Medicaid and CHIP
MAC
Learning Collaboratives

TRAINING MATERIALS FOR STATE STAFF:

OVERVIEW OF THE MEDICAID AND CHIP ELIGIBILITY AND
ENROLLMENT PERFORMANCE INDICATORS

September 2015

What is the performance indicators (PI) project?

The Medicaid and CHIP performance indicator (PI) project is an initiative by the Centers for Medicare & Medicaid Services (CMS) to collect, use, and share data on key Medicaid and CHIP business processes—including applications, renewals, eligibility determinations, and enrollment.

The goal of the PI project is to have a consistent, timely, and reliable set of uniform state data for program monitoring, policy development, and public reporting. A key feature of this data set is its rapid availability for program monitoring. States are required to submit data eight days after the end of each month, and immediately after submission, state and CMS staff can review and analyze the data.

The PI data also allow CMS to evaluate changes to eligibility systems and eligibility and enrollment processes required by the Affordable Care Act (ACA), which ushered in many changes to Medicaid and CHIP programs, including expanded program eligibility, increased outreach efforts, and modernized enrollment processes. To support these changes, the federal government has provided enhanced funding for states over the past several years to allow them to upgrade their eligibility and enrollment systems, so that they are better able to implement the streamlined, data-driven application process created by the ACA. PI data allow CMS to monitor and evaluate these changes.

In fall 2013, states reported data covering the period from July through September 2013; these data are used as a baseline from which to measure program changes. Since October 2013, every state and the District of Columbia has been regularly submitting monthly PI data.

How else are the data used?

Selected data elements are reported publicly within a month or two of submission, allowing state staff and other stakeholders to compare their data with data from other states. The publicly reported data are released as quickly as possible, usually as soon as every state has submitted and confirmed its data.

States' engagement with the data collection effort is key to the success of the project. In particular, timely submission of data by the 8th of the month is essential to meeting the goal of publicly releasing the data quickly, as well as avoiding time-consuming manual changes to the public report.

Are states required to submit PI data?

States must submit eligibility and enrollment PI data as part of CMS's seven conditions and standards for receiving enhanced federal funding for their Medicaid IT systems. As noted in condition 6, state systems should be able to produce data that are necessary for oversight, administration, evaluation, integrity, and transparency. Reporting on the eligibility and

enrollment PIs through Socrata is one way states meet this federal requirement. The seven conditions and standards can be accessed at http://www.medicaid.gov/medicaid-chip-program-information/by-topics/data-and-systems/downloads/efr-seven-conditions-and-standards.pdf.

What data are collected?

The indicators are aggregate, state-level data covering 11 topic areas. Every month, states submit about 80 data points covering 11 topic areas shown in the table below.

Call centers
Indicator #1: Call Center Volume
Indicator #2: Call Center Wait Time
Indicator #3: Call Center Abandonment Rate
State workload
Indicator #5: Number of Applications Received
Indicator #6: Number of Electronic Accounts Transferred
Indicator #7: Number of Renewals Due
Indicator #11: Number of Pending Applications or Redeterminations
Determinations
Indicator #9: Number of Individuals Determined Eligible
Indicator #10: Number of Individuals Determined Ineligible
Indicator #12: Application Processing Time
Enrollment
Indicator #8: Total Enrollment

Each topic area has either one or two overall data points (for example, total Medicaid enrollment) and one or more data breakouts that provide additional details on a subset of applicants or beneficiaries (for example, total Medicaid enrollment in MAGI eligibility groups). Some of the breakouts only apply to certain states—for example, those with separate CHIP agencies that have a distinct application process.

How do states submit PI data?

States submit their monthly data through a web-based form called Socrata, accessed at https://sdis.medicaid.gov. State staff new to the PI data collection initiative can request login information by visiting the Socrata site.

To submit PI data, states must first create a new report in Socrata for the reporting period. State staff manually enter data into fields in the new report and save it. Once saved, the Socrata webpage can be closed, and the data will remain available for the next time staff log in. Staff can revise and save the report as many times as needed to accommodate their own processes for running reports and validating the data.

Once the data for the reporting month are final, state staff must hit the red "submit" button to formally submit their report to CMS. In general, data will not be reviewed or publicly reported until a state formally submits its report.

When do states submit PI data?

PI data covering state activity during the previous month are due on the 8th of every month. There are two components to the submission. First, the state creates and submits a new report in Socrata that provides initial data for the current reporting period. Second, the state must review and update selected fields, including enrollment, in the previous month's report. For example, on June 8, the state would submit a new report covering the May reporting period and would also update and re-submit its report covering the April reporting period.

CMS reviews each report after it is submitted and may contact states with follow-up questions about missing fields or unusual data patterns. Also, in the last week of the month, states will receive an automated email showing how their submitted data will be presented in the public report, along with footnotes cataloguing any departures from the standardized data specifications. State staff should review this email to verify the data are correct and that the footnotes are still applicable.

What is the data limitation field?

When a state creates a new data report in Socrata, there is a data limitation field available for each indicator. This field allows states to alert CMS to any relevant caveats or context about its data. The field is used both to create footnotes in the public report and to ensure that any CMS analysis uses a state's data appropriately.

States should use this free-form text field to document:

- Any changes in the way the data was calculated or compiled

- Any ways in which the state's data depart from the uniform specifications in the data dictionary (available at http://medicaid.gov/medicaid-chip-program-information/program-information/sdis.html)

- Any relevant program context that would affect interpretation of the data, such as a state policy change that results in especially high or low indicator values for that month

- A description of any applications or renewals captured in the "other" or "unknown" categories for indicators 5 and 7

When reviewing a state's data, CMS will check the data limitation fields for any relevant information. If an unusual data pattern is found and no explanation is offered in the data limitation field, CMS will usually follow up with the state to clarify whether the data are correct and to ask for further explanation.

What PI data and analyses can a state access?

States that wish to view and analyze their own historical data can do so through Socrata (https://sdis.medicaid.gov). Once logged in, state staff can view a dashboard that graphically displays 12 months of data for the overall data point for most indicators (for example, total enrollment). Data are available from July 2013 to the present. If a state does not submit data for a certain month, no bar will be shown for that month in the dashboard.

Additionally, states can download their own historical data in Excel or in comma-delimited format to conduct trend analyses.

Which indicators are currently publicly reported?

Currently, CMS publicly reports data for all states on the number of applications received by the state (indicator 5), the number of people determined eligible at application (indicator 9), and the total enrollment at the end of the month (indicator 8). CMS is working closely with states to continue to improve data quality and completeness on other indicators. Once an adequate level of data quality is achieved for most states, more indicators will begin to be publicly reported.

Data are released to the public in a monthly narrative report and a downloadable Excel file, available at http://medicaid.gov/medicaid-chip-program-information/program-information/medicaid-and-chip-enrollment-data/medicaid-and-chip-application-eligibility-determination-and-enrollment-data.html. The report highlights key data from the month, provides context on the PIs, and compares the current month's data to the baseline data from fall 2013. The Excel file includes state-level details on enrollment, applications, and determinations at application for each state and the District of Columbia.

Where can I get help with my questions?

The technical assistance webpage on Medicaid.gov (http://medicaid.gov/medicaid-chip-program-information/program-information/sdis.html) contains resources to support the collection and submission of PI data, including:

- **A data dictionary** that defines the terminology used in the PIs and describes what should be reported in each field

- **A compendium of frequently asked questions** that compiles CMS answers to state questions about how to define and report the PIs

- **A submission guide** that explains how upload, update, and submit PI data to CMS via Socrata

- **Training materials for state staff** are also available, highlighting aspects of the PIs that differ by whether a state operates its own marketplace, uses the federally facilitated marketplace (FFM) determination model, or uses the FFM assessment model.

CMS has a team of state leads who are available to provide technical assistance to state staff in reporting the PI data. The CMS PI team can be reached at PerformanceIndicatorsTA@cms.hhs.gov.