA and select **CMA** from the **MACBIS** drop-down to go to the *State Demo Dashboard* page.
2. For a specific state demonstration, click **Deliverables** under **Actions** to go to the *Deliverables* page.
3. In the upper right corner, click **Download Templates and Instructions** to go to the page displaying the latest version of the BN Workbook.
4. Click the name of the displayed template and instructions documents to download.



The screenshot shows the 'Deliverables' page. At the top, there is a blue header with the following information:

- State:** Connecticut
- Demonstration Title:** Connecticut Connections-BNW (no MRT for testing)
- Demonstration Number:** BNW-123-CT

Below the header, there are links in the top right corner: 'Download Templates and Instructions' and 'View Deliverable Due Date Change Request History'.

The main content area has a 'Filter:' section with the following instructions: 'DIRECTIONS: Use the fields in this section to filter deliverables based on Due Date range, Deliverable Type, and/or Deliverable Status. Hold down the Ctrl (Windows) or Command (Mac) button to select multiple options.'

There are two input fields for filtering by date:

- From Due Date (Format: mm/dd/yyyy):** [Input field]
- To Due Date (Format: mm/dd/yyyy):** [Input field]

On the right side, there are two dropdown menus:

- Deliverable Type:** -- All Types --, Analysis of Medicaid/Medicare Payment Ratio, Annual Budget Neutrality Report, Annual Monitoring Report, Annual Monitoring Report (AMR)
- Deliverable Status:** -- All Statuses --, Accepted, Approved, Open-ended, Overridden

At the bottom left, there are 'Search' and 'Reset' buttons.

Populate
Workbook w/
Actuals/
Projected

Table 2 describes all the tabs in the Budget Neutrality Workbook including the tabs that a State User is responsible for populating.

The Overview tab contains instructions about each tab. There are three types of tabs in the workbook:

- Blue – these tabs contain information that define the demonstration including the demo years, Medicaid Eligibility Groups, and spending limits. Project Officers must validate the information on the blue tabs.
- Orange – these tabs are used by State Users to report actual quarterly and future forecast costs for a demonstration.
- Green – these tabs primarily are used to calculate total cost information using information from both the orange and blue tabs. A PO needs to validate information on some green tabs to ensure the calculations are accurate.

The PMDA Help Desk creates a demonstration-specific version of the Budget Neutrality workbook by copying the approved standardized Budget Neutrality workbook template and by reviewing the latest approved Special Terms and Conditions (STC) document. The demonstration's Project Officer and Financial Lead review the demonstration-specific Budget Neutrality workbook to validate information entered on the blue and green tabs. The PMDA Help Desk will also do an initial population of the C Report tab which is an orange tab.

Table 2: Budget Neutrality Workbook Template Tab Names

Tab Name and Color	Description	Source and Responsible Role
Overview (white)	Displays a description of each tab and general instructions on how to populate data.	n/a
DY Def (Demonstration Year Definitions) (blue)	Displays validated DY start and end information for the demonstration's period of performance including extensions. Note: the dates for all the demonstration's DYs are entered on this tab up to DY40.	Source: STC Project Officer Financial Lead

Tab Name and Color	Description	Source and Responsible Role
MEG Def (Medicaid Eligibility Groups Definitions) (blue)	<p>Displays all Medicaid Eligibility Groups (MEGs) that are associated with the approved demonstration. Projected and actual cost information is entered for all MEGs over the life of the demonstration.</p> <p>Properties: Properties for each MEG can be easily changed, in most cases using dropdown menus. Let's review each column.</p> <ul style="list-style-type: none"> • MEG Name –validate that all MEGs defined in the STC are listed and are shown under the correct category. <ul style="list-style-type: none"> ○ MEGs are listed in appropriate categories such as Medicaid Per Capita, Medicaid Aggregate, Medicaid Aggregate WOW, Hypothetical Per Capita, and Hypothetical Aggregate. If a MEG needs to be placed under a different category or a new MEG needs to be added, please work with the Help Desk on this change. ○ MEGs that are served by Medicaid regardless of whether a demonstration is in place fall under the Medicaid per Capita or Medicaid Aggregate categories, depending on the way data is collected. If only the 'With Waiver', or only the 'Without Waiver' scenario is applicable to a MEG, the category name will state so, for example – 'Medicaid Per Capita – WOW only'. ○ Hypothetical MEGs are entered in sets (Hypothetical 1, Hypothetical 2 etc.), to allow for comparing With Waiver to Without Waiver expenditures related to those MEGs. The template contains placeholders for ten sets of hypothetical MEGs. • MEG Description – Displays the MEG description. • WOW (hidden in final) – Is set to 'Yes' if the Without Waiver (WOW) scenario is applicable to a MEG; otherwise, it should be set to 'No'. • WW (hidden in final) – Is set to 'Yes' if the Without Waiver (WW) scenario is applicable to a MEG; otherwise – 'No'. • Per Capita or Aggregate (hidden in final) – Is set to either Per Capita or Aggregate to align with each category. 	<p>Source: STC Project Officer Financial Lead</p>

Tab Name and Color	Description	Source and Responsible Role
MEG Def (Medicaid Eligibility Groups Definitions) (blue) (continued)	<ul style="list-style-type: none"> Expenditures Subject to Cap—Is set to either Yes or No as applicable for the MEG. Note: if a MEG has a Cap, the cap information is displayed on the Program Spending Limits tab. Savings Phase Down – Is set to either Savings Phase-Down if this is applicable to the. MEG or to N/A if Savings Phase-Down is not applicable. Only the MEGs in the Medicaid Per Capita category are candidates. Note: if a MEG uses a Savings phase down approach, the Summary tab should reflect the correct phase down percentages. Columns Start/End DY and Date – Displays the dates of the MEG’s participation in the demonstration. To change the DY years, select the DY number values from the dropdown menus; the Start Date and End Date fields are populated automatically from information on the DY Def tab. Note: If a MEG start/end date does not coincide with DY start/end dates, you should manually enter the correct dates (override the column’s formula). 	
WOW PMPM & Agg (With Out Waiver Per Member Per Month and Aggregate) (blue)	Displays the projected PMPM values for the DYs based on the STC.	Source: STC Project Officer Financial Lead
Program Spending Limits (blue)	Displays the expenditure caps for the demonstration together with the MEGs that are subject to the demonstration’s expenditure caps for programs.	Source: STC Project Officer Financial Lead
C Report (orange)	<p>Actual expenditure information is copied from Schedule C of the CMS 64 Expenditure Report to the appropriate section of the C Report tab. Rows that are not required for a demonstration are hidden.</p> <p>The four fields at the top of the page must be populated by the state to identify the DYQ for which the actual expenditure information is being reported.</p> <p>NOTE: It is very important that a State User copy and paste C Report information in the exact location identified in the BN workbook, as this drives calculations on other tabs within the workbook.</p>	Source: CMS-64 C Report State User
C Report Grouper (green)	Displays the correlations between a waiver MEG from the C Report and the defined MEG. CMS reviews and identifies if any additional MEGs should be brought over. This tab displays Total Computable information and Federal Share information; information is retrieved from other workbook tabs to auto-populate the appropriate columns.	Source: STC Project Officer Financial Lead

Tab Name and Color	Description	Source and Responsible Role
Total Adjustments (orange)	When adjustments are relevant for a demonstration, the state enters the actual numbers of total contributions to the reported expenditures, per each MEG, for the reporting quarter. Add new reported adjustments to any existing numbers for previous quarters for the reporting quarter. Note: Any adjustments that reduce expenditures must be entered as a negative number (for example, -\$10,000).	Source: Actuals State User
WW Spending Actual (With Waiver Spending Actual) (green)	Displays auto calculated With Waiver Spending costs, by MEG, by demonstration year based on data entered on other tabs by the Project Officer and State User. Calculations are broken out between Total Computable and Federal Share costs.	Calculated
WW Spending Projected (With Waiver Spending Projected) (orange)	The state populates the forecasted expenditure costs at the per capita and aggregate level, by MEG, by demonstration year. Forecasts are provided at both the Total Computable and Federal Share levels. For each reporting quarter, information for completed DY's are updated so they reflect only future quarter projections.	Source: Actuals State User
WW Spending Total (With Waiver Spending Total) (green)	Displays auto-calculated Total with Waiver Spending costs, summing actuals and projections based on data entered on other tabs by the Project Officer and State User. Totals are provided by MEG, by demonstration year.	Calculated
Composite Federal Share (green)	Displays auto-calculated Composite Federal Share costs by defined tests, retrieving with waiver spending information to calculate a percentage of federal share which can be compared against the FMAP. Calculations are broken out between Total Computable and Federal Share costs.	Calculated
MemMon Actual (Member Month Actual) (orange)	The state populates actual member months (number of beneficiaries times the number of enrolled months) for quarters to date for each active DY. For the reporting quarter, add the actual number of member months per each MEG to the previous actual number. The number should equal the total of ALL actual member months. MEGs are auto-populated from the MEG Def tab. DYs are auto-populated from the DY Def tab.	Source: Actuals State User
MemMon Projected (Member Month Projected) (orange)	The state populates projected number of member months for each active DY per MEG for the demonstration. Forecasts are only collected for MEG and Hypothetical MEGs. For the current DY, enter only the number that reflects future quarters; do not include actuals. MEGs are auto-populated from the MEG Def tab. DYs are auto-populated from the DY Def tab.	Source: Actuals State User
MemMon Total (Member Month Total) (green)	Displays auto-calculated Total Member Months, summing actuals and projections based on data entered on other tabs by the Project Officer and State User. Totals are provided by MEG, by demonstration year.	Calculated

Tab Name and Color	Description	Source and Responsible Role
Summary (Summary) (green)	<p>On the Summary tab, information is consolidated from all tabs. WW and WOW numbers are compared to determine the budget neutrality status of the demonstration.</p> <ul style="list-style-type: none"> • WW numbers are calculated based on a combination of actual WW expenditures, projected future expenditures, and any adjustments entered by a State User. • WOW numbers are calculated based on actual and projected expenditures entered by a State User. <p>Project Officers and Financial Leads validate when approving the workbook:</p> <ul style="list-style-type: none"> • If on the MEG Def tab, any MEG is indicated as using a Savings Phase-down approach, validate the Savings phase-down percentages for each applicable MEG, per demonstration year. • In the Base Variance section, for the Carry-Forward Savings From Prior Period, the Help Desk initially populates Column AD with \$0. CMS works with the Help Desk to validate the appropriate amount, if any, to enter. • In the Cumulative Target Limit section, validate the target percentage used to calculate the allowed cumulative budget neutrality variance per DY. <p>State Users enter information when applicable for their demonstration:</p> <ul style="list-style-type: none"> • In the Base Variance Section, if a demonstration has dual demonstration savings, a State User should enter the 1115 A dual demonstration ESTIMATED savings and the 1115A Dual Demonstration Savings (OACT certified) for each future DY. 'OACT certified' fields are populated when the numbers are certified. Certified numbers replace estimated savings amounts. The two savings amounts should not overlap for the same DY. <p>To review Summary information differently than the default view:</p> <ul style="list-style-type: none"> • Use the drop-down list in the Budget Neutrality Start/End DY cells (at the top of the tab) to change which DYs are included in the calculations. Click Reset to Defaults to change the DYs back to the DYs that are part of the demonstration's current period of performance. • Use the drop-down list in cell B8 to display Actual data or to display Actual and Projected data. • Use the drop-down list in cell B9 to display Total Computable BN data or to display Federal Funds BN data. 	<p>Source: STC (for Savings Phase Down %)</p> <p>Project Officer Financial Lead State User</p>

Submit Workbook as Part of Deliverable

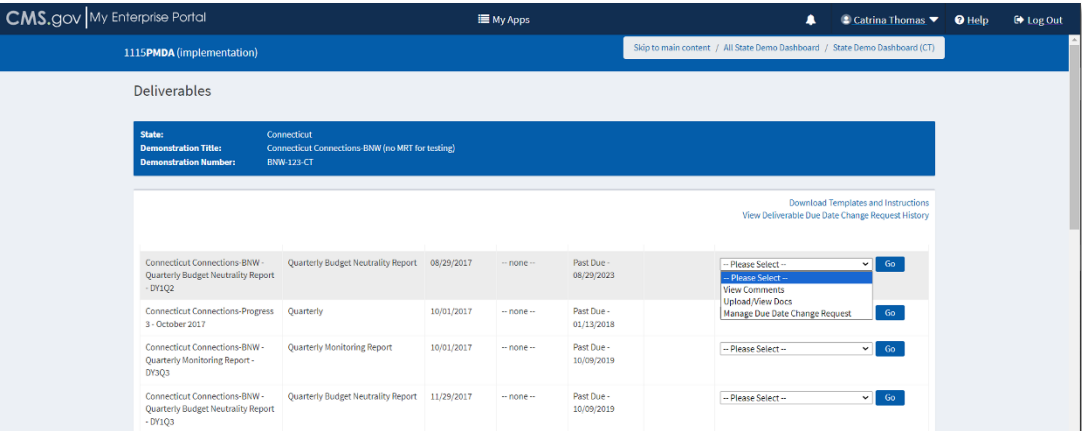
After a State User has populated a Budget Neutrality Workbook with actual and projected information, they need to submit the Workbook for CMS review. They upload the Workbook to a Budget Neutrality Report deliverable type and change the status to Ready for CMS Review.

During upload, the 1115 PMDA system validates the Workbook by performing several checks. If there are critical issues identified, the State User must correct these issues. If there are non-critical errors identified, the State User has the option to override (or ignore) these errors. The Project Officer can review non-critical errors during their review of the deliverable.

When a State User is not able to provide an updated Budget Neutrality Workbook file for a Budget Neutrality Report deliverable type, the State User can request an override of the budget neutrality requirement. The PO is notified of the override request and can either accept the override request or request resubmission meaning the State User must upload a Budget Neutrality Workbook for the deliverable.

To upload a Workbook to a deliverable and submit the deliverable for CMS review:

1. Navigate to the state demonstration for which you need to submit a BN Workbook.
2. For this demonstration, under the **Actions** column, click **Deliverables** to go to the *Deliverables* page.
3. For a deliverable type=Budget Neutrality Report, click **Upload/View Docs** under the **Actions** column to upload the populated Workbook.
4. In the section titled **Step 1: Add a New State File**, click **Choose File**.
5. Click the file name to upload. Click **Open**.
6. Enter a file description as needed.
7. Click **Upload File**.



State	Demonstration Title	Demonstration Number	Deliverables								
Connecticut	Connecticut Connections BNW (no MIT for testing)	BNW-123-CT	<table border="1"> <thead> <tr> <th>Deliverable Name</th> <th>Frequency</th> <th>Due Date</th> <th>Actions</th> </tr> </thead> <tbody> <tr> <td>Connecticut Connections-BNW - Quarterly Budget Neutrality Report - DY1Q2</td> <td>Quarterly Budget Neutrality Report</td> <td>08/29/2017</td> <td> <div> -- none -- </div> <div> Past Due - 08/29/2023 </div> <div> -- Please Select -- </div> <div> -- Please Select -- </div> <div> View Comments </div> <div> Upload/View Docs </div> <div> Manage Due Date Change Request </div> </td></tr></tbody></table>	Deliverable Name	Frequency	Due Date	Actions	Connecticut Connections-BNW - Quarterly Budget Neutrality Report - DY1Q2	Quarterly Budget Neutrality Report	08/29/2017	<div> -- none -- </div> <div> Past Due - 08/29/2023 </div> <div> -- Please Select -- </div> <div> -- Please Select -- </div> <div> View Comments </div> <div> Upload/View Docs </div> <div> Manage Due Date Change Request </div>
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Connecticut Connections-BNW - Quarterly Budget Neutrality Report - DY1Q2	Quarterly Budget Neutrality Report	08/29/2017	<div> -- none -- </div> <div> Past Due - 08/29/2023 </div> <div> -- Please Select -- </div> <div> -- Please Select -- </div> <div> View Comments </div> <div> Upload/View Docs </div> <div> Manage Due Date Change Request </div>								

NOTE: If you encounter any errors when uploading the workbook, PMDA displays a dialog box showing the errors. If the message identifies a non-critical error, the state can make changes to the workbook and re-upload the corrected workbook. If the message identifies a critical error, the state must make the change needed to resolve the error before the workbook can be uploaded to the deliverable. Refer to the section in this playbook titled **BN Workbook Data Validation Checks**.

8. In the section titled **Step 2: Submit to CMS for Review**, click the button titled **Submit to CMS for Review**. The deliverable status is updated to Submitted. If the status shows as Work in Progress, the **Submit to CMS for Review** button has not been clicked.

Deliverable Details ⓘ

Download Templates and Instructions

State:	Connecticut
Demonstration Title:	Connecticut Connections-BMW (no MRT for testing)
Demonstration Number:	BNW-123-CT

Deliverable Report Name:	Connecticut Connections-BMW - Quarterly Budget Neutrality Report - Q1Y1Q2
Deliverable Status:	Past Due
Due Date:	06/29/2017
Description:	-- NONE --

Step 1: Add a New State File Collapse Add a New State File

File Name

NOTE: Files must be less than 600 MB.
NOTE: Allowed file types: pdf doc docx xls xlsx xslm zip. A Budget Neutrality Workbook must be an xslm document.

Choose File No file chosen

File Description

Cancel Upload File

NOTE: To add additional files, repeat this process starting with Step 1

List of State Uploaded File(s)

File Information	Actions
<div>⚠️ ALERT: This submission contained non-critical errors which were identified during the upload process. Please click here to view the errors.</div> <div>BN Workbook for 7.1 wrong version.xslm</div> <div>Uploaded By: Catrine Thomas on 2023-05-28 17:11:07</div>	<div>Remove Go</div>

Step 2: Submit to CMS for Review

Please click the 'Submit to CMS for Review' button to complete your submission. If you are not ready to submit to CMS for review at this time, your deliverable will remain as a work in progress. You will need to return and complete your submission by selecting the 'Submit to CMS for Review' button before the deliverable's due date for this deliverable to not be marked as past due.

Late Submission Details

Late Submission Reason Type * ⓘ

-- Please Select --

Late Submission Reason Details ⓘ

NOTE: By clicking the Submit to CMS for Review button, I attest the information included with this submission is true and accurate to the best of my knowledge.

Submit to CMS for Review

Add - State Comments to CMS

State Comments to CMS

Add Comments

History - State Comments to CMS

Collapse History - State Comments to CMS

-- NO STATE COMMENT RESULTS RETURNED --

**BN Workbook
data
validation
checks**

Table 3 describes the critical and non-critical errors that may be displayed by the PMDA system. If the error is based on data validated in a specific tab, the Tab column identifies the tab name. The Error Trigger column identifies the trigger for the error. The Error Message Text column identifies the error that is displayed to both the state (critical and non-critical) and CMS users (non-critical only).

In addition, PMDA also checks that the Budget Neutrality workbook template has been uploaded to the deliverable. If a state user attempts to submit the deliverable without uploading the Budget Neutrality workbook, PMDA displays an error message at the top of the page that reads “[Unable to Submit to CMS Review. This Deliverable requires a Budget Neutrality Workbook. Please upload a file.](#)”

Table 3: Critical and Non-Critical Validation Errors

Error Type	Tab	Error Trigger	Error Message Text
Critical		The Document ID associated with the uploaded template does not match the Document ID associated with the submitted Budget Neutrality Workbook.	The workbook you are trying to upload is not the latest version of the Budget Neutrality template. Please download the latest version from the Download Templates and Instructions page.
Critical		No active BN Template is available in PMDA for the demonstration.	A Budget Neutrality template is not currently uploaded for this demonstration. Please contact the PMDA Help Desk for assistance.
Critical	C Report	Waiver data is not pasted into correct location. The values in cells A100 and A300 are not equal to 'Waiver Name.'	C Report tab - Data is not pasted correctly. Please refer to the instructions on the tab.
Critical	C Report	The 'Reporting DY' number specified in the Reporting DY field (cell K2) exceeds the maximum demonstration year number provided on the DY Def tab.	C Report tab – the Reporting Year specified exceeds the maximum demonstration year provided on the DY Def tab. Please review the demonstration years for which you are reporting.
Critical	C Report	<p>Required data is missing on the C Report tab:</p> <ul style="list-style-type: none"> Data missing in cells H2 Data Pulled On, H3 For the Time Period Through, K2 Reporting DY, K3 Reporting Quarter Reporting Year exceeds the maximum demonstration year provided on the DY Def tab Values in cells A100 and A300 are not equal to 'Waiver Name' <p>Note: 'Reporting DY' value must be between 1 and 40.</p>	<p>The following error(s) must be fixed before the file can be uploaded: [error message text specific to the issue]</p> <p>Please correct the error(s) and re-upload the file</p>

Error Type	Tab	Error Trigger	Error Message Text
Critical	C Report	Invalid data entered in the 'Data Pulled On:' field.	C Report tab - 'Data Pulled On:' value is missing or incorrectly formatted. Please enter date in the MM/DD/YYYY format.
Critical	C Report	Invalid data entered in the 'For the Time Period Through:' field.	C Report tab - 'For the Time Period Through:' value is missing or incorrectly formatted. Please enter date in the MM/DD/YYYY format.
Critical	C Report	Invalid data entered in the 'Reporting Quarter' field.	C Report tab - Reporting Quarter value must be between 1 and 4.
Critical	C Report	Invalid data entered in the 'Reporting DY field.	C Report tab - 'Reporting DY' value must be between 1 and 40.
Critical	C Report	Columns C-AR contain non-numeric data.	C Report tab - Numerical field [column #, row #] contains non-numerical value.
Critical	Total Adjustment	Numerical field entries contain non-numerical value in Total Computable section (columns D-AQ) and Federal Share section (columns AU-CH)	The following error(s) must be fixed before the file can be uploaded: Total Adjustments tab - Numerical field [column #, row #] contains non-numerical value. Please correct the error(s) and re-upload the file.
Critical	WW Spending Projected	Numerical field entries contain non-numerical value in Total Computable section (columns D-AQ) and Federal Share section (columns AS-CF).	The following error(s) must be fixed before the file can be uploaded: WW Spending Projected tab - Numerical field [column #, row #] contains non-numerical value. Please correct the error(s) and re-upload the file.
Critical	MemMon Actual	Numerical field entries contain non-numerical value in columns D-AQ.	The following error(s) must be fixed before the file can be uploaded: MemMon Actual tab - Numerical field [column #, row #] contains non-numerical value. Please correct the error(s) and re-upload the file.
Critical	MemMon Projected	Numerical field entries contain non-numerical value in columns D-AQ.	MemMon Projected tab - Numerical field [column #, row #] contains non-numerical value.
Critical	C Report, Total Adjustments, WW Spending Projected, MemMon Actual, MemMon Projected	Numerical field entries contain non-numerical values.	The following error(s) must be fixed before the file can be uploaded: [error message text] [error message text] Please correct the error(s) and re-upload the file.
Non-Critical	C Report	Expenditure data is present for DY(s) that extend beyond the Reporting DY	C Report tab – data is entered for demonstration year(s) beyond the entered Reporting DY. Please ensure that data is being reported for the correct demonstration years.
Non-Critical	C Report	The value for the 'Total Less Non-Adds' field of the MAP Waiver Total Computable section is the same as that from the last submitted workbook. Ignored if this is the first workbook submission.	C Report tab - The total actual expenditures number entered for the current reporting period year is unchanged since the last Budget Neutrality deliverable submission. Please confirm that the workbook you are submitting contains data from the current Schedule C Report.

Error Type	Tab	Error Trigger	Error Message Text
Non-Critical	C Report	Reporting DY/Reporting Quarter values are not incremented by +1 quarter from the last BN deliverable submission.	C Report tab - The Demonstration Year and/or Quarter has not been incremented correctly. Previous submission was for Demonstration Year [DY#], Quarter [Q#].
Non-Critical	MemMon Projected	Projected values for any MEG for the current Reporting DY (C Report tab) is equal to the value provided in the prior submitted workbook. Ignored if this is the first workbook submission, if the value in the preceding BN workbook is '0', or the field had no value.	MemMon Projected tab - Projected number for [MEG name] for the current demonstration year is unchanged since the last deliverable submission. Please confirm that the projected number is entered correctly
Non-Critical	MemMon Projected	Values are present for a past DY for any MEG Note: 'past DY' is a value which is less than Reporting DY value on C Report tab (cell K2), for any MEG.	MemMon Projected tab - [MEG name] shows projected numbers for a past demonstration year.
Non-Critical	Summary	The 1115A Dual Demonstration Savings (state preliminary estimate)' amount entered for any DY is positive.	Summary tab - Dollar amount for '1115A Dual Demonstration Savings (state preliminary estimate)' should be negative or zero.
Non-Critical	Summary	The 1115A Dual Demonstration Savings (OACT certified) amount entered for any DY is positive.	Summary tab - Dollar amount for '1115A Dual Demonstration Savings (state preliminary estimate)' should be negative or zero.
Non-Critical	WW Spending Projected	Projected values for any MEG for the current Reporting DY (refer to the C Report tab) is greater than or equal to the value provided in the prior submitted workbook. Ignored if this is the first workbook submission, if the value in the preceding BN workbook is '0', or the field had no value.	WW Spending Projected tab - Projected number for [MEG name] for the current demonstration year is unchanged since the last Budget Neutrality deliverable submission. Please confirm that the projected number is entered correctly.
Non-Critical	WW Spending Projected	Values are present for a past DY for any MEG Note: 'past DY' is a value which is less than Reporting DY value on C Report tab (cell K2), for any MEG.	WW Spending Projected tab - [MEG name] shows projected numbers for a past demonstration year.

Table 5: Record of Changes to this Document

Version Number	Date	Author/Owner	Description of Change
1.0	2/22/2018	C. Thomas	Includes 2 new dual demo fields State User may populate on the Summary TC tab
1.1	3/13/2018	C. Thomas	Added the new critical error & hyperlinks on the front page
1.2	3/22/2018	C. Thomas	Added ML/FL roles to process descriptions and to role table, added data entry done by State User on the Summary TC tab, added how to change the DYs that display on the Summary TC tab, Updated email and trigger events based on BN redesign and including FL/ML
1.3	4/19/2018	C. Thomas	Updated PMDA submission screens with redesign for BN functionality
1.4	8/29/2023	C. Thomas	Updated document to reflect PMDA enhancements and information about the 2.14 version of the template.
1.5	7/7/2025	Mathematica	Changed references to “red” worksheets to “orange,” to align with new 508-compliant color scheme in the workbook.