

**June 19, 2019**

**1. Title page for the state’s eligibility and coverage demonstrations or eligibility and coverage policy components of the broader demonstration**

*The state should complete this transmittal title page as part of its eligibility and coverage monitoring protocol. This form should be submitted as the title page for all monitoring reports. The content of this transmittal table should stay consistent over time.*

*This template only includes community engagement policies. Templates for other eligibility and coverage policies are forthcoming.*

<b>State</b>	<i>Enter state name.</i>
<b>Demonstration name</b>	<i>Enter full demonstration name as listed in the demonstration approval letter.</i>
<b>Approval date for demonstration</b>	<i>Enter approval date of the demonstration as listed in the demonstration approval letter (MM/DD/YYYY).</i>
<b>Approval period for community engagement</b>	<i>Enter the entire approval period for the the community engagement policy. This should include a start date and an end date (MM/DD/YYYY - MM/DD/YYYY).</i>
<b>Approval date for community engagement, if different from above</b>	<i>Enter approval date for the community engagement policy as listed in the demonstration approval letter if different from above (MM/DD/YYYY).</i>
<b>Implementation date for community engagement</b>	<i>Enter community engagement implementation date (MM/DD/YYYY).</i>

**PRA Disclosure Statement** - This information is being collected to assist the Centers for Medicare & Medicaid Services in program monitoring of Medicaid Section 1115 Eligibility and Coverage Demonstrations. This mandatory information collection (42 CFR § 431.428) will be used to support more efficient, timely and accurate review of states’ eligibility and coverage 1115 demonstrations monitoring reports submissions to support consistency of monitoring and evaluation of Medicaid Section 1115 Eligibility and Coverage Demonstrations, increase in reporting accuracy, and reduce timeframes required for monitoring and evaluation. Under the Privacy Act of 1974 any personally identifying information obtained will be kept private to the extent of the law. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid Office of Management and Budget (OMB) control number. The OMB control number for this project is 0938-1148 (CMS-10398 # 58). Public burden for all of the collection of information requirements under this control number is estimated to take about 8 hours per response. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to CMS, 7500 Security Boulevard, Attn: Paperwork Reduction Act Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

**2. Proposed modifications to eligibility and coverage policies narrative information on implementation, by reporting topic**

*This template only includes community engagement policies.*

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>CE.Mod_1. Specify community engagement policies</b>		
<p><i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the community engagement (CE) monitoring report template (narrative information on implementation).</i></p> <p><i>EXAMPLE</i>  <i>Additional topic of interest.</i></p>		<p><i>Summarize how the proposed modification will alter reporting relative to the CE monitoring report template and provide reasoning why this modification is needed.</i></p> <p><i>EXAMPLE</i>  <i>In addition to reporting on the requested information, the state plans to report on progress on X implementation activity not currently listed in the report template. The state will add this activity as a new row to the “Narrative Information on Implementation” tables in its monitoring reports.</i></p>
<p><i>[Add rows as needed]</i></p>		
<p><input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.</p>		
<p><input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).</p>		

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>CE.Mod_2. Establish beneficiary supports and modification</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		
<b>CE.Mod_3. Establish procedures for enrollment, verification and reporting</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>CE.Mod_4. Operationalize strategies for noncompliance</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		
<b>CE.Mod_5. Develop comprehensive communications strategy</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>CE.Mod_6. Establish continuous monitoring</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		
<b>CE.Mod_7. Develop, modify, and maintain systems</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>AD.Mod_1. Metrics and operations for demonstrations with any eligibility and coverage policies (report for all beneficiaries in the demonstration, not only those subject to CE policies)</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		
<b>1. Financial/budget neutrality</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>2. CE demonstration evaluation update</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		
<b>3. Other demonstration reporting</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>4. Notable state achievements and/or innovations</b>		
<i>Provide a brief description of any changes or modifications the state expects to make in its narrative reporting, relative to the expectations described in the CE monitoring report template (narrative information on implementation).</i>		
<i>[Add rows as needed]</i>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information with the modifications described above.		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the CE monitoring report template and confirms that it will report the narrative information as requested (no modifications).		

**3. Acknowledgement of budget neutrality reporting**

The state has reviewed the Budget Neutrality workbook provided by the project officer and understands the expectations for quarterly and annual monitoring reports. The state will provide the requested budget neutrality information (no modifications).

**4. Demonstration monitoring reporting schedule**

Report name	Calendar dates of demonstration year and quarter	Report due date
<i>EXAMPLE: DY1 Q1 quarterly report</i>	<i>EXAMPLE: 01/01/2019 – 03/31/2019</i>	<i>EXAMPLE: 05/30/2019</i>
<i>DY1 Q2 quarterly report</i>	<i>MM/DD/YYYY - MM/DD/YYYY</i>	<i>MM/DD/YYYY</i>
<i>DY1 Q3 quarterly report</i>	<i>MM/DD/YYYY - MM/DD/YYYY</i>	<i>MM/DD/YYYY</i>
<i>DY1 Q4 quarterly and annual report</i>	<i>MM/DD/YYYY - MM/DD/YYYY</i>	<i>MM/DD/YYYY</i>
<i>[Add rows as needed, to cover all demonstration years and quarters]</i>		

**5. Demonstration metrics reporting and calculations**

The state has reviewed Appendix A Reporting 1115 Eligibility and Coverage Demonstration Monitoring Metrics and Narrative Information of the instructions document and attests to reporting metrics in its quarterly and annual reports according as described.

The state has reviewed Appendix A of the instructions document and proposes the following deviations as described: *Insert table and/or narrative description of proposed changes to metrics reporting and calculations. States may choose to use Table A.1 Metric reporting in quarterly and annual monitoring reports in Appendix A of the instructions document as a template. State should provide justification for any proposed deviation.*

APPENDIX A:

REPORTING 1115 ELIGIBILITY AND COVERAGE DEMONSTRATION  
MONITORING METRICS AND NARRATIVE INFORMATION

This appendix provides reporting guidance applicable to section 1115 eligibility and coverage demonstration monitoring metrics and other monitoring information. It contains the same information found in Section B of the Background and Introduction (Chapter I) of the technical specifications.

States should report data to CMS in accordance with the agreed-upon reporting schedule and format. Most metrics should be calculated with a lag following the last day of the measurement period to allow for more complete reconciliation of enrollment actions and delays in provider claiming and reporting (claims run-out). The length of the lag period varies by metric. Most metrics are calculated after a 30-day lag. Claims-based metrics and other closely connected metrics should be calculated after a one-quarter (90-day) lag.

Guidelines for including metrics and narrative information in monitoring reports are as follows:

- Each quarterly report should contain (1) narrative information on implementation for the most recent demonstration quarter; (2) monthly metrics from the most recent quarter (note all monthly metrics have a 30-day lag); (3) quarterly metrics that do not require a lag from the most recent quarter; and (4) quarterly metrics that require a 90-day lag from the prior quarter.
- Demonstration year metrics should be included in the annual report.<sup>1</sup>
- Calendar year metrics should be reported in the first quarterly (or annual) report that allows for 90 days of run-out after the end of the calendar year (assuming the calendar year includes at least 6 months of demonstration implementation, per definition of the baseline year in the technical specifications). The demonstration year end date determines the appropriate quarterly report for reporting these metrics.

A.1 outlines the reporting schedule by measurement period and calculation lag. Table A.2 illustrates these guidelines, using the demonstration start date of March 15, 2018 as an example. Measurement period and calculation lag are defined in the technical specifications.

Given the dynamic nature of Medicaid data, states should calculate metrics at the same time for each measurement period throughout the demonstration. This practice applies even if data are not shared with CMS until a later date. Therefore, if a state submits monitoring data to CMS on a quarterly basis, the state should calculate each monthly metric 30 days, or about one month, after the last day of the measurement month, and the submission should contain three monthly values for each monthly metric. For example, if the quarterly measurement period is March 1 through May 31, the state should calculate metrics for the calendar month of March on April 30, for the calendar month of April on May 31, and for the calendar month of May on June 30. The quarterly submission to CMS should contain three monthly metric values, each for March, April, and May.

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<sup>1</sup> For the CMS-constructed metric with a demonstration year measurement period, the first measurement period begins on the first day of the month in which the demonstration started (approval start date), and consists of 12 consecutive calendar months of the demonstration. For example, if the demonstration started on March 15, 2018, the demonstration year measurement period is March 1, 2018 through February 28, 2019.

Table A.1 Metric reporting in quarterly and annual monitoring reports, by measurement period and calculation lag

Report name:	DY1 Q1 report	DY1 Q2 report	DY1 Q3 report	DY1 Q4 (annual) report	DY2 Q1 report	DY2 Q2 report	DY2 Q3 report
Report due date:	Due 60 days after quarter ends	Due 60 days after quarter ends	Due 60 days after quarter ends	Due 90 days after quarter ends	Due 60 days after quarter ends	Due 60 days after quarter ends	Due 60 days after quarter ends
<b>Metric measurement periods, by calculation lag<sup>a</sup></b>							
Narrative information on implementation	DY1 Q1	DY1 Q2	DY1 Q3	DY1 Q4	DY2 Q1	DY2 Q2	DY2 Q3
Month	DY1 Q1	DY1 Q2	DY1 Q3	DY1 Q4	DY2 Q1	DY2 Q2	DY2 Q3
Quarter, no lag	DY1 Q1	DY1 Q2	DY1 Q3	DY1 Q4	DY2 Q1	DY2 Q2	DY2 Q3
Quarter, 90 days	NA	DY1 Q1	DY1 Q2	DY1 Q3	DY1 Q4	DY2 Q1	DY2 Q2
Demonstration year, no lag	NA	NA	NA	DY1	NA	NA	NA
Calendar year, 90 days <sup>b</sup>	NA	NA	CY 1 if DY ends 6/30	CY 1 if DY ends 1/31 – 5/31	CY1 if DY ends 12/31	CY 2 if DY ends 9/30 – 11/30	CY 2 if DY ends 7/31– 8/31

<sup>a</sup> All monthly metrics have a 30-day calculation lag, the annual DY metric has no lag; all annual CY metrics have a 90-day lag

<sup>b</sup> Report due dates for calendar year metrics are defined in terms of the demonstration year measurement period. The demonstration year measurement period begins on the first day of the month in which the demonstration started (approval start date). For example, a demonstration that begins on July 15 would have a demonstration year start date of July 1 and end date of June 30. To determine which report should include the calendar year metrics for a demonstration that begins on July 15, identify the report associated with a demonstration year end of June 30 (i.e., DY1 Q3 report).

DY = Demonstration year

CY = Calendar year

CY 1 = The calendar year during which the demonstration begins

CY 2 = The calendar year that immediately follows CY 1

NA = not applicable (information not expected to be included in report)

Table A.2 Example of metric reporting in quarterly and annual monitoring reports for the first year of a demonstration that began on March 15, 2018

Report name:	DY1 Q1 report	DY1 Q2 report	DY1 Q3 report	DY1 Q4 (annual) report	DY2 Q1 report	DY2 Q2 report	DY2 Q3 report
Report due date:	Due 60 days after quarter ends	Due 60 days after quarter ends	Due 60 days after quarter ends	Due 90 days after quarter ends	Due 60 days after quarter ends	Due 60 days after quarter ends	Due 60 days after quarter ends
<b>Metric measurement periods, by calculation lag</b>							
Narrative information on implementation	Mar 1, 2018 – Mar 31, 2018	Apr 1, 2018 – Apr 30, 2018	May 1, 2018 – May 31, 2018	Jun 1, 2018 – Jun 30, 2019	Jul 1, 2019 – Jul 31, 2019	Aug 1, 2019 – Aug 31, 2019	Sep 1, 2019 – Sep 30, 2019
Month	Mar 1, 2018 – Mar 31, 2018	Apr 1, 2018 – Apr 30, 2018	May 1, 2018 – May 31, 2018	Jun 1, 2018 – Jun 30, 2019	Jul 1, 2019 – Jul 31, 2019	Aug 1, 2019 – Aug 31, 2019	Sep 1, 2019 – Sep 30, 2019
Quarter, no lag	Mar 1, 2018 – May 31, 2018	Jun 1, 2018 – Aug 31, 2018	Sep 1, 2018 – Nov 30, 2018	Dec 1, 2018 – Feb 28, 2019	Mar 1, 2019 – May 31, 2019	Jun 1, 2019 – Aug 31, 2019	Sep 1, 2019 – Nov 30, 2019
Quarter, 90 days	NA	Mar 1, 2018 – May 31, 2018	Jun 1, 2018 – Aug 31, 2018	Sep 1, 2018 – Nov 31, 2018	Dec 1, 2018 – Feb 28, 2019	Mar 1, 2019 – May 31, 2019	Jun 1, 2019 – Aug 31, 2019
Demonstration year, no lag	NA	NA	NA	Mar 1, 2018 – Feb 28, 2019	NA	NA	NA
Calendar year, 90 days	NA	NA	NA	Jan 1, 2018 – Dec 31, 2018	NA	NA	NA

The quarters this demonstration are as follows: Q1 = Mar 1 - May 31, Q2 = Jun 1 – Aug 31, Q3 = Sep 1 – Nov 30, Q4 = Dec 1 – Feb 28

DY = Demonstration year

NA = not applicable (information not expected to be included in report)