# Overview of Reporting Manual

This manual provides information by the Indiana Office of Medicaid Policy and Planning (OMPP) on required performance reporting for the Prior Authorization (PA) Vendor contracted to deliver services for the Traditional Medicaid Fee for Service plans.

This manual is organized into the follow sections:

* Section I: General Reporting Overview briefly introduces the reporting process, describes submission requirements and provides contact information for questions or issues related to performance reporting.
* Section II: Report Catalogue contains a list of all reports by category (e.g., systems and claims, member services, provider services, etc.) with purpose, format type and submission frequency.
* Section III: Report Descriptions: Operations gives specific descriptions for each operations report. This section provides instructions for completing each report, performance measures and data element definitions.
* Section IV: Report Templates contains templates of all reports that have a required submission format. This section also includes the Report Submission Attestation document.

1. **Report Formats**

The PA Vendor must submit all performance data using the formats specified by OMPP and detailed in the performance reporting descriptions of this manual.

Excel: The reporting PA Vendor must submit some data using Excel formats. The reporting PA Vendor must manually input data into the “white” cells within each reporting template; however, please note that all “blue” cells are protected and will automatically calculate metrics based upon the manual inputs. OMPP supplies these templates electronically to the PA Vendor. The Reporting Quarter number will need to be listed on the Table of Contents tab of the template and will then auto populate the other tabs. The finished reports are to be submitted electronically.

Word: The reporting PA Vendor must submit some data using Word formats using its own template. The finished reports are to be submitted electronically.

PA Vendor Format:For reports that do not require any of the aforementioned formats, the reporting PA Vendor may submit a report in an alternate format and must determine this at its own discretion.

1. **Report Frequency**

Quarterly:A quarter is defined as a period of three consecutive months during the calendar year, which is January 1 – December 31. The quarterly periods are as follows:January 1 - March 31, April 1 - June 30, July 1 - September 30, and October 1 - December 31. The submission of the information collected during those periods is due no later than the last day of the month following the end of the reporting quarter.

Annual:These reports follow the calendar year beginning on January 1 and ending on December 31.

Ad Hoc:Ad Hoc Reports are due during any “Quarterly” period, unless specifically requested to be due monthly, in which there is information relevant to the reporting requirements collected during that period.

* 1. **Submission Deadlines**

The PA vendor may submit report data earlier than the actual date the data is due. However, OMPP will consider the data late if OMPP does not receive the data electronically in the designated SharePoint site and email boxes by 4:00 pm (Indianapolis time) on the date due. If the deadline falls on the weekend, it is due the first business day following the deadline.

Extension requests may be considered if the PA Vendor encounters internal operational issues that may occasionally prevent timely submissions of its report data. To request an extension, the PA Vendor must follow these steps:

* + - 1. The PA Vendor must submit its request for an extension at least one full business day before the data is due to OMPP.
      2. The request should be in writing via email directly to the OMPP Prior Authorization Manager. The written request must be sent from the PA Vendor’s Compliance Officer or their alternate.
      3. The written request must explain why an extension is necessary and must suggest an alternative submission due date for OMPP to consider.
      4. OMPP will respond to the PA Vendor’s extension request via email. OMPP may consider the PA Vendor‘s reporting data submission as untimely if the request does not follow the prescribed protocol.

After submission, if OMPP or the PA vendor determines that information has been omitted or an error exists, amended data may be accepted. The OMPP Prior Authorization Manager should be contacted upon discovery. If OMPP receives the replacement data within two business days from the original date due, OMPP will incorporate the data into the current reporting cycle feedback. If OMPP receives the replacement data beyond five business days from the original date due, OMPP may incorporate the replacement data into the next reporting cycle.

For submission, the data may be supplied in one of the following ways:

1. All reporting period data re-submitted, or
2. Submit the template file with all field measures blank, *except for* the replaced/new data.

The file upload must be accompanied with an email message to the Prior Authorization Manager or their alternate; Please include the following information:

* The name of the reports/measures being submitted/ resubmitted
* The reporting period to which the data applies
  1. **SharePoint Instructions**

**General Reporting Submission Requirements**

For effective contract oversight, OMPP relies on the reports submitted by the PA vendor to monitor contract compliance, plan operations and quality outcomes. Reporting in uniform formats and timeframes allows OMPP to fairly compare health plans, as well as overall program performance. To ensure proper and consistent submission of reporting materials, the PA vendor must utilize the most current version of the reporting manual. Reports must be submitted completely and accurately in the specified formats for the reporting periods. OMPP may consider the PA vendor ‘s reporting data as not received, not received on time or inaccurate if the PA vendor submits reporting data in templates or formats not approved by OMPP.

Reports may be required to be submitted on an annual, quarterly, and/or ad hoc basis. The PA vendor must certify as to the accuracy, truthfulness and completeness of the report data. An attestation is to be under the signature of either its Financial Officer or Executive Officer (e.g., President, Chief Executive Office, or Executive Director) and must accompany the report submission. Attestation documents may be uploaded to SharePoint and placed in the corresponding reports’ folder.

If the PA vendor fails to provide report data as required, OMPP may consider the plan noncompliant and may assess remedies as described in the Contract and Scope of Work Attachment.

**Report Submission**

A SharePoint site will act as the repository for data submissions. Information sharing will also occur at a general level utilizing this forum. The reporting manual will be saved and available, calendars for submission will be added, as well as loading comparative reports across programs. With receipt of this document, the PA vendor will be required to submit all reporting data to OMPP using the following SharePoint site: [https://myshare.in.gov/FSSA/ompp/managed care/cs/default.aspx](https://myshare.in.gov/FSSA/ompp/managed%20care/cs/default.aspx).

The Prior Authorization SharePoint site structure has been designed to make the report data readily available for contract management. The PA vendor will be provided with access to the SharePoint sub-site for their program. The PA vendor will then be fully responsible for placing their report data in the appropriate folder location for access and review by OMPP. Strict adherence to naming conventions, file submissions and re-submissions is required.

The SharePoint site structure flow is as follows:

1. In the sub-site, there will be a titled tab for FFS. The PA vendor will have limited access to its own program tab.
2. Along the left hand side, in the content box for each tab will be a link for Shared Documents. Click to open.
3. Located in each tab, there will be a folderfor each year. Click on the applicable reporting year (i.e. 2016, 2017 etc.)
4. For each year, there will be sub-folders titled for quarterly and annual reporting periods and any ad-hoc reports. Please note: Quarterly, annual, and ad-hoc reports should be uploaded to the sub-folder titled for the month, quarter, or year being reported. All communication and material related to work plans that OMPP requests from the PA vendor should be placed in the appropriate folder. This will allow all updates to be in one location.
5. In the monthly or quarterly sub-folders are Report Category sub-folders where reports are to be located.
6. A document can then be uploaded to the appropriate folder in the requisite naming conventions described later in this document. To upload documents, click on either “New” or “Upload” by following the instructions provided at the site.
7. An index of the categories and related reports can be located on the program sub-site to determine specifically where a report belongs. Generally, the attestation and ad hoc documents, and any open work plans belong in a dedicated folder. Indiana Department of Revenue reports belong in the Financial Reports folder.
   1. Example: Placement of quarterly PA data requested to be submitted by October 31, 2016. Drill down in the following path:

* Sub-Site: FFS
* Tab: CMCS
* Folder: 2016
* Sub-Folder: October
* Sub-Folder: Prior Authorization Reports
* Excel File: PA-CMCS-Quarterly-Oct 2016

**File Naming Conventions**

All excel files are required to be submitted in a format that OMPP may readily utilize for consolidation into comparison reports. Excel files may not be modified from the templates provided to the PA vendor. The PA vendor should populate data into the required field locations only. Quality control check validations should occur with every report submission by the PA vendor to reduce replacement files and inaccurate reporting.

PA vendor reports are to be submitted in the following format:

Vendor:

Reporting Period:

Report Name:

Report Code:

* + - 1. Excel file documents are a compilation of a report series. An overall abbreviation for these reports of “PA” is to be used.
      2. Reporting Period: Quarters should be designated as Q1, Q2, Q3, or Q4 and Annual should be designated as AN. Two digit years should be indicated.

Example 1: **“PA**-CMCS-Q1-17.xls**”**

**SharePoint Access**

Access should be made available within five business days. To obtain or modify access for PA vendor staff, an email request should be sent to OMPP. Please include the following attributes:

* Vendor Name
* Employee Name
* Employee Telephone number
* Employee Email address
* Title
* Requested Action: (New, Delete, Modify)
* Access Type: (Read only, Edit/Contribute)
  1. **OMPP Audits**

OMPP reserves the right to audit the PA vendor’s self-reported data and change reporting requirements at any time with reasonable notice. OMPP may require corrective actions as specified in Section 6.2.1 of the Scope of Work and any subsequent contract amendments, for the PA vendor noncompliance with these and other subsequent reporting requirements and performance standards. OMPP may change the frequency of reports and may require additional reports with reasonable advance notice to the PA vendor.

* 1. **OMPP Reviews**

Contractor agrees that the State may periodically review Contractor’s books and records to verify the accuracy of Contractor’s performance reports and to otherwise determine Contractor’s entitlement to performance based monies. Such reviews may be conducted at any time upon reasonable prior notice. Contractor shall cooperate with the State with respect to any such review. The State’s review rights shall continue for a period of five (5) years following the termination or expiration of the Contract, regardless of the reason for termination.

* 1. **Performance Reporting Feedback**

OMPP will provide feedback to the PA vendor regarding its performance reporting data. Feedback will include confirmation letters upon receiving the performance data, feedback via an excel sheet regarding issues for which OMPP requires additional explanation. At OMPP’s discretion, the OMPP Prior Authorization Manger may discuss any performance reports, or any other data, during the PA vendor’s regular on-site visit or at any other time.

OMPP may schedule meetings or conference calls with the PA vendor upon receiving the PA vendor’s performance data. When OMPP identifies potential performance issues, the PA vendor must formally respond in writing to these issues within two business days of the receipt of the feedback meeting or conference call. If the PA vendor fails to provide a formal, written response to the feedback or fails to respond within two business days, OMPP may consider the PA vendor noncompliant in its performance reporting and may implement corrective actions.

* 1. **Contact Information**

The PA vendor’s Compliance Officer is responsible for submitting the reporting data and receiving confirmation and feedback from OMPP. This liaison is responsible for distributing this feedback within the plan’s organization and coordinating with OMPP to ensure timely responses to report questions. However, OMPP recognizes that there may be occasions when a Compliance Officer is not available to facilitate, oversee or communicate with OMPP directly. OMPP encourages the PA vendor to designate an alternate for its Compliance Officer. The Compliance Officer should contact the OMPP Prior Authorization Manager with their alternate’s contact information. In the absence of the Compliance Officer, OMPP will then recognize that alternate as the person authorized to transmit and submit report data to OMPP.

For questions or issues related to the reporting requirements, data elements definitions, due dates or report content for each program, the PA vendor is encouraged to contact the OMPP Prior Authorization Manager.