

CHAPTER 4: USING THE CHECKLISTS

Beneficiary Management Checklist

Provider Management Checklist

- Operations Management Checklists**
- Reference Data Mgmt
 - Claims Receipt
 - Claims Adjudication
 - POS Rx; TPL

- Program Management Checklists**
- DSS/DW
 - Program Mgmt Reporting
 - Financial Management
 - Federal Reporting
 - Security and Privacy

Program Integrity Checklist

- Care Management Checklists**
- Managed Care
 - Waivers
 - Immunization Registry



Chapter 4: Using the Checklists

Introduction

The Medicaid Enterprise Certification Toolkit (Toolkit) contains a set of checklists that are keyed to Medicaid business areas, as explained in Chapter 1. The checklists contain a set of business objectives for each business area and a set of system review criteria for each objective. The checklists are constructed to be easily modified by adding State-specific objectives and system review criteria.

The checklists are to be used as a guide for both State and Federal staff to review an MMIS. If the MMIS meets a system review criterion, the ‘Yes’ checklist column is checked, and if it does not, the ‘No’ column is checked. Comment fields are available for further information. Each criterion has a reference number that links it to the business area and business objective and, therefore, can be used to uniquely identify it and to link it to further notes if needed.

Reviewing or Evaluating an MMIS

The primary use of the checklists is to review/evaluate an MMIS. The review/evaluation can be done by CMS, during a certification, or by a State, in preparing for a certification review or in evaluating what is proposed or built by a developer. To review/evaluate an MMIS, the reviewer/evaluator first tailors the set of checklists to fit the MMIS and the Medicaid organization that it supports. Tailoring is described below.

To review/evaluate an MMIS, it is necessary to examine its functionality and the effectiveness of its support for the Medicaid enterprise. The system review criteria provide a list of the functionality and support the system is intended to provide. The reviewer/evaluator determines the degree to which the MMIS satisfies each criterion and checks either the ‘Yes’ or ‘No’ box. The comment field is used to discuss the rationale for the selection. If there is insufficient room in the field, the reviewer/evaluator can continue the comments elsewhere, using the reference number of the criterion to link to the other sheet. If the form is used electronically, the comment field will expand to hold all of the data entered. Once the checklists are complete, the review/evaluation will proceed according to the steps in the protocol being used (Protocols are discussed in Chapter 3).

Tailoring the Checklists

Tailoring the checklists is performed to better accommodate the objective of the planned use and to include business objectives and system review criteria to fit the State Medicaid enterprise to

which it will be applied. Modifications to the checklists should be done as explained in the following section that describes how the checklists are constructed and modified.

To tailor the checklists for MMIS certification, each checklist must be reviewed. First, the reviewer must determine if the business area covered applies to the Medicaid enterprise being supported. If not, the checklist should be marked “Non-applicable,” and it should be set aside. As an example, the Decision Support System/Data Warehouse (DSS/DW) checklist does not apply if there is no DSS/DW. If the checklist is applicable, then the business objectives are reviewed. If it is determined that a business objective is not applicable, the rationale should be discussed in the comment field for that objective. If the objective has any mandatory system review criteria, there may be a risk that the MMIS will fail the CMS certification review. If there are State-specific business objectives in the business area, the State objectives are added to the checklist.

Once the business objective list is complete, the review criteria must be subjected to the same scrutiny. Non-applicable criteria are so marked. If a criterion is derived from a Federal requirement, the rationale for deleting it should be noted, since a Federal criterion that is not satisfied may cause the system to fail the certification review. Additional criteria may be added to those supplied in the original checklists. Any new business State-specific objectives added must have corresponding system review criteria developed and inserted, and sources (e.g., State laws, Directives, etc.) for the system review criteria must be identified.

To tailor the checklists for APD development, the same process as above is applied to the checklists themselves and to the business objectives. Since only a high level look at the MMIS is being done at this time, the system review criteria are not needed and may be deleted.

Checklist Construction and Modification

The checklists are constructed as a set of Microsoft Word tables. This allows for easy expansion for inclusion of additional checklist items. The checklist components are described below, beginning from the top of page 1. A blank checklist template is included at the end of this chapter and should be referred to when reading the component descriptions.

- Header – The header appears at the top of each page. In a populated checklist, the header contains the business area name and the checklist name, e.g., Operations Management Business Area, Claims Adjudication Checklist.
- Usage Identification – The table that identifies the use of the checklist. Since the template is set up for certification use, it has three blocks marked “State,” “Date of Review,” and “Reviewer.” If the template is tailored for other use, the names of these blocks can be modified to suit the specific use.

- Checklist Title – This single row identifies the name of the checklist. A two or three letter identifier for the checklist is inserted inside the parentheses. This code is used as part of the Reference code discussed below.
- Background Information – This table provides background information for the checklist. In instances where there may be some difficulty understanding the circumstances under which the checklist is to be used or where some of the business objectives are likely to be supported by processes other than those implemented in the MMIS, the Background section explains these considerations. In addition, the Background section lists the sources for the checklist requirements..
- Business Objectives – This table is used to identify the business objectives for the business area. Each of the populated checklists will have a list of business objectives supplied. The list can be extended with State-specific objectives. The reference number column is filled in with the two or three letter business area identifier followed by a sequential number. These reference numbers are used to link system review criteria with the business objective. The comments column is available for explanations or other information, as needed.
- System Review Criteria – There is a system review criteria table associated with each Business Objective. Blank tables are included in the template. The title of the system review criteria table contains the reference number of the business objective and identifying text. In the second row of the table are column headers for the several items. The Reference Number column contains the business objective letter code followed by the next sequential number, such as BA1.1, BA1.2, etc. The system review criteria are described in the System Review Criteria column. The syntax for each review criterion assumes a silent subject, “The System.” For example: [The system] identifies, tracks, captures, stores, updates, etc. The Source column shows an identifier for the source of the criterion, which can be further identified in the background table. The Source column is followed by the Yes, No, and Comments columns as discussed earlier. If one or more State-specific business objectives are added to the business objective table, a State-specific system review criteria table needs to be added for each. The business objective number is added in the Reference column and the system review criteria are sequentially numbered and text is inserted for each system review criteria.

A template for a checklist is provided on the following pages:

HEADER: BUSINESS AREA NAME CHECKLIST NAME
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STATE:	DATE OF REVIEW:	REVIEWER:
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BUSINESS AREA NAME CHECKLIST NAME & CODE (CC)
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BUSINESS AREA NAME CHECKLIST BACKGROUND
<p><i>Background for this checklist:</i> Insert numbered items that describe the circumstances under which this checklist is to be applied, how it is to be used, the source of the system review criteria, and other explanatory information.</p> <p><i>Sources for the criteria in this checklist are as follows:</i> Insert list of source column acronyms and the documents they represent which were used as sources for the criteria in this checklist.</p>

BUSINESS OBJECTIVES		
Reference #	Business Objectives	Comments
CC1	<i>First Business Objective</i>	
CC2	<i>Second Business Objective</i>	
CCSS1	<i>Add first State-specific business objective for this Checklist here.</i>	



CC1 – FIRST BUSINESS OBJECTIVE					
Ref #	System Review Criteria	Source	Yes	No	Comments
CC1.1	<i>First review criterion for first business objective.</i>				
CC1.N	<i>Last review criterion for first business objective.</i>				
CC1SS.1	<i>Add State-specific criteria for this objective here.</i>				

CC2 – SECOND BUSINESS OBJECTIVE					
Ref #	System Review Criteria	Source	Yes	No	Comments
CC2.1	<i>First review criterion for second business objective.</i>				
CC2SS.1	<i>Add State-specific criteria for this objective here.</i>				

ADD OTHER BUSINESS OBJECTIVE TABLES AS NEEDED					
Ref #	System Review Criteria	Source	Yes	No	Comments
CC3.1	<i>First review criterion for third business objective.</i>				
CC3SS.1	<i>Add State-specific criteria for this objective here.</i>				

CCSS1 – FIRST STATE-SPECIFIC OBJECTIVE					
Ref #	System Review Criteria	Source	Yes	No	Comments
CCSS1.1	Add criteria based on the APD, RFP, etc., that are relevant to this State-specific objective.				