

Welcome to the Medicaid Enterprise Certification Toolkit (MECT) V.2.3. Below is a list of the documents included in the toolkit release, with a description of the changes to each.

File Name	Description	MECT 2.2	MECT 2.3
01 MECT Medicaid Enterprise Certification Life Cycle	Gives detailed information about the new Medicaid Enterprise Certification Life Cycle (MECL), including: - A description of how the MECL accommodates agile and waterfall approaches, outsourcing, and modular development - An explanation of roles and responsibilities of the state, of CMS (Regional Offices and Central Office), and of the independent verification and validation (IV&V) contractor - A detailed description of each certification milestone review and activity in the MECL - How to select a certification checklist set and how to prepare for a certification milestone review - An explanation of how states that have already begun a Medicaid Management Information System (MMIS) upgrade/replacement project can transition to the new MECL	Changed the word “consultation” to “consult” when referring to Activities 1 and 8. Changed reuse “library” to reuse “repository.” Included use of a Project Partnership Understanding (PPU) document in Activity 1. Emphasized that the Regional Office is the primary point of contact for states. The state fills out, and the IV&V contractor appends, only the checklists for the modules that are undergoing a milestone review in the report that immediately precedes a milestone review. IV&V progress reports are to be submitted to the MMIS certification mailbox and to the Regional Office. Provided clarification about what states need to do with adjudicated checklists they receive from the IV&V contractor. Included swim lane designations in the activity diagrams. The Project Initiation (R1) and Operational Milestone (R2) reviews consist of CMS reviewing and commenting on the MMIS IV&V Certification Progress Report. Site or virtual visits are not required unless CMS deems them necessary. If after R1, plans have altered considerably (e.g.,	Updated language throughout to reflect removal of the MITA Business Area Checklist Set. In Section 1.2, placed the toolkit components into a bulletized list. Indicated in Section 1.8 that if plans have changed significantly since the Project Initiation Milestone review (R1), the state may need to undergo another R1 review. Section 1.12 was edited for clarity. In Section 2.4 clarified how the IV&V contractor can provide advice to the state without compromising independence. Sections 3.1.13, 3.3.3 and 3.4.3 mention that CMS may choose to send test cases or scenarios to the state to be included as part of milestone reviews. In Section 4.1, added language that explains that states need to answer each checklist criterion, even those at Medicaid Information Technology Architecture (MITA) maturity levels higher than the state’s To-Be maturity target. In Section 5.1.1, explained that when state is preparing to send a module(s) through milestone reviews, the state has two options. The state can update the core checklists (IA, TA, and Standards and Conditions) it used for its previous module(s). Or, it can download blank ones and start fresh for those checklists. State column adjudication choices now include “Not applicable.”

		there is a contract protest, scope is changed, additional modules are included in a cohort, etc.), CMS may determine that another R1 is warranted. Mention of commercial-off-the-shelf solutions has been removed, as these will be covered in more detail in the future under CMS' pre-certification process. Clarification added about what is necessary for the state to send to CMS before milestone reviews can be scheduled. Updated graphic showing the timeline for milestone review preparations to show 6-8 weeks before review. The IV&V contractor needs to send progress report with completed checklists, and state should grant access to evidence no fewer than two weeks before the milestone reviews. Guidance included about the preferred methods for providing evidence to CMS to comply with the Health Insurance Portability and Accountability Act. Removed from Activity 26 that the output is an MMIS IV&V Progress Report signed by the Technical Director and Regional Administrator. Document version reflects toolkit version number MECT 2.2 and July 2017 release date.	The CMS email address has changed to MES@cms.hhs.gov. For Activity 17 diagram, removed mention that IV&V contractor "signs off" on designs. In Section 3.1.12, explained that uploading evidence to CMS repository is the preferred method of submitting evidence. Maintaining a state repository and granting CMS access is also acceptable. Removed unnecessary wording about state using its own system development life cycle (SDLC) templates. In section 4.1, added figure showing the checklist guidance tab along with a short explanation. Updated Section 5.1 to include more details about preparing for a milestone review.
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02 MECT Appendix A_MECL and At a Glance Sheets	Contains a workflow diagram of the MECL. When clicked, each activity box on the workflow diagram leads to an At-a-Glance Sheet that summarizes what the activity entails.	Where applicable, changes reflect those made to 01 MECT Medicaid Enterprise Certification Life Cycle. Document version reflects toolkit version number MECT 2.2.	Removed the small R2 columns and R2 note box. Removed references to the MITA Checklist set. For Activity 1, emphasized that the customized checklist set option requires approval from CMS. Clarified in the Progress Report activity that checklists only need to be appended to the progress reports prepared for milestone reviews, not for every quarterly report and updated the CMS email address. For Activity 17, removed mention that IV&V contractor “signs off” on designs. For Activity 19, the description was updated to reflect the use of tabs in the E&E IV&V Progress Report. Altered Activity 25 wording to reflect updated Certification Request Letter Template language. For milestone review activities, mentioned that CMS may choose to send test cases or scenarios to the state to be included as part of milestone reviews. Updated Life of Checklists diagram to reflect the removal of the MITA Checklist Set from MECT.
03 MECT Appendix B_Required Artifacts List	A table of what artifacts/evidence are needed for each certification milestone review.	Incident management and change management plans added to list, as well as a roll out plan. For Database Design, "an automatically generated record, if possible" replaced with "samples of logical data model, corresponding physical model data structures with data dictionary excerpts for each structure." Interface control documents added to System Design Document.	Added New Medicare Card Program’s State Readiness Report to the list. Clarified that production screenshots, reports, and data are supplied as checklist evidence.

		Document version reflects toolkit version number MECT 2.2 and July 2017 release date.	
04 MECT Appendix C_Std IVV Language	Contains standard language for states to include in their IV&V request for proposals (RFPs)/contracts/contract modifications	Indicated that more than one Project Initiation Milestone Review is possible and that progress reports are required at least quarterly. Document version reflects toolkit version number MECT 2.2.	Removed language requiring IV&V contractor to send completed checklists with each quarterly report.
05 MECT Appendix D_MMIS IVV Progress Report Template	The template that IV&V contractors use to report the state's progress toward certification. This template is also used for CMS to respond to the IV&V findings and note any concerns after milestone reviews.	Format changed to Excel workbook having three tabs: IV&V, Programmatic, and CMS. Programmatic CSFs tab include revised and expanded list of programmatic CSFs, most of which were moved out of the TA, IA and Standards and Conditions checklists into this report template. Document version reflects toolkit version number MECT 2.2.	Corrected cell validations and updated instructions. Removed Project Management Office Status section. Expanded options for reporting project performance in a Budget & Schedule Metrics section, which includes space for custom metrics. In Life Cycle Status and Schedule section, included rows to provide information on additional modules and removed MITA module rows. Risks section formatting altered. Updated drop down options for Reviewer Assessment column in Programmatic tab, to match with checklists. Updated instructions and formatting in the CMS tab. Added definitions for "observations," "findings," "corrective actions," and "recommendations" on the CMS tab.
06 MECT Appendix E_MMIS ConOps Template	This template is included as a courtesy to states. A state can use it to create its MMIS Concept of Operations.	No change to content.	Modified the Context Diagram section.

07 MECT Appendix F_ MITA eSelf Assessment Scorecard	This is an Excel workbook that states can use to perform MITA self-assessments.	No change to content.	No change to content.
08 MECT 2_2 Appendix G_2007 Criteria to MECT X.Y Map	Maps the 2007 certification criteria to their places within the MECT 2.0 toolkit certification checklists	Document version reflects toolkit version number MECT 2.2.	Document version reflects toolkit version number MECT 2.3.
09 MECT Appendix H_PPU Template	Project Partnership Understanding used during the first activity to document decisions made between the state and CMS. It is updated throughout the project as needed to document subsequent decisions.	Document version reflects toolkit version number MECT 2.2.	Combined the project and milestone review schedule subsections. Added language in the instructions to reflect removal of MITA checklist set from the toolkit.
10 MECT Appendix I_Uniform RFP Guide	Created by the MMIS State Cohort and the Private Sector Technology Group, this document provides tips for states creating RFPs for MMIS procurements.	Updated system integrator material. Updated standards and conditions for Medicaid IT material. Document reflects July 2017 release date.	No change to content.
11 MECT Appendix J_MMIS Certification Request Letter Template	The MMIS Certification Request Letter is a template that a state can use to prepare its letter to CMS.	Added statement "All necessary documentation required for MMIS Certification Final Milestone Review has been provided to CMS, per the Medicaid Enterprise Certification Toolkit." Corrected 42 CFR 433.177 to 42 CFR 433.117. Document version reflects toolkit version number MECT 2.2.	Removed mention of cost allocation plan. Altered the template to reflect that some statements only need to be included for certain modules. Changed "The MMIS routinely generates backups containing up-to-date and accurate MSIS (Medicaid Statistical Information System) data" to "The system is routinely backed up." Added statement asserting that the state has submitted its most recent copy of the New Medicare

			Card Program (NMCP) State Medicaid Agency Readiness Report.
12 MECT Appendix K_Map of MITA Business Areas to Criteria	Shows to which business areas each criterion corresponds.	N/A	This is a new appendix.
13 MECT Appendix L_Milestone Review Preparation Guide	Explains in detail what to expect from a milestone review and how a state can prepare for them.	N/A	This is a new appendix.
MECT MITA Business Area Module Checklist Set	This is the complete set of certification criteria and critical success factors organized by MITA business areas. A state would choose this checklist set if it is organizing its MMIS modules around the MITA business areas.	Guidance tabs have been added to IA, TA, and Standards and Conditions (S&C) checklists clarifying the type of evidence a state could provide for each criteria and type of milestone review. Several IA, TA, and S&C checklist criteria have been removed. A few were moved from one checklist to another. Some IA, TA, and S&C checklist criteria have been moved to the programmatic tab of the MMIS IV&V Progress Report Template. Reference numbers for the criteria were retained for easy traceability. A checklist release notes workbook was included in the set.	Removed this checklist set.

14 MECT MMIS Module Checklist Set	This is the complete set of certification criteria and critical success factors organized by traditional MMIS functions. A state would choose this checklist set if it is organizing its modules around MMIS functions.	Guidance tabs have been added to IA, TA, and S&C checklists clarifying the type of evidence a state could provide for each criteria and type of milestone review. Several IA, TA, and S&C checklist criteria have been removed. A few were moved from one checklist to another. Some IA, TA, and S&C checklist criteria have been moved to the programmatic tab of the MMIS IV&V Progress Report Template. Reference numbers for the criteria were retained for easy traceability. A checklist release notes workbook was included in the set.	Corrected an issue that prevented hyperlinks from being properly inserted into the checklists. State column adjudication choices now include “Not applicable.” Enhanced guidance for the Information Architecture, Standards and Conditions for Medicaid IT, and three Technical Architecture checklists. Added guidance tab to the Provider Management and Pharmacy checklists. Corrections and updates made to the checklist release notes. Included columns for CMS adjudications and comments; updated instructions. Among other things, the checklist instructions include “It is important that states provide answers for each criterion in the checklists, even for those sourced mapped to a higher maturity level (ML) than the state’s target ML.” Corrected the spurious inclusion of TA.SP.75 (which had previously been moved to the IV&V progress report template). Added electronic visit verification (EVV) criteria (PE.PI1.22 to PE.PI1.26) to the Program Integrity checklist.
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