

**Facesheet: 1. Request Information (1 of 2)**

- A. The **State of New York** requests a waiver/amendment under the authority of section 1915(b) of the Act. The Medicaid agency will directly operate the waiver.
- B. **Name of Waiver Program(s):** Please list each program name the waiver authorizes.

Short title (nickname)	Long title	Type of Program
FMS Sel Contract	Children's Waiver FMS Selective Contracting	FFS;

**Waiver Application Title** (optional - this title will be used to locate this waiver in the finder):

Children's Waiver FMS Selective Contracting

- C. **Type of Request.** This is an:

**Initial request for a new waiver.**

**Migration Waiver** - this is an existing approved waiver  
Provide the information about the original waiver being migrated

**Base Waiver Number:**

**Amendment Number** (if applicable):

**Effective Date:** (mm/dd/yy)

**Requested Approval Period:** (For waivers requesting three, four, or five year approval periods, the waiver must serve individuals who are dually eligible for Medicaid and Medicare.)

- 1 year
- 2 years
- 3 years
- 4 years
- 5 years

**Draft ID:** NY.050.00.00

- D. **Effective Dates:** This waiver is requested for a period of 5 years. (For beginning date for an initial or renewal request, please choose first day of a calendar quarter, if possible, or if not, the first day of a month. For an amendment, please identify the implementation date as the beginning date, and end of the waiver period as the end date)

**Proposed Effective Date:** (mm/dd/yy)

**Proposed End Date:** 02/28/29  
*Calculated as "Proposed Effective Date" (above) plus "Requested Approval Period" (above) minus one day.*

**Facesheet: 2. State Contact(s) (2 of 2)**

- E. **State Contact:** The state contact person for this waiver is below:

**Name:**

Colette V. Poulin MSSA Health Program Director Children's Health Home, DPDM

**Phone:**  **Ext:**

**TTY**

**Fax:**

**E-mail:**

colette.poulin@health.ny.gov

If the State contact information is different for any of the authorized programs, please check the program name below and provide the contact information.

The State contact information is different for the following programs:

#### Children's Waiver FMS Selective Contracting

*Note: If no programs appear in this list, please define the programs authorized by this waiver on the first page of the*

## Section A: Program Description

### Part I: Program Overview

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#### Tribal consultation.

For initial and renewal waiver requests, please describe the efforts the State has made to ensure Federally recognized tribes in the State are aware of and have had the opportunity to comment on this waiver proposal.

A Tribal Notification was sent out on September 28, 2022 and updated on July 5, 2023 with the new effective date, informing the Tribes of the submission of a new 1915(b)(4) waiver application to allow selective contracting for Financial Management Services for the Children's Waiver.

*Program History required for renewal waivers only.*

## Section A: Program Description

### Part I: Program Overview

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#### A. Statutory Authority (1 of 3)

**1. Waiver Authority.** The State's waiver program is authorized under section 1915(b) of the Act, which permits the Secretary to waive provisions of section 1902 for certain purposes. Specifically, the State is relying upon authority provided in the following subsection(s) of the section 1915(b) of the Act (if more than one program authorized by this waiver, please list applicable programs below each relevant authority):

- a. **1915(b)(1)** - The State requires enrollees to obtain medical care through a primary care case management (PCCM) system or specialty physician services arrangements. This includes mandatory capitated programs.  
-- *Specify Program Instance(s) applicable to this authority*

#### FMS Sel Contract

- b. **1915(b)(2)** - A locality will act as a central broker (agent, facilitator, negotiator) in assisting eligible individuals in choosing among PCCMs or competing MCOs/PIHPs/PAHPs in order to provide enrollees with more information about the range of health care options open to them.  
-- *Specify Program Instance(s) applicable to this authority*

#### FMS Sel Contract

- c. **1915(b)(3)** - The State will share cost savings resulting from the use of more cost-effective medical care with enrollees by providing them with additional services. The savings must be expended for the benefit of the Medicaid beneficiary enrolled in the waiver. Note: this can only be requested in conjunction with section 1915(b)(1) or (b)(4) authority.  
-- *Specify Program Instance(s) applicable to this authority*

#### FMS Sel Contract

- d. **1915(b)(4)** - The State requires enrollees to obtain services only from specified providers who undertake to provide such services and meet reimbursement, quality, and utilization standards which are consistent with access, quality, and efficient and economic provision of covered care and services. The State assures it will

comply with 42 CFR 431.55(f).

-- *Specify Program Instance(s) applicable to this authority*

**FMS Sel Contract**

The 1915(b)(4) waiver applies to the following programs

**MCO**

**PIHP**

**PAHP**

**PCCM** (Note: please check this item if this waiver is for a PCCM program that limits who is eligible to be a primary care case manager. That is, a program that requires PCCMs to meet certain quality/utilization criteria beyond the minimum requirements required to be a fee-for-service Medicaid contracting provider.)

**FFS Selective Contracting program**

Please describe:

New York requests a waiver to selectively contract for Financial Management Services to assist an individual eligible under the Children's Waiver with the purchase of Adaptive and Assistive Technology, Environmental Modifications and Vehicle Modifications. under the waiver. This waiver request includes all individuals enrolled in the Children's Waiver for whom the service is on their HCBS plan of care. This application requests a five-year waiver approval for selective contracting for FMS providers who will purchase the services and serve as the provider of record on the HCBS plan of care. The estimated number of enrollees, at a given time, projected to be served through the FMS service is no greater than 337 individuals by year 5.

An alternative payment structure will be utilized for FMS based on a 2016 study conducted by the State of New York on the average cost incurred by FMS providers purchasing goods for less than \$60,000. The payments are based upon the expected monthly utilization of the Adaptive and Assistive Technology, Environmental Modifications, and Vehicle Modifications under the waiver. All payments to the FMS provider are paid through eMedNY, the State's MMIS.

## Section A: Program Description

### Part I: Program Overview

#### A. Statutory Authority (2 of 3)

**2. Sections Waived.** Relying upon the authority of the above section(s), the State requests a waiver of the following sections of 1902 of the Act (if this waiver authorizes multiple programs, please list program(s) separately under each applicable statute):

- a. Section 1902(a)(1) - Statewide**--This section of the Act requires a Medicaid State plan to be in effect in all political subdivisions of the State. This waiver program is not available throughout the State.  
-- *Specify Program Instance(s) applicable to this statute*

**FMS Sel Contract**

- b. Section 1902(a)(10)(B) - Comparability of Services**--This section of the Act requires all services for categorically needy individuals to be equal in amount, duration, and scope. This waiver program includes additional benefits such as case management and health education that will not be available to other Medicaid beneficiaries not enrolled in the waiver program.  
-- *Specify Program Instance(s) applicable to this statute*

**FMS Sel Contract**

- c. Section 1902(a)(23) - Freedom of Choice**--This Section of the Act requires Medicaid State plans to permit all individuals eligible for Medicaid to obtain medical assistance from any qualified provider in the State. Under this program, free choice of providers is restricted. That is, beneficiaries enrolled in this program must receive certain services through an MCO, PIHP, PAHP, or PCCM.

-- Specify Program Instance(s) applicable to this statute

FMS Sel Contract

- d. **Section 1902(a)(4)** - To permit the State to mandate beneficiaries into a single PIHP or PAHP, and restrict disenrollment from them. (If state seeks waivers of additional managed care provisions, please list here).

-- Specify Program Instance(s) applicable to this statute

FMS Sel Contract

- e. **Other Statutes and Relevant Regulations Waived** - Please list any additional section(s) of the Act the State requests to waive, and include an explanation of the request.

-- Specify Program Instance(s) applicable to this statute

FMS Sel Contract

### Section A: Program Description

#### Part I: Program Overview

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##### A. Statutory Authority (3 of 3)

**Additional Information.** Please enter any additional information not included in previous pages:

### Section A: Program Description

#### Part I: Program Overview

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##### B. Delivery Systems (1 of 3)

**1. Delivery Systems.** The State will be using the following systems to deliver services:

- a. **MCO:** Risk-comprehensive contracts are fully-capitated and require that the contractor be an MCO or HIO. Comprehensive means that the contractor is at risk for inpatient hospital services and any other mandatory State plan service in section 1905(a), or any three or more mandatory services in that section. References in this preprint to MCOs generally apply to these risk-comprehensive entities.
- b. **PIHP:** Prepaid Inpatient Health Plan means an entity that: (1) provides medical services to enrollees under contract with the State agency, and on the basis of prepaid capitation payments or other payment arrangements that do not use State Plan payment rates; (2) provides, arranges for, or otherwise has responsibility for the provision of any inpatient hospital or institutional services for its enrollees; and (3) does not have a comprehensive risk contract. Note: this includes MCOs paid on a non-risk basis.

**The PIHP is paid on a risk basis**

**The PIHP is paid on a non-risk basis**

- c. **PAHP:** Prepaid Ambulatory Health Plan means an entity that: (1) provides medical services to enrollees under contract with the State agency, and on the basis of prepaid capitation payments, or other payment

arrangements that do not use State Plan payment rates; (2) does not provide or arrange for, and is not otherwise responsible for the provision of any inpatient hospital or institutional services for its enrollees; and (3) does not have a comprehensive risk contract. This includes capitated PCCMs.

**The PAHP is paid on a risk basis**

**The PAHP is paid on a non-risk basis**

- d. **PCCM:** A system under which a primary care case manager contracts with the State to furnish case management services. Reimbursement is on a fee-for-service basis. Note: a capitated PCCM is a PAHP.
- e. **Fee-for-service (FFS) selective contracting:** State contracts with specified providers who are willing to meet certain reimbursement, quality, and utilization standards.

**the same as stipulated in the state plan**

**different than stipulated in the state plan**

Please describe:

FMS provider qualifications are described in the Children's HCBS Waiver .4125, as amended effective 03/01/2024.

- f. **Other:** (Please provide a brief narrative description of the model.)

## Section A: Program Description

### Part I: Program Overview

#### B. Delivery Systems (2 of 3)

**2. Procurement.** The State selected the contractor in the following manner. Please complete for each type of managed care entity utilized (e.g. procurement for MCO; procurement for PIHP, etc):

**Procurement for MCO**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for PIHP**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for PAHP**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for PCCM**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for FFS**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

The Health Home Serving Children’s (HHSC) program was launched in December 2016, with 16 Health Homes designated to serve children based on a rigorous application and multi-state-agency review process. HHSC are subject to quality reviews and designated and redesignated to serve Medicaid children for up to five years through a formal process. In 2023 there are 12 Health Homes and any Health Home Serving Children may provide this service so long as the entity agrees to a contract amendment holding the Health Home to federal and state FMS requirements.

Initially, based upon inquiry, one HHSC chose to provide FMS throughout the State and successfully passed the readiness review: Children's Health Home of Upstate New York, LLC (CHHUNY)

**Section A: Program Description**

**Part I: Program Overview**

**B. Delivery Systems (3 of 3)**

**Additional Information.** Please enter any additional information not included in previous pages:

- The Health Home (HH) entity must be enrolled as an HH with New York Medicaid and agree to all Centers for Medicare & Medicaid Services (CMS) required FMS protections in their administrative contract;
- Develop a person-centered plan to support each individual with the technology, modifications, needed to remain in, or return to, their home;
- For each AT/E-Mod/V-Mod, demonstrate cost-effectiveness and include a realistic and comprehensive budget;
- Provide services and supports to help individuals manage health and behavioral health conditions, address other disabling conditions or life challenges that become barriers to independence and increase quality of life;
- Facilitate access to health services and improve the health status and quality of life experiences of individuals who are enrolled in Medicaid;
- Ensure that any individual eligible for HCBS waiver services may receive AT/E-Mod/V-Mod where the provider of record is a qualified HH acting as an FMS. An individual must choose an FMS if AT/E-Mod/V-Mod is included in their service plan.
- Develop and facilitate a network of vendors, contractors, and evaluators within the FMS service area;
- Support the individual by identifying qualified providers and ensuring cost effectiveness, facilitating payment of approved AT/E-Mod/V-Mod, fiscal accounting and reporting, ensuring Medicaid and corporate compliance, and general administrative supports.
- The 1915(c) waiver authority does not permit making payments for services directly to a waiver individual, either to reimburse the individual for expenses incurred or to enable the individual to directly pay a service provider. Instead, payments must be made through an intermediary organization that performs financial transactions (paying for AT/E-Mod/V-Mod included in the individual's service plan) on behalf of the individual. The provision of FMS ensures payments for AT/E-Mod/V-Mod included in the individual's service plan are made appropriately and in a timely manner.
- Ensure that any individual eligible for HCBS waiver services receives AT/E-Mod/V-Mod in a timely manner according to the NYS DOH outlined requirements. The FMS will work with members, families, contractors, and vendors to promote timely service delivery.
- HHs will function as an OHCDs (i.e., the State will include the purchase of AT/E-Mod/V-Mod when it is a covered as service in the waiver) in its provider agreement with such entities. The FMS may then purchase AT/E-Mod/V-Mod authorized in the service plan on the individual's behalf and bill the costs of such AT/E-Mod/V-Mod to the State. An agreement with a vendor is not required but there must be documentation to verify the purchase of the AT/E-Mod/V-Mod and the AT/E-Mod/V-Mod must meet the standards specified in the waiver.
- Upon approval by CMS, meet all current and future requirements, procedures and terms outlined in the approved 1915c Children's Waiver and 1915b4 Waiver authorizing and outlining the provision of these services;
- Comply with current and future policies, standards and procedures, regulations, and operational policies implemented by DOH and the Centers for Medicare and Medicaid Services (CMS) for Health Homes generally and specifically with respect to Health Homes designated to serve children;
- Participate in related case reviews and other oversight processes conducted by DOH;
- Establish a process to bill and be reimbursed for the AT/E-Mod/V-Mod services managed by your HH and be responsible for payment to the AT/E-Mod/V-Mod providers;
- Establish a process to bill under eMedNY, as required, only for the amount of the AT/E-Mods/V-Mods under the rate codes for each of those services and under a separate rate code for the Fiscal Management Service; and
- Participate in and attend trainings and informational Webinars provided or sponsored by DOH related to the provision or oversight of these services.

## Section A: Program Description

### Part I: Program Overview

#### C. Choice of MCOs, PIHPs, PAHPs, and PCCMs (1 of 3)

##### 1. Assurances.

The State assures CMS that it complies with section 1932(a)(3) of the Act and 42 CFR 438.52, which require that a State that mandates Medicaid beneficiaries to enroll in an MCO, PIHP, PAHP, or PCCM must give those beneficiaries a choice of at least two entities.

The State seeks a waiver of section 1932(a)(3) of the Act, which requires States to offer a choice of more than one PIHP or PAHP per 42 CFR 438.52. Please describe how the State will ensure this lack of choice of PIHP or PAHP is not detrimental to beneficiaries ability to access services.

The FMS services are provided statewide.

Health Homes are providers of Health Home care management under the State Plan and must comply with 1945 of the Social Security Act. Fiscal Management Service is a new service under the Children’s HCBS waiver. The Health Homes will establish written agreements with AT/E-Mod/V-Mod providers. Under a written agreement between the Health Homes and the State Medicaid agency, Health Homes will bill and be reimbursed for the AT/E-Mod/V-Mod services they are managing and will be responsible for payment to the AT/E-Mod/V-Mod providers.

When financial management services are furnished as a waiver service, the number of providers may not be limited without a 1915(b)(4). This 1915(b)(4) waiver will permit NYS to selectively contract with Health Homes to be the Organized Health Care Delivery System (OHCDs) provider of record for AT/E-Mods/V-Mods for FFS members. It is not anticipated that there will be other providers of record for AT/E-Mods/V-Mods.

Under the administrative contract with Health Homes, the Health Homes are held to the same contractual requirements of ensuring provider qualifications of purchased services including AT/E-Mods/V-Mods. Health Homes are monitored to ensure that they contract with providers meeting applicable requirements. Entities which furnish financial management services undergo a readiness review as part of the determination that such entities are qualified to furnish these services.

Financial accountability is assured because Health Homes are required to bill eMedNY only for the amount of the AT/E-Mods/V-Mods under the rate codes for each of those services and under a separate rate code for the Fiscal Management Service.

**2. Details.** The State will provide enrollees with the following choices (please replicate for each program in waiver):

*Program: " Children's Waiver FMS Selective Contracting. "*

**Two or more MCOs**

**Two or more primary care providers within one PCCM system.**

**A PCCM or one or more MCOs**

**Two or more PIHPs.**

**Two or more PAHPs.**

**Other:**

please describe

**Section A: Program Description**

**Part I: Program Overview**

**C. Choice of MCOs, PIHPs, PAHPs, and PCCMs (2 of 3)**

**3. Rural Exception.**

The State seeks an exception for rural area residents under section 1932(a)(3)(B) of the Act and 42 CFR 438.52(b), and assures CMS that it will meet the requirements in that regulation, including choice of physicians or case managers, and ability to go out of network in specified circumstances. The State will use the rural exception in the following areas ( "rural area" must be defined as any area other than an "urban area" as defined in 42 CFR 412.62(f)(1)(ii)):

**4. 1915(b)(4) Selective Contracting.**

**Beneficiaries will be limited to a single provider in their service area**

Please define service area.

All beneficiaries will be permitted a choice of AT/E-Mod/V-mod vendors. There will be one Health Home acting as the FMS throughout the state.  
 Members will receive FMS through the HH in their region, but they will have a choice of Emod/VMod/AT providers from among those providers that are available in their region. DOH will add additional FMS providers, remove FMS providers, or shift regions at any time based upon the evaluation of access and quality under the waiver in order to meet the needs of the members served.

**Beneficiaries will be given a choice of providers in their service area**

**Section A: Program Description**

**Part I: Program Overview**

**C. Choice of MCOs, PIHPs, PAHPs, and PCCMs (3 of 3)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part I: Program Overview**

**D. Geographic Areas Served by the Waiver (1 of 2)**

**1. General.** Please indicate the area of the State where the waiver program will be implemented. (If the waiver authorizes more than one program, please list applicable programs below item(s) the State checks.

- **Statewide** -- all counties, zip codes, or regions of the State  
 -- *Specify Program Instance(s) for Statewide*

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- **Less than Statewide**  
 -- *Specify Program Instance(s) for Less than Statewide*

**FMS Sel Contract**

**2. Details.** Regardless of whether item 1 or 2 is checked above, please list in the chart below the areas (i.e., cities, counties, and/or regions) and the name and type of entity or program (MCO, PIHP, PAHP, HIO, PCCM or other entity) with which the State will contract.

City/County/Region	Type of Program (PCCM, MCO, PIHP, or PAHP)	Name of Entity (for MCO, PIHP, PAHP)
Statewide	Selected contracting Health Homes	Children's Health Home of Upstate New York, LLC (CHHUNY)

**Section A: Program Description**

**Part I: Program Overview**

**D. Geographic Areas Served by the Waiver (2 of 2)**

**Additional Information.** Please enter any additional information not included in previous pages:

Children's Health Home of Upstate New York, LLC (CHHUNY) - CHHUNY is the FMS.

**Section A: Program Description**

## Part I: Program Overview

### E. Populations Included in Waiver (1 of 3)

Please note that the eligibility categories of Included Populations and Excluded Populations below may be modified as needed to fit the States specific circumstances.

**1. Included Populations.** The following populations are included in the Waiver Program:

**Section 1931 Children and Related Populations** are children including those eligible under Section 1931, poverty-level related groups and optional groups of older children.

**Mandatory enrollment**

**Voluntary enrollment**

**Section 1931 Adults and Related Populations** are adults including those eligible under Section 1931, poverty-level pregnant women and optional group of caretaker relatives.

**Mandatory enrollment**

**Voluntary enrollment**

**Blind/Disabled Adults and Related Populations** are beneficiaries, age 18 or older, who are eligible for Medicaid due to blindness or disability. Report Blind/Disabled Adults who are age 65 or older in this category, not in Aged.

**Mandatory enrollment**

**Voluntary enrollment**

**Blind/Disabled Children and Related Populations** are beneficiaries, generally under age 18, who are eligible for Medicaid due to blindness or disability.

**Mandatory enrollment**

**Voluntary enrollment**

**Aged and Related Populations** are those Medicaid beneficiaries who are age 65 or older and not members of the Blind/Disabled population or members of the Section 1931 Adult population.

**Mandatory enrollment**

**Voluntary enrollment**

**Foster Care Children** are Medicaid beneficiaries who are receiving foster care or adoption assistance (Title IV-E), are in foster-care, or are otherwise in an out-of-home placement.

**Mandatory enrollment**

**Voluntary enrollment**

**TITLE XXI SCHIP** is an optional group of targeted low-income children who are eligible to participate in Medicaid if the State decides to administer the State Childrens Health Insurance Program (SCHIP) through the Medicaid program.

**Mandatory enrollment**

**Voluntary enrollment**

**Other** (Please define):

Children enrolled under the 1915c Children's Waiver requiring adaptive and assistive technology, vehicle modifications, or environmental modifications.

Section A: Program Description

Part I: Program Overview

E. Populations Included in Waiver (2 of 3)

2. Excluded Populations. Within the groups identified above, there may be certain groups of individuals who are excluded from the Waiver Program. For example, the Aged population may be required to enroll into the program, but Dual Eligibles within that population may not be allowed to participate. In addition, Section 1931 Children may be able to enroll voluntarily in a managed care program, but Foster Care Children within that population may be excluded from that program. Please indicate if any of the following populations are excluded from participating in the Waiver Program:

**Medicare Dual Eligible** --Individuals entitled to Medicare and eligible for some category of Medicaid benefits. (Section 1902(a)(10) and Section 1902(a)(10)(E))

**Poverty Level Pregnant Women** -- Medicaid beneficiaries, who are eligible only while pregnant and for a short time after delivery. This population originally became eligible for Medicaid under the SOBRA legislation.

**Other Insurance** --Medicaid beneficiaries who have other health insurance.

**Reside in Nursing Facility or ICF/IID** --Medicaid beneficiaries who reside in Nursing Facilities (NF) or Intermediate Care Facilities for the Individuals with Intellectual Disabilities (ICF/IID).

**Enrolled in Another Managed Care Program** --Medicaid beneficiaries who are enrolled in another Medicaid managed care program

**Eligibility Less Than 3 Months** --Medicaid beneficiaries who would have less than three months of Medicaid eligibility remaining upon enrollment into the program.

**Participate in HCBS Waiver** --Medicaid beneficiaries who participate in a Home and Community Based Waiver (HCBS, also referred to as a 1915(c) waiver).

**American Indian/Alaskan Native** --Medicaid beneficiaries who are American Indians or Alaskan Natives and members of federally recognized tribes.

**Special Needs Children (State Defined)** --Medicaid beneficiaries who are special needs children as defined by the State. Please provide this definition.

**SCHIP Title XXI Children** Medicaid beneficiaries who receive services through the SCHIP program.

**Retroactive Eligibility** Medicaid beneficiaries for the period of retroactive eligibility.

**Other** (Please define):

Section A: Program Description

## Part I: Program Overview

### E. Populations Included in Waiver (3 of 3)

**Additional Information.** Please enter any additional information not included in previous pages:

## Section A: Program Description

### Part I: Program Overview

#### F. Services (1 of 5)

List all services to be offered under the Waiver in Appendices D2.S. and D2.A of Section D, Cost-Effectiveness.

##### 1. Assurances.

The State assures CMS that services under the Waiver Program will comply with the following federal requirements:

- Services will be available in the same amount, duration, and scope as they are under the State Plan per 42 CFR 438.210(a)(2).
- Access to emergency services will be assured per section 1932(b)(2) of the Act and 42 CFR 438.114.
- Access to family planning services will be assured per section 1905(a)(4) of the Act and 42 CFR 431.51(b)

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of more of the regulatory requirements listed above for PIHP or PAHP programs. Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any. (See note below for limitations on requirements that may be waived).

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of 42 CFR 438.210(a)(2), 438.114, and 431.51 (Coverage of Services, Emergency Services, and Family Planning) as applicable. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply. The State assures CMS that services will be available in the same amount, duration, and scope as they are under the State Plan.

The state assures CMS that it complies with Title I of the Medicare Modernization Act of 2003, in so far as these requirements are applicable to this waiver.

Note: Section 1915(b) of the Act authorizes the Secretary to waive most requirements of section 1902 of the Act for the purposes listed in sections 1915(b)(1)-(4) of the Act. However, within section 1915(b) there are prohibitions on waiving the following subsections of section 1902 of the Act for any type of waiver program:

- Section 1902(s) -- adjustments in payment for inpatient hospital services furnished to infants under age 1, and to children under age 6 who receive inpatient hospital services at a Disproportionate Share Hospital (DSH) facility.
- Sections 1902(a)(15) and 1902(bb) prospective payment system for FQHC/RHC
- Section 1902(a)(10)(A) as it applies to 1905(a)(2)(C) comparability of FQHC benefits among Medicaid beneficiaries
- Section 1902(a)(4)(C) -- freedom of choice of family planning providers
- Sections 1915(b)(1) and (4) also stipulate that section 1915(b) waivers may not waive freedom of choice of emergency services providers.

## Section A: Program Description

### Part I: Program Overview

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#### F. Services (2 of 5)

**2. Emergency Services.** In accordance with sections 1915(b) and 1932(b) of the Act, and 42 CFR 431.55 and 438.114, enrollees in an MCO, PIHP, PAHP, or PCCM must have access to emergency services without prior authorization, even if the emergency services provider does not have a contract with the entity.

The PAHP, PAHP, or FFS Selective Contracting program does not cover emergency services.

Emergency Services Category General Comments (optional):

**3. Family Planning Services.** In accordance with sections 1905(a)(4) and 1915(b) of the Act, and 42 CFR 431.51(b), prior authorization of, or requiring the use of network providers for family planning services is prohibited under the waiver program. Out-of-network family planning services are reimbursed in the following manner:

The MCO/PIHP/PAHP will be required to reimburse out-of-network family planning services.

The MCO/PIHP/PAHP will be required to pay for family planning services from network providers, and the State will pay for family planning services from out-of-network providers.

The State will pay for all family planning services, whether provided by network or out-of-network providers.

Other (please explain):

Family planning services are not included under the waiver.

Family Planning Services Category General Comments (optional):

## Section A: Program Description

### Part I: Program Overview

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#### F. Services (3 of 5)

**4. FQHC Services.** In accordance with section 2088.6 of the State Medicaid Manual, access to Federally Qualified Health Center (FQHC) services will be assured in the following manner:

The program is **voluntary**, and the enrollee can disenroll at any time if he or she desires access to FQHC services. The MCO/PIHP/PAHP/PCCM is not required to provide FQHC services to the enrollee during the enrollment period.

The program is **mandatory** and the enrollee is guaranteed a choice of at least one MCO/PIHP/PAHP/PCCM which has at least one FQHC as a participating provider. If the enrollee elects not to select a MCO/PIHP/PAHP/PCCM that gives him or her access to FQHC services, no FQHC services will be required to be furnished to the enrollee while

the enrollee is enrolled with the MCO/PIHP/PAHP/PCCM he or she selected. Since reasonable access to FQHC services will be available under the waiver program, FQHC services outside the program will not be available. Please explain how the State will guarantee all enrollees will have a choice of at least one MCO/PIHP/PAHP/PCCM with a participating FQHC:

The program is **mandatory** and the enrollee has the right to obtain FQHC services **outside** this waiver program through the regular Medicaid Program.

FQHC Services Category General Comments (optional):

**5. EPSDT Requirements.**

The managed care programs(s) will comply with the relevant requirements of sections 1905(a)(4)(b) (services), 1902(a)(43) (administrative requirements including informing, reporting, etc.), and 1905(r) (definition) of the Act related to Early, Periodic Screening, Diagnosis, and Treatment (EPSDT) program.

EPSDT Requirements Category General Comments (optional):

**Section A: Program Description**

**Part I: Program Overview**

**F. Services (4 of 5)**

**6. 1915(b)(3) Services.**

This waiver includes 1915(b)(3) expenditures. The services must be for medical or health-related care, or other services as described in 42 CFR Part 440, and are subject to CMS approval. Please describe below what these expenditures are for each waiver program that offers them. Include a description of the populations eligible, provider type, geographic availability, and reimbursement method.

1915(b)(3) Services Requirements Category General Comments:

**7. Self-referrals.**

The State requires MCOs/PIHPs/PAHPs/PCCMs to allow enrollees to self-refer (i.e. access without prior authorization) under the following circumstances or to the following subset of services in the MCO/PIHP/PAHP/PCCM contract:

Self-referrals Requirements Category General Comments:

**8. Other.**

Other (Please describe)

**Section A: Program Description**

**Part I: Program Overview**

**F. Services (5 of 5)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part II: Access**

**A. Timely Access Standards (1 of 7)**

Each State must ensure that all services covered under the State plan are available and accessible to enrollees of the 1915(b) Waiver Program. Section 1915(b) of the Act prohibits restrictions on beneficiaries access to emergency services and family planning services.

**1. Assurances for MCO, PIHP, or PAHP programs**

The State assures CMS that it complies with section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services; in so far as these requirements are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

*If the 1915(b) Waiver Program does not include a PCCM component, please continue with Part II.B. Capacity Standards.*

**Section A: Program Description**

Part II: Access

A. Timely Access Standards (2 of 7)

2. **Details for PCCM program.** The State must assure that Waiver Program enrollees have reasonable access to services. Please note below the activities the State uses to assure timely access to services.

a. **Availability Standards.** The States PCCM Program includes established maximum distance and/or travel time requirements, given beneficiary's normal means of transportation, for waiver enrollees access to the following providers. For each provider type checked, please describe the standard.

1. PCPs

*Please describe:*

2. Specialists

*Please describe:*

3. Ancillary providers

*Please describe:*

4. Dental

*Please describe:*

5. Hospitals

*Please describe:*

6. Mental Health

*Please describe:*

7. Pharmacies

*Please describe:*

8. Substance Abuse Treatment Providers

*Please describe:*

9. Other providers

*Please describe:*

**Section A: Program Description**

**Part II: Access**

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**A. Timely Access Standards (3 of 7)**

**2. Details for PCCM program. (Continued)**

**b. Appointment Scheduling** means the time before an enrollee can acquire an appointment with his or her provider for both urgent and routine visits. The States PCCM Program includes established standards for appointment scheduling for waiver enrollees access to the following providers.

1. PCPs

*Please describe:*

2. Specialists

*Please describe:*

3. Ancillary providers

*Please describe:*

4. Dental

*Please describe:*

5. Mental Health

*Please describe:*

6. Substance Abuse Treatment Providers

*Please describe:*

7. Urgent care

*Please describe:*

8. Other providers

*Please describe:*

**Section A: Program Description**

**Part II: Access**

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**A. Timely Access Standards (4 of 7)**

**2. Details for PCCM program. (Continued)**

**c. In-Office Waiting Times:** The States PCCM Program includes established standards for in-office waiting times. For each provider type checked, please describe the standard.

1. PCPs

*Please describe:*

2. Specialists

*Please describe:*

**3. Ancillary providers**

*Please describe:*

**4. Dental**

*Please describe:*

**5. Mental Health**

*Please describe:*

**6. Substance Abuse Treatment Providers**

*Please describe:*

**7. Other providers**

*Please describe:*

**Section A: Program Description**

**Part II: Access**

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**A. Timely Access Standards (5 of 7)**

**2. Details for PCCM program. (Continued)**

**d. Other Access Standards**

**Section A: Program Description**

**Part II: Access**

---

A. Timely Access Standards (6 of 7)

3. Details for 1915(b)(4)FFS selective contracting programs: Please describe how the State assures timely access to the services covered under the selective contracting program.

FMS designated provider(s) must have enough professional staffing to carry-out the contractual requirements and the ability to coordinate a network of providers to ensure the provision of services for FMS service recipients. The State will oversee the Health Homes' management of these services and monitor access and performance standards to ensure service delivery according to policies and standards. This includes the timely completion of Adaptive and Assistive Technology, Vehicle Modifications, Environmental Modifications.

The State will monitor access and performance and will require providers to increase professional staff to provide services in a timely manner. The state may also contract with additional Health Homes meeting FMS qualifications to provide FMS, if eligible Medicaid beneficiaries are unable to access services in a timely manner.

The State will monitor adherence to the FMS standards and requirements applicable to the provision of these services and to ensure that service providers meet applicable requirements. In addition, the State may request, at any time, information to determine if the FMS is meeting these standards (e.g., care plans and related documents), including future re-designation surveys of the FMS as a Health Home.

Some of the distinctions of a well - organized provider of FMS include ongoing training and supervision of staff, routine quality oversight and monitoring, review of applicable documents, identifying and implementing corrective plans of action to immediately address deficiencies, and ensuring staff have the level of expertise and experience to support the needs of the child and their family.

Section A: Program Description

Part II: Access

A. Timely Access Standards (7 of 7)

Additional Information. Please enter any additional information not included in previous pages:

[Empty text box for additional information]

Section A: Program Description

Part II: Access

B. Capacity Standards (1 of 6)

1. Assurances for MCO, PIHP, or PAHP programs

The State assures CMS that it complies with section 1932(b)(5) of the Act and 42 CFR 438.207 Assurances of adequate capacity and services, in so far as these requirements are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:

[Empty text box for identifying regulatory requirements]

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(b)(5) and 42 CFR 438.207 Assurances of adequate capacity and services. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS

Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

If the 1915(b) Waiver Program does not include a PCCM component, please continue with Part II, C. Coordination and Continuity of Care Standards.

Section A: Program Description

Part II: Access

B. Capacity Standards (2 of 6)

2. Details for PCCM program. The State must assure that Waiver Program enrollees have reasonable access to services. Please note below which of the strategies the State uses assure adequate provider capacity in the PCCM program.

- a. The State has set enrollment limits for each PCCM primary care provider.

Please describe the enrollment limits and how each is determined:

[Empty text box for describing enrollment limits]

- b. The State ensures that there are adequate number of PCCM PCPs with open panels.

Please describe the States standard:

[Empty text box for describing States standard]

- c. The State ensures that there is an adequate number of PCCM PCPs under the waiver assure access to all services covered under the Waiver.

Please describe the States standard for adequate PCP capacity:

[Empty text box for describing States standard for adequate PCP capacity]

Section A: Program Description

Part II: Access

B. Capacity Standards (3 of 6)

2. Details for PCCM program. (Continued)

- d. The State compares numbers of providers before and during the Waiver.

Table with 4 columns: Provider Type, # Before Waiver, # in Current Waiver, # Expected in Renewal

Please note any limitations to the data in the chart above:

[Empty text box for noting limitations to data]

- e. The State ensures adequate geographic distribution of PCCMs.

Please describe the States standard:

**Section A: Program Description**

**Part II: Access**

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**B. Capacity Standards (4 of 6)**

**2. Details for PCCM program. (Continued)**

- f. **PCP:Enrollee Ratio.** The State establishes standards for PCP to enrollee ratios.

Area/(City/County/Region)	PCCM-to-Enrollee Ratio

*Please note any changes that will occur due to the use of physician extenders.:*

- g. **Other capacity standards.**

*Please describe:*

**Section A: Program Description**

**Part II: Access**

---

**B. Capacity Standards (5 of 6)**

- 3. **Details for 1915(b)(4)FFS selective contracting programs:** Please describe how the State assures provider capacity has not been negatively impacted by the selective contracting program. Also, please provide a detailed capacity analysis of the number of beds (by type, per facility) for facility programs, or vehicles (by type, per contractor) for non-emergency transportation programs, needed per location to assure sufficient capacity under the waiver program. This analysis should consider increased enrollment and/or utilization expected under the waiver.

DOH has conducted a statewide analysis of need and has monitored access for these services since 2019 under a different structure. To ensure adequate access, the State will work with FMS providers to determine if additional providers are needed to meet the needs of individuals. DOH will add additional FMS providers, remove FMS providers, or shift regions at any time based upon the evaluation of access and quality under the waiver in order to meet the needs of the members served. One provider is necessary based on utilization expected under the waiver and the ability to successfully pass the readiness review.

FMS providers are required to submit claims under the eMedNY system. The State will utilize claims data to collect utilization data regarding service delivery. The State has implemented stakeholder groups to resolve implementation issues regarding Adaptive and Assistive Technology, Vehicle Modifications, Environmental Modifications, which are currently being managed by the local districts of social services. DOH will track and monitor point-in-time reports for timeliness of beneficiary access as well as ongoing delivery of service elements while the beneficiary is enrolled. DOH will monitor demand of the service and evaluate the need to add providers.

The utilization standard is that consumers receive medically necessary Adaptive and Assistive Technology, Vehicle Modifications, Environmental Modifications, in the amount, scope and duration identified on their plan of care. The review process includes random review of selected plans of care. Each selected plan of care is compared with the assessments and the services billed to Medicaid for the specified time frame. If services were not provided as needed and planned, the review team looks for explanation as to why not. If the reason was access to, or availability of, qualified direct service providers, the review team looks for documentation of the steps taken by the FMS to address the problem. If the problem has not been resolved at the time of the review, the FMS must address the issue in its Corrected Action Plan (COP).

Through regularly occurring point-in-time required HCBS provider reporting as well as eMedNY claiming, the State will monitor the services compared to the plan of care. The State plans to use benchmark standards that are currently under development to evaluate a providers' ability to meet set performance measures. Results will be monitored for deficiencies. Any deficiencies identified will be addressed and monitored to ensure that appropriate remediation is completed.

DOH will also utilize documentation and billing standards that are currently under development to monitor and ensure the delivery of all service components as a condition of payment.

Providers who fall below benchmark utilization standards will be required to submit an action plan for performance improvement. Action plans for performance improvement will be required for any benchmark standard that has been previously noted as a programmatic trend and/or area that continues to lack significant improvement. The State will monitor action plans, provide technical assistance and complete remedial site visits if necessary. If a remedial site visit is warranted, a written summary of the site visit will be issued, including findings and recommendations.

All monitoring of individual cases will be maintained and completed by the FMS provider. If there is an indication of non-compliance or deficiency identified in the level of FMS involvement, additional information will be requested and reviewed to evaluate fully.

**Section A: Program Description**

**Part II: Access**

**B. Capacity Standards (6 of 6)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part II: Access**

**C. Coordination and Continuity of Care Standards (1 of 5)**

1. Assurances for MCO, PIHP, or PAHP programs

The State assures CMS that it complies with section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services; in so far as these requirements are applicable.

The State seeks a waiver of a waiver of section 1902(a)(4) of the Act, to waive one or more of more of the regulatory requirements listed above for PIHP or PAHP programs.

Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:

[Empty rectangular box for identifying regulatory requirements and alternatives]

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

Section A: Program Description

Part II: Access

C. Coordination and Continuity of Care Standards (2 of 5)

2. Details on MCO/PIHP/PAHP enrollees with special health care needs.

The following items are required.

- a. The plan is a PIHP/PAHP, and the State has determined that based on the plans scope of services, and how the State has organized the delivery system, that the **PIHP/PAHP need not meet the requirements** for additional services for enrollees with special health care needs in 42 CFR 438.208.

Please provide justification for this determination:

[Empty rectangular box for justification]

- b. **Identification.** The State has a mechanism to identify persons with special health care needs to MCOs, PIHPs, and PAHPs, as those persons are defined by the State.

Please describe:

[Empty rectangular box for description]

- c. **Assessment.** Each MCO/PIHP/PAHP will implement mechanisms, using appropriate health care professionals, to assess each enrollee identified by the State to identify any ongoing special conditions that require a course of treatment or regular care monitoring. Please describe:

Please describe the enrollment limits and how each is determined:

[Empty rectangular box for enrollment limits]

- d. **Treatment Plans.** For enrollees with special health care needs who need a course of treatment or regular care monitoring, the State requires the MCO/PIHP/PAHP to produce a treatment plan.If so, the treatment plan

meets the following requirements:

- 1. Developed by enrollees primary care provider with enrollee participation, and in consultation with any specialists care for the enrollee.
- 2. Approved by the MCO/PIHP/PAHP in a timely manner (if approval required by plan).
- 3. In accord with any applicable State quality assurance and utilization review standards.

*Please describe:*

- e. **Direct access to specialists.** If treatment plan or regular care monitoring is in place, the MCO/PIHP/PAHP has a mechanism in place to allow enrollees to directly access specialists as appropriate for enrollees condition and identified needs.

*Please describe:*

## Section A: Program Description

### Part II: Access

#### C. Coordination and Continuity of Care Standards (3 of 5)

**3. Details for PCCM program.** The State must assure that Waiver Program enrollees have reasonable access to services. Please note below which of the strategies the State uses assure adequate provider capacity in the PCCM program.

- a. Each enrollee selects or is assigned to a **primary care provider** appropriate to the enrollees needs.
- b. Each enrollee selects or is assigned to a designated **designated health care practitioner** who is primarily responsible for coordinating the enrollees overall health care.
- c. Each enrollee is receives **health education/promotion** information.

*Please explain:*

- d. Each provider maintains, for Medicaid enrollees, **health records** that meet the requirements established by the State, taking into account professional standards.
- e. There is appropriate and confidential **exchange of information** among providers.
- f. Enrollees receive information about specific health conditions that require **follow-up** and, if appropriate, are given training in self-care.
- g. Primary care case managers **address barriers** that hinder enrollee compliance with prescribed treatments or regimens, including the use of traditional and/or complementary medicine.
- h. **Additional case management** is provided.

*Please include how the referred services and the medical forms will be coordinated among the practitioners, and documented in the primary care case managers files.*

**i. Referrals.**

*Please explain in detail the process for a patient referral. In the description, please include how the referred services and the medical forms will be coordinated among the practitioners, and documented in the primary care case managers files.*

**Section A: Program Description**

**Part II: Access**

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**C. Coordination and Continuity of Care Standards (4 of 5)**

**4. Details for 1915(b)(4) only programs:** If applicable, please describe how the State assures that continuity and coordination of care are not negatively impacted by the selective contracting program.

The robust enforcement of program standards for FMS ensures that everyone receiving FMS has a HCBS plan of care that is coordinated with any other provider providing services. Therefore, by identifying the FMS as the selective contracting program, coordination of care is assured.

**Section A: Program Description**

**Part II: Access**

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**C. Coordination and Continuity of Care Standards (5 of 5)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part III: Quality**

**1. Assurances for MCO or PIHP programs**

The State assures CMS that it complies with section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.202, 438.204, 438.210, 438.214, 438.218, 438.224, 438.226, 438.228, 438.230, 438.236, 438.240, and 438.242 in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.202, 438.204, 438.210, 438.214,

438.218, 438.224, 438.226, 438.228, 438.230, 438.236, 438.240, and 438.242. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

Section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.202 requires that each State Medicaid agency that contracts with MCOs and PIHPs submit to CMS a written strategy for assessing and improving the quality of managed care services offered by all MCOs and PIHPs.

The State assures CMS that this **quality strategy** was initially submitted to the CMS Regional Office on:

(mm/dd/yy)

The State assures CMS that it complies with section 1932(c)(2) of the Act and 42 CFR 438 Subpart E, to arrange for an annual, independent, **external quality review** of the outcomes and timeliness of, and access to the services delivered under each MCO/ PIHP contract. Note: EQR for PIHPs is required beginning March 2004. *Please provide the information below (modify chart as necessary):*

Program Type	Name of Organization	Activities Conducted		
		EQR study	Mandatory Activities	Optional Activities
MCO	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
PIHP	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Section A: Program Description**

**Part III: Quality**

**2. Assurances For PAHP program**

The State assures CMS that it complies with section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.210, 438.214, 438.218, 438.224, 438.226, 438.228, 438.230 and 438.236, in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the PAHP contracts for compliance with the provisions of section 1932(c) (1)(A)(iii)-(iv) of the Act and 42 CFR 438.210, 438.214, 438.218, 438.224, 438.226, 438.228, 438.230 and 438.236. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

**Section A: Program Description**

**Part III: Quality**

**3. Details for PCCM program.** The State must assure that Waiver Program enrollees have access to medically necessary services of adequate quality. Please note below the strategies the State uses to assure quality of care in the PCCM program.

- a. The State has developed a set of overall quality **improvement guidelines** for its PCCM program.

Please describe:

**Section A: Program Description**

**Part III: Quality**

---

**3. Details for PCCM program. (Continued)**

**b. State Intervention:** If a problem is identified regarding the quality of services received, the State will intervene as indicated below.

1. Provide education and informal mailings to beneficiaries and PCCMs
2. Initiate telephone and/or mail inquiries and follow-up
3. Request PCCMs response to identified problems
4. Refer to program staff for further investigation
5. Send warning letters to PCCMs
6. Refer to States medical staff for investigation
7. Institute corrective action plans and follow-up
8. Change an enrollees PCCM
9. Institute a restriction on the types of enrollees
10. Further limit the number of assignments
11. Ban new assignments
12. Transfer some or all assignments to different PCCMs
13. Suspend or terminate PCCM agreement
14. Suspend or terminate as Medicaid providers
15. Other

Please explain:

**Section A: Program Description**

**Part III: Quality**

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**3. Details for PCCM program. (Continued)**

**c. Selection and Retention of Providers:** This section provides the State the opportunity to describe any requirements, policies or procedures it has in place to allow for the review and documentation of qualifications and other relevant information pertaining to a provider who seeks a contract with the State or PCCM administrator as a PCCM. This section is required if the State has applied for a 1915(b)(4) waiver that will be applicable to the PCCM program.

Please check any processes or procedures listed below that the State uses in the process of selecting and retaining PCCMs. The State (please check all that apply):

1. Has a documented process for selection and retention of PCCMs (please submit a copy of that documentation).
2. Has an initial credentialing process for PCCMs that is based on a written application and site

visits as appropriate, as well as primary source verification of licensure, disciplinary status, and eligibility for payment under Medicaid.

- 3. Has a recredentialing process for PCCMs that is accomplished within the time frame set by the State and through a process that updates information obtained through the following (check all that apply):

- A. Initial credentialing

- B. Performance measures, including those obtained through the following (check all that apply):

- The utilization management system.
- The complaint and appeals system.
- Enrollee surveys.
- Other.

*Please describe:*

- 4. Uses formal selection and retention criteria that do not discriminate against particular providers such as those who serve high risk populations or specialize in conditions that require costly treatment.
- 5. Has an initial and recredentialing process for PCCMs other than individual practitioners (e.g., rural health clinics, federally qualified health centers) to ensure that they are and remain in compliance with any Federal or State requirements (e.g., licensure).
- 6. Notifies licensing and/or disciplinary bodies or other appropriate authorities when suspensions or terminations of PCCMs take place because of quality deficiencies.
- 7. Other

*Please explain:*

### Section A: Program Description

#### Part III: Quality

---

##### 3. Details for PCCM program. (Continued)

d. Other quality standards (please describe):

### Section A: Program Description

#### Part III: Quality

---

**4. Details for 1915(b)(4) only programs:** Please describe how the State assures quality in the services that are covered by the selective contracting program. Please describe the provider selection process, including the criteria used to select the providers under the waiver. These include quality and performance standards that the providers must meet. Please also describe how each criteria is weighted:

Through eMedNY claims reports, HCBS provider monitoring, and regularly occurring point-in-time reporting, the State will monitor contracted providers using benchmarks and performance and programmatic standards.

All providers found to have deficiencies will be required to submit an action plan for performance improvement for review and approval by DOH. Areas found deficient become a focus of future review and analysis of compliance. DOH will provide technical assistance as necessary to ensure the FMS provider comes into compliance and meets required benchmarks. If a provider fails to comply it may be determined that they no longer meet the requirements to be a qualified provider of the service.

DOH’s processes for monitoring the programmatic and performance standards is on-going and comprehensive. Methods include routine data collection, action plans for performance improvement, remedial record reviews, feedback from participants, and meeting with providers. DOH intends to issue guidance, training, and/or administrative directives to all FMS providers to address identified concerns and provide clarification on FMS service delivery. The provision of regular technical assistance provides additional opportunities for evaluating compliance.

**Section A: Program Description**

**Part IV: Program Operations**

**A. Marketing (1 of 4)**

**1. Assurances**

The State assures CMS that it complies with section 1932(d)(2) of the Act and 42 CFR 438.104 Marketing activities; in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(d)(2) of the Act and 42 CFR 438.104 Marketing activities. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

**Section A: Program Description**

**Part IV: Program Operations**

**A. Marketing (2 of 4)**

**2. Details**

**a. Scope of Marketing**

1. The State does not permit direct or indirect marketing by MCO/PIHP/PAHP/PCCM or selective contracting FFS providers.
2. The State permits indirect marketing by MCO/PIHP/PAHP/PCCM or selective contracting FFS providers (e.g., radio and TV advertising for the MCO/PIHP/PAHP or PCCM in general).

Please list types of indirect marketing permitted:

- 3. The State permits direct marketing by MCO/PIHP/PAHP/PCCM or selective contracting FFS providers (e.g., direct mail to Medicaid beneficiaries).

Please list types of direct marketing permitted:

## Section A: Program Description

### Part IV: Program Operations

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#### A. Marketing (3 of 4)

##### 2. Details (Continued)

**b. Description.** Please describe the States procedures regarding direct and indirect marketing by answering the following questions, if applicable.

- 1. The State prohibits or limits MCOs/PIHPs/PAHPs/PCCMs/selective contracting FFS providers from offering gifts or other incentives to potential enrollees.

Please explain any limitation or prohibition and how the State monitors this:

- 2. The State permits MCOs/PIHPs/PAHPs/PCCMs/selective contracting FFS providers to pay their marketing representatives based on the number of new Medicaid enrollees he/she recruited into the plan.

Please explain how the State monitors marketing to ensure it is not coercive or fraudulent:

- 3. The State requires MCO/PIHP/PAHP/PCCM/selective contracting FFS providers to translate marketing materials.

Please list languages materials will be translated into. (If the State does not translate or require the translation of marketing materials, please explain):

The State has chosen these languages because (check any that apply):

- a. The languages comprise all prevalent languages in the service area.

Please describe the methodology for determining prevalent languages:

b. The languages comprise all languages in the service area spoken by approximately  percent or more of the population.

c. Other

*Please explain:*

**Section A: Program Description**

**Part IV: Program Operations**

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**A. Marketing (4 of 4)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part IV: Program Operations**

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**B. Information to Potential Enrollees and Enrollees (1 of 5)**

**1. Assurances**

The State assures CMS that it complies with Federal Regulations found at section 1932(a)(5) of the Act and 42 CFR 438.10 Information requirements; in so far as these regulations are applicable.

The State seeks a waiver of a waiver of section 1902(a)(4) of the Act, to waive one or more of more of the regulatory requirements listed above for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(a)(5) of the Act and 42 CFR 438.10 Information requirements. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

**Section A: Program Description**

**Part IV: Program Operations**

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**B. Information to Potential Enrollees and Enrollees (2 of 5)**

2. Details

a. Non-English Languages

- 1. Potential enrollee and enrollee materials will be translated into the prevalent non-English languages.

*Please list languages materials will be translated into. (If the State does not require written materials to be translated, please explain):*

If the State does not translate or require the translation of marketing materials, please explain:

The State defines prevalent non-English languages as: (check any that apply):

- a. The languages spoken by significant number of potential enrollees and enrollees.

*Please explain how the State defines significant.:*

- b. The languages spoken by approximately  percent or more of the potential enrollee/enrollee population.

- c. Other

*Please explain:*

- 2. Please describe how oral translation services are available to all potential enrollees and enrollees, regardless of language spoken.

- 3. The State will have a mechanism in place to help enrollees and potential enrollees understand the managed care program.

*Please describe:*

**Section A: Program Description**

**Part IV: Program Operations**

**B. Information to Potential Enrollees and Enrollees (3 of 5)**

**2. Details (Continued)**

**b. Potential Enrollee Information**

Information is distributed to potential enrollees by:

State

Contractor

*Please specify:*

There are no potential enrollees in this program. (Check this if State automatically enrolls beneficiaries into a single PIHP or PAHP.)

**Section A: Program Description**

**Part IV: Program Operations**

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**B. Information to Potential Enrollees and Enrollees (4 of 5)**

**2. Details** (Continued)

**c. Enrollee Information**

The State has designated the following as responsible for providing required information to enrollees:

the State

State contractor

*Please specify:*

The MCO/PIHP/PAHP/PCCM/FFS selective contracting provider.

**Section A: Program Description**

**Part IV: Program Operations**

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**B. Information to Potential Enrollees and Enrollees (5 of 5)**

**Additional Information.** Please enter any additional information not included in previous pages:

NYS and the FMS will train HH care managers to educate children and their families receiving AT/E-Mod/V-Mod on how to utilize the FMS to purchase these services.

It is anticipated that HH care managers and The Children and Youth Evaluation Service independent evaluators will serve as the primary referral sources for FMS, to share information about the program with beneficiaries who may be eligible for the program. Informational brochures are required to be given to the member and their family regarding the services and how they can be utilized.

Lastly, information about FMS will be available on the DOH website

[https://www.health.ny.gov/health\\_care/medicaid/redesign/behavioral\\_health/children/emod\\_vmod\\_at.htm](https://www.health.ny.gov/health_care/medicaid/redesign/behavioral_health/children/emod_vmod_at.htm)

FMS providers must make arrangements or work with the individual’s Health Home Care Management entity to provide interpretation, translation, or any other service the participant may require due to special needs. This may be accomplished through a variety of means, including employing culturally competent bi-lingual staff, language lines, translation services, and resources from the community. FMS providers are responsible for promoting and implementing cultural competencies, practices, and procedures to ensure that diverse cultures are considered in all aspects of the delivery of the service.

The State of New York will monitor grievances and appeals through the provider hotline to ensure that there are no complaints regarding beneficiary information.

**Section A: Program Description**

**Part IV: Program Operations**

**C. Enrollment and Disenrollment (1 of 6)**

**1. Assurances**

The State assures CMS that it complies with section 1932(a)(4) of the Act and 42 CFR 438.56 Disenrollment; in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs. (Please check this item if the State has requested a waiver of the choice of plan requirements in section A.I.C.)

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(a)(4) of the Act and 42 CFR 438.56 Disenrollment requirements. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

**Section A: Program Description**

**Part IV: Program Operations**

**C. Enrollment and Disenrollment (2 of 6)**

**2. Details**

Please describe the States enrollment process for MCOs/PIHPs/PAHP/PCCMs and FFS selective contracting provider by checking the applicable items below.

**a. Outreach**

The State conducts outreach to inform potential enrollees, providers, and other interested parties of the managed care program.

*Please describe the outreach process, and specify any special efforts made to reach and provide information to special populations included in the waiver program:*

## Section A: Program Description

### Part IV: Program Operations

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#### C. Enrollment and Disenrollment (3 of 6)

##### 2. Details (Continued)

##### b. Administration of Enrollment Process

State staff conducts the enrollment process.

The State contracts with an independent contractor(s) (i.e., enrollment broker) to conduct the enrollment process and related activities.

The State assures CMS the enrollment broker contract meets the independence and freedom from conflict of interest requirements in section 1903(b) of the Act and 42 CFR 438.810.

Broker name:

Please list the functions that the contractor will perform:

- choice counseling
- enrollment
- other

*Please describe:*

State allows MCO/PIHP/PAHP or PCCM to enroll beneficiaries.

*Please describe the process:*

## Section A: Program Description

### Part IV: Program Operations

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#### C. Enrollment and Disenrollment (4 of 6)

##### 2. Details (Continued)

**c. Enrollment** . The State has indicated which populations are mandatorily enrolled and which may enroll on a voluntary basis in Section A.I.E.

This is a **new** program.

Please describe the **implementation schedule** (e.g. implemented statewide all at once; phased in by area; phased in by population, etc.):

This is an **existing program** that will be expanded during the renewal period.

*Please describe:* Please describe the **implementation schedule** (e.g. new population implemented statewide all at once; phased in by area; phased in by population, etc.):

If a potential enrollee **does not select** an MCO/PIHP/PAHP or PCCM within the given time frame, the potential enrollee will be **auto-assigned** or default assigned to a plan.

- i. Potential enrollees will have  **day(s) / month(s)** to choose a plan.
- ii. There is an auto-assignment process or algorithm.

*In the description please indicate the factors considered and whether or not the auto-assignment process assigns persons with special health care needs to an MCO/PIHP/PAHP/PCCM who is their current provider or who is capable of serving their particular needs:*

The State automatically enrolls beneficiaries.

on a mandatory basis into a single MCO, PIHP, or PAHP in a rural area (please also check item A.I.C.3).

on a mandatory basis into a single PIHP or PAHP for which it has requested a waiver of the requirement of choice of plans (please also check item A.I.C.1).

on a voluntary basis into a single MCO, PIHP, or PAHP. The State must first offer the beneficiary a choice. If the beneficiary does not choose, the State may enroll the beneficiary as long as the beneficiary can opt out at any time without cause.

*Please specify geographic areas where this occurs:*

The State provides **guaranteed eligibility** of  months (maximum of 6 months permitted) for MCO/PCCM enrollees under the State plan.

The State allows otherwise mandated beneficiaries to request **exemption** from enrollment in an MCO/PIHP/PAHP/PCCM.

*Please describe the circumstances under which a beneficiary would be eligible for exemption from enrollment. In addition, please describe the exemption process:*

The State **automatically re-enrolls** a beneficiary with the same PCCM or MCO/PIHP/PAHP if there is a loss of Medicaid eligibility of 2 months or less.

**Section A: Program Description**

**Part IV: Program Operations**

**C. Enrollment and Disenrollment (5 of 6)**

**2. Details (Continued)**

**d. Disenrollment**

The State allows enrollees to **disenroll** from/transfer between MCOs/PIHPs/PAHPs and PCCMs. Regardless of whether plan or State makes the determination, determination must be made no later than the first day of the second month following the month in which the enrollee or plan files the request. If determination is not made within this time frame, the request is deemed approved.

- i.** Enrollee submits request to State.
- ii.** Enrollee submits request to MCO/PIHP/PAHP/PCCM. The entity may approve the request, or refer it to the State. The entity may not disapprove the request.
- iii.** Enrollee must seek redress through MCO/PIHP/PAHP/PCCM grievance procedure before determination will be made on disenrollment request.

The State **does not permit disenrollment** from a single PIHP/PAHP (authority under 1902 (a)(4) authority must be requested), or from an MCO, PIHP, or PAHP in a rural area.

The State has a **lock-in** period (i.e. requires continuous enrollment with MCO/PIHP/PAHP/PCCM) of  months (up to 12 months permitted). If so, the State assures it meets the requirements of 42 CFR 438.56(c).

*Please describe the good cause reasons for which an enrollee may request disenrollment during the lock-in period (in addition to required good cause reasons of poor quality of care, lack of access to covered services, and lack of access to providers experienced in dealing with enrollees health care needs):*

The State does not have a **lock-in**, and enrollees in MCOs/PIHPs/PAHPs and PCCMs are allowed to terminate or change their enrollment without cause at any time. The disenrollment/transfer is effective no later than the first day of the second month following the request.

The State permits **MCOs/PIHPs/PAHPs and PCCMs to request disenrollment** of enrollees.

- i.** MCO/PIHP/PAHP and PCCM can request reassignment of an enrollee.

*Please describe the reasons for which enrollees can request reassignment*

- ii.** The State reviews and approves all MCO/PIHP/PAHP/PCCM-initiated requests for enrollee transfers or disenrollments.
- iii.** If the reassignment is approved, the State notifies the enrollee in a direct and timely manner of the desire of the MCO/PIHP/PAHP/PCCM to remove the enrollee from its membership or from the PCCMs caseload.

- iv. The enrollee remains an enrollee of the MCO/PIHP/PAHP/PCCM until another MCO/PIHP/PAHP/PCCM is chosen or assigned.

**Section A: Program Description**

**Part IV: Program Operations**

**C. Enrollment and Disenrollment (6 of 6)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part IV: Program Operations**

**D. Enrollee Rights (1 of 2)**

**1. Assurances**

The State assures CMS that it complies with section 1932(a)(5)(B)(ii) of the Act and 42 CFR 438 Subpart C Enrollee Rights and Protections.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(a)(5)(B)(ii) of the Act and 42 CFR Subpart C Enrollee Rights and Protections. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

The State assures CMS it will satisfy all HIPAA Privacy standards as contained in the HIPAA rules found at 45 CFR Parts 160 and 164.

**Section A: Program Description**

**Part IV: Program Operations**

**D. Enrollee Rights (2 of 2)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part IV: Program Operations**

**E. Grievance System (1 of 5)**

**1. Assurances for All Programs** States, MCOs, PIHPs, PAHPs, and States in PCCM and FFS selective contracting programs are required to provide Medicaid enrollees with access to the State fair hearing process as required under 42 CFR 431 Subpart E, including:

- a. informing Medicaid enrollees about their fair hearing rights in a manner that assures notice at the time of an action,
- b. ensuring that enrollees may request continuation of benefits during a course of treatment during an appeal or reinstatement of services if State takes action without the advance notice and as required in accordance with State Policy consistent with fair hearings. The State must also inform enrollees of the procedures by which benefits can be continued for reinstated, and
- c. other requirements for fair hearings found in 42 CFR 431, Subpart E.

The State assures CMS that it complies with section 1932(a)(4) of the Act and 42 CFR 438.56 Disenrollment; in so far as these regulations are applicable.

**Section A: Program Description**

**Part IV: Program Operations**

**E. Grievance System (2 of 5)**

**2. Assurances For MCO or PIHP programs.** MCOs/PIHPs are required to have an internal grievance system that allows an enrollee or a provider on behalf of an enrollee to challenge the denial of coverage of, or payment for services as required by section 1932(b)(4) of the Act and 42 CFR 438 Subpart H.

The State assures CMS that it complies with section 1932(b)(4) of the Act and 42 CFR 438 Subpart F Grievance System, in so far as these regulations are applicable.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO or PIHP contracts for compliance with the provisions of section 1932(b)(4) of the Act and 42 CFR 438 Subpart F Grievance System. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

**Section A: Program Description**

**Part IV: Program Operations**

**E. Grievance System (3 of 5)**

**3. Details for MCO or PIHP programs**

**a. Direct Access to Fair Hearing**

The State **requires** enrollees to **exhaust** the MCO or PIHP grievance and appeal process before enrollees may request a state fair hearing.

The State **does not require** enrollees to **exhaust** the MCO or PIHP grievance and appeal process before enrollees may request a state fair hearing.

**b. Timeframes**

The States timeframe within which an enrollee, or provider on behalf of an enrollee, must file an **appeal** is

days (between 20 and 90).

The States timeframe within which an enrollee must file a **grievance** is  days.

**c. Special Needs**

The State has special processes in place for persons with special needs.

*Please describe:*

**Section A: Program Description**

**Part IV: Program Operations**

**E. Grievance System (4 of 5)**

**4. Optional grievance systems for PCCM and PAHP programs.** States, at their option, may operate a PCCM and/or PAHP grievance procedure (distinct from the fair hearing process) administered by the State agency or the PCCM and/or PAHP that provides for prompt resolution of issues. These grievance procedures are strictly voluntary and may not interfere with a PCCM, or PAHP enrollees freedom to make a request for a fair hearing or a PCCM or PAHP enrollees direct access to a fair hearing in instances involving terminations, reductions, and suspensions of already authorized Medicaid covered services.

The State has a grievance procedure for its  PCCM and/or  PAHP program characterized by the following (please check any of the following optional procedures that apply to the optional PCCM/PAHP grievance procedure):  
The grievance procedures are operated by:

the State

the States contractor.

Please identify:

the PCCM

the PAHP

Requests for review can be made in the PCCM and/or PAHP grievance system (e.g. grievance, appeals):

*Please describe:*

Has a committee or staff who review and resolve requests for review.

*Please describe if the State has any specific committee or staff composition or if this is a fiscal agent, enrollment broker, or PCCM administrator function:*

Specifies a time frame from the date of action for the enrollee to file a request for review.

*Please specify the time frame for each type of request for review:*

Has time frames for resolving requests for review.

*Specify the time period set for each type of request for review:*

Establishes and maintains an expedited review process.

*Please explain the reasons for the process and specify the time frame set by the State for this process:*

Permits enrollees to appear before State PCCM/PAHP personnel responsible for resolving the request for review.

Notifies the enrollee in writing of the decision and any further opportunities for additional review, as well as the procedures available to challenge the decision.

Other.

*Please explain:*

## Section A: Program Description

### Part IV: Program Operations

#### E. Grievance System (5 of 5)

**Additional Information.** Please enter any additional information not included in previous pages:

## Section A: Program Description

### Part IV: Program Operations

#### F. Program Integrity (1 of 3)

##### 1. Assurances

The State assures CMS that it complies with section 1932(d)(1) of the Act and 42 CFR 438.610 Prohibited Affiliations with Individuals Barred by Federal Agencies. The State assures that it prohibits an MCO, PCCM, PIHP, or PAHP from knowingly having a relationship listed below with:

1. An individual who is debarred, suspended, or otherwise excluded from participating in procurement activities under the Federal Acquisition Regulation or from participating in nonprocurement activities under regulations issued under Executive Order No. 12549 or under guidelines implementing Executive Order No. 12549, or
2. An individual who is an affiliate, as defined in the Federal Acquisition Regulation, of a person described

above.

The prohibited relationships are:

1. A director, officer, or partner of the MCO, PCCM, PIHP, or PAHP;
2. A person with beneficial ownership of five percent or more of the MCOs, PCCMs, PIHPs, or PAHPs equity;
3. A person with an employment, consulting or other arrangement with the MCO, PCCM, PIHP, or PAHP for the provision of items and services that are significant and material to the MCOs, PCCMs, PIHPs, or PAHPs obligations under its contract with the State.

The State assures that it complies with section 1902(p)(2) and 42 CFR 431.55, which require section 1915(b) waiver programs to exclude entities that:

1. Could be excluded under section 1128(b)(8) of the Act as being controlled by a sanctioned individual;
2. Has a substantial contractual relationship (direct or indirect) with an individual convicted of certain crimes described in section 1128(b)(8)(B) of the Act;
3. Employs or contracts directly or indirectly with an individual or entity that is
  - a. precluded from furnishing health care, utilization review, medical social services, or administrative services pursuant to section 1128 or 1128A of the Act, or
  - b. could be exclude under 1128(b)(8) as being controlled by a sanctioned individual.

## Section A: Program Description

### Part IV: Program Operations

#### F. Program Integrity (2 of 3)

##### 2. Assurances For MCO or PIHP programs

The State assures CMS that it complies with section 1932(d)(1) of the Act and 42 CFR 438.608 Program Integrity Requirements, in so far as these regulations are applicable.

State payments to an MCO or PIHP are based on data submitted by the MCO or PIHP. If so, the State assures CMS that it is in compliance with 42 CFR 438.604 Data that must be Certified, and 42 CFR 438.606 Source, Content, Timing of Certification.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO or PIHP contracts for compliance with the provisions of section 1932(d)(1) of the Act and 42 CFR 438.604 Data that must be Certified; 438.606 Source, Content, Timing of Certification; and 438.608 Program Integrity Requirements. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

## Section A: Program Description

### Part IV: Program Operations

#### F. Program Integrity (3 of 3)

**Additional Information.** Please enter any additional information not included in previous pages:

**Section B: Monitoring Plan**

**Part I: Summary Chart of Monitoring Activities**

**Summary of Monitoring Activities (1 of 3)**

The charts in this section summarize the activities used to monitor major areas of the waiver program. The purpose is to provide a big picture of the monitoring activities, and that the State has at least one activity in place to monitor each of the areas of the waiver that must be monitored.

Please note:

- **MCO, PIHP, and PAHP** programs:
  - There must be at least one checkmark in each column.
- **PCCM and FFS selective contracting** programs:
  - There must be at least one checkmark in each column under Evaluation of Program Impact.
  - There must be at least one check mark in one of the three columns under Evaluation of Access.
  - There must be at least one check mark in one of the three columns under Evaluation of Quality.

**Summary of Monitoring Activities: Evaluation of Program Impact**

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
Accreditation for Non-duplication	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
Accreditation for Participation	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
Consumer Self-Report data	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
Data Analysis (non-claims)	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
Enrollee Hotlines	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
Focused Studies	MCO	MCO	MCO	MCO	MCO	MCO

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS
<b>Geographic mapping</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Independent Assessment</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Measure any Disparities by Racial or Ethnic Groups</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Network Adequacy Assurance by Plan</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Ombudsman</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>On-Site Review</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Performance Improvement Projects</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
<b>Performance Measures</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Periodic Comparison of # of Providers</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Profile Utilization by Provider Caseload</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Provider Self-Report Data</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Test 24/7 PCP Availability</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Utilization Review</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Other</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS

**Section B: Monitoring Plan**

**Part I: Summary Chart of Monitoring Activities**

**Summary of Monitoring Activities (2 of 3)**

The charts in this section summarize the activities used to monitor major areas of the waiver program. The purpose is to provide a big picture of the monitoring activities, and that the State has at least one activity in place to monitor each of the areas of the waiver that must be monitored.

Please note:

- **MCO, PIHP, and PAHP** programs:
  - There must be at least one checkmark in each column.
- **PCCM and FFS selective contracting** programs:
  - There must be at least one checkmark in each column under Evaluation of Program Impact.
  - There must be at least one check mark in one of the three columns under Evaluation of Access.
  - There must be at least one check mark in one of the three columns under Evaluation of Quality.

**Summary of Monitoring Activities: Evaluation of Access**

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
<b>Accreditation for Non-duplication</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Accreditation for Participation</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Consumer Self-Report data</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Data Analysis (non-claims)</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Enrollee Hotlines</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Focused Studies</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
<b>Geographic mapping</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Independent Assessment</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Measure any Disparities by Racial or Ethnic Groups</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Network Adequacy Assurance by Plan</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Ombudsman</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>On-Site Review</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Performance Improvement Projects</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Performance Measures</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
	FFS	FFS	FFS
<b>Periodic Comparison of # of Providers</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Profile Utilization by Provider Caseload</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Provider Self-Report Data</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Test 24/7 PCP Availability</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Utilization Review</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Other</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS

**Section B: Monitoring Plan**

**Part I: Summary Chart of Monitoring Activities**

**Summary of Monitoring Activities (3 of 3)**

The charts in this section summarize the activities used to monitor major areas of the waiver program. The purpose is to provide a big picture of the monitoring activities, and that the State has at least one activity in place to monitor each of the areas of the waiver that must be monitored.

Please note:

- **MCO, PIHP, and PAHP** programs:
  - There must be at least one checkmark in each column.
- **PCCM and FFS selective contracting** programs:
  - There must be at least one checkmark in each column under Evaluation of Program Impact.
  - There must be at least one check mark in one of the three columns under Evaluation of Access.
  - There must be at least one check mark in one of the three columns under Evaluation of Quality.

**Summary of Monitoring Activities: Evaluation of Quality**

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
<b>Accreditation for Non-duplication</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Accreditation for Participation</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Consumer Self-Report data</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Data Analysis (non-claims)</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Enrollee Hotlines</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Focused Studies</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Geographic mapping</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
	FFS	FFS	FFS
<b>Independent Assessment</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Measure any Disparities by Racial or Ethnic Groups</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Network Adequacy Assurance by Plan</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Ombudsman</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>On-Site Review</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Performance Improvement Projects</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Performance Measures</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Periodic Comparison of # of Providers</b>	MCO PIHP PAHP	MCO PIHP PAHP	MCO PIHP PAHP

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
	PCCM FFS	PCCM FFS	PCCM FFS
<b>Profile Utilization by Provider Caseload</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Provider Self-Report Data</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Test 24/7 PCP Availability</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Utilization Review</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Other</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS

**Section B: Monitoring Plan**

**Part II: Details of Monitoring Activities**

**Details of Monitoring Activities by Authorized Programs**

For each program authorized by this waiver, please provide the details of its monitoring activities by editing each program listed below.

**Programs Authorized by this Waiver:**

Program	Type of Program
FMS Sel Contract	FFS;

*Note: If no programs appear in this list, please define the programs authorized by this waiver on the*

**Section B: Monitoring Plan**

**Part II: Details of Monitoring Activities**

**Program Instance: Children's Waiver FMS Selective Contracting**

Please check each of the monitoring activities below used by the State. A number of common activities are listed below, but the State may identify any others it uses. If federal regulations require a given activity, this is indicated just after the name of the activity. If the State does not use a required activity, it must explain why.

For each activity, the state must provide the following information:

- Personnel responsible (e.g. state Medicaid, other state agency, delegated to plan, EQR, other contractor)
- Detailed description of activity
- Frequency of use
- How it yields information about the area(s) being monitored

a.

**Accreditation for Non-duplication** (i.e. if the contractor is accredited by an organization to meet certain access, structure/operation, and/or quality improvement standards, and the state determines that the organizations standards are at least as stringent as the state-specific standards required in 42 CFR 438 Subpart D, the state deems the contractor to be in compliance with the state-specific standards)

**Activity Details:**

NCQA

JCAHO

AAAHC

**Other**

Please describe:

b.

**Accreditation for Participation** (i.e. as prerequisite to be Medicaid plan)

**Activity Details:**

NCQA

JCAHO

AAAHC

**Other**

Please describe:

c.

**Consumer Self-Report data**

**Activity Details:**

CAHPS

Please identify which one(s):

State-developed survey

Disenrollment survey

Consumer/beneficiary focus group

d.

**Data Analysis (non-claims)**

Activity Details:

Denials of referral requests

Disenrollment requests by enrollee

From plan

From PCP within plan

Grievances and appeals data

Other

Please describe:

e.

**Enrollee Hotlines**

Activity Details:

f.

**Focused Studies** (detailed investigations of certain aspects of clinical or non-clinical services at a point in time, to answer defined questions. Focused studies differ from performance improvement projects in that they do not require demonstrable and sustained improvement in significant aspects of clinical care and non-clinical service)

Activity Details:

g.

**Geographic mapping**

Activity Details:

h.

**Independent Assessment** (Required for first two waiver periods)

Activity Details:

i.

**Measure any Disparities by Racial or Ethnic Groups**

Activity Details:

j. **Network Adequacy Assurance by Plan** [Required for MCO/PIHP/PAHP]

Activity Details:

k. **Ombudsman**

Activity Details:

l. **On-Site Review**

Activity Details:

m. **Performance Improvement Projects** [Required for MCO/PIHP]

Activity Details:

**Clinical**

**Non-clinical**

n. **Performance Measures** [Required for MCO/PIHP]

Activity Details:

**Process**

**Health status/ outcomes**

**Access/ availability of care**

**Use of services/ utilization**

**Health plan stability/ financial/ cost of care**

**Health plan/ provider characteristics**

**Beneficiary characteristics**

o. **Periodic Comparison of # of Providers**

Activity Details:

p. **Profile Utilization by Provider Caseload** (looking for outliers)

Activity Details:

q. **Provider Self-Report Data**

Activity Details:

Survey of providers

Focus groups

r. **Test 24/7 PCP Availability**

Activity Details:

s. **Utilization Review** (e.g. ER, non-authorized specialist requests)

Activity Details:

t. **Other**

Activity Details:

**Information to beneficiaries:**

NYS will train HH care managers and Children and Youth Evaluation Services independent evaluators to educate children and their families receiving AT/E Mod/V Mod on how to utilize the FMS to purchase these services.

It is anticipated the HH care managers and The Children and Youth Evaluation Service independent evaluators will serve as the primary referral sources for FMS, to share information about the program with beneficiaries who may be eligible for the program. Lastly, information about FMS will be available on the DOH website, 1115 Waiver/Home and Community Based Services (HCBS)

[https://www.health.ny.gov/health\\_care/medicaid/redesign/behavioral\\_health/children/1115\\_waiver\\_amend.htm](https://www.health.ny.gov/health_care/medicaid/redesign/behavioral_health/children/1115_waiver_amend.htm)

FMS providers must make arrangements or work with the individual's HH Care Management entity to provide interpretation, translation, or any other service the individual may require due to special needs. This may be accomplished through a variety of means, including employing culturally competent bi-lingual staff, language lines, translation services, and resources from the community. FMS providers are responsible for promoting and implementing cultural competencies, practices.

**Timely Access Standards**

FMS designated provider(s) must have enough professional staffing to operate in each region and the ability to coordinate a network of providers to ensure the provision of services for FMS service recipients. The State will oversee the HHs' management of these services and monitor access and performance standards to ensure service delivery according to policies and standards. This includes the timely completion of AT/E Mod/V Mod.

The State will monitor access and performance and will require providers to increase professional staff to provide services in a timely manner. The State may also contract with additional HH meeting FMS qualifications to provide FMS, if eligible Medicaid individuals are unable to access services in a timely manner.

**Quality Standards and Contract Monitoring:**

Through eMedNY claims reports, HCBS monitoring, and regularly occurring point-in-time reporting, the State will monitor contracted providers using benchmarks and performance and programmatic standards.

DOH's processes for monitoring the programmatic and performance standards is on-going and comprehensive. Methods include routine data collection, action plans for performance improvement, remedial record reviews, patient/parent/caregiver feedback, and meeting with providers. DOH intends to issue guidance, training, and/or administrative directives to all FMS providers to address identified concerns and provide clarification on FMS service delivery. The provision of regular technical assistance provides additional opportunities for evaluating compliance.

All providers found to have deficiencies will be required to submit an action plan for performance improvement for review and approval by a DOH statewide coordinator. Areas found deficient become a focus of future review and analysis of compliance. DOH will provide technical assistance as necessary to ensure the FMS provider comes into compliance and meets required benchmarks. If a provider fails to comply it may be determined they no longer meet the requirements to be a qualified provider of the service.

## Section C: Monitoring Results

### Initial Waiver Request

---

Section 1915(b) of the Act and 42 CFR 431.55 require that the State must document and maintain data regarding the effect of the

waiver on the accessibility and quality of services as well as the anticipated impact of the project on the States Medicaid program. In Section B of this waiver preprint, the State describes how it will assure these requirements are met. For an initial waiver request, the State provides assurance in this Section C that it will report on the results of its monitoring plan when it submits its waiver renewal request. For a renewal request, the State provides evidence that waiver requirements were met for the most recent waiver period. Please use Section D to provide evidence of cost-effectiveness.

CMS uses a multi-pronged effort to monitor waiver programs, including rate and contract review, site visits, reviews of External Quality Review reports on MCOs/PIHPs, and reviews of Independent Assessments. CMS will use the results of these activities and reports along with this Section to evaluate whether the Program Impact, Access, and Quality requirements of the waiver were met.

**This is an Initial waiver request.**

**The State assures that it will conduct the monitoring activities described in Section B, and will provide the results in Section C of its waiver renewal request.**

**Section D: Cost-Effectiveness**

**Medical Eligibility Groups**

Title	
FMS	

	First Period		Second Period	
	Start Date	End Date	Start Date	End Date
Actual Enrollment for the Time Period**	03/01/2024	02/28/2025	03/01/2025	02/28/2026
Enrollment Projections for the Time Period*	03/01/2024	02/28/2025	03/01/2025	02/28/2026

\*\*Include actual data and dates used in conversion - no estimates  
 \*Projections start on Quarter and include data for requested waiver period

**Section D: Cost-Effectiveness**

**Services Included in the Waiver**

**Document the services included in the waiver cost-effectiveness analysis:**

Service Name	State Plan Service	1915(b)(3) Service	Included in Actual Waiver Cost	
FMS				

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**A. Assurances**

**a. [Required] Through the submission of this waiver, the State assures CMS:**

- The fiscal staff in the Medicaid agency has reviewed these calculations for accuracy and attests to their correctness.
- The State assures CMS that the actual waiver costs will be less than or equal to or the States waiver cost projection.
- Capitated rates will be set following the requirements of 42 CFR 438.6(c) and will be submitted to the CMS Regional Office for approval.
- Capitated 1915(b)(3) services will be set in an actuarially sound manner based only on approved 1915(b)(3) services and their administration subject to CMS RO prior approval.
- The State will monitor, on a regular basis, the cost-effectiveness of the waiver (for example, the State may compare

the PMPM Actual Waiver Cost from the CMS 64 to the approved Waiver Cost Projections). If changes are needed, the State will submit a prospective amendment modifying the Waiver Cost Projections.

- The State will submit quarterly actual member month enrollment statistics by MEG in conjunction with the States submitted CMS-64 forms.

Signature:

State Medicaid Director or Designee

Submission Date:

**Note: The Signature and Submission Date fields will be automatically completed when the State Medicaid Director submits the application.**

**Cost-effectiveness spreadsheet is required for all 1915b waiver submissions.**

**b. Name of Medicaid Financial Officer making these assurances:**

**c. Telephone Number:**

**d. E-mail:**

**e. The State is choosing to report waiver expenditures based on**

**date of payment.**

**date of service within date of payment. The State understands the additional reporting requirements in the CMS-64 and has used the cost effectiveness spreadsheets designed specifically for reporting by date of service within day of payment. The State will submit an initial test upon the first renewal and then an initial and final test (for the preceding 4 years) upon the second renewal and thereafter.**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**B. Expedited or Comprehensive Test**

**This section is only applicable to Renewals**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**C. Capitated portion of the waiver only: Type of Capitated Contract**

**The response to this question should be the same as in A.I.b.**

- a. MCO
- b. PIHP
- c. PAHP
- d. PCCM
- e. Other

Please describe:

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

---

**D. PCCM portion of the waiver only: Reimbursement of PCCM Providers**

**Under this waiver, providers are reimbursed on a fee-for-service basis. PCCMs are reimbursed for patient management in the following manner (please check and describe):**

**a. Management fees are expected to be paid under this waiver.**

The management fees were calculated as follows.

- 1. Year 1: \$  per member per month fee.
- 2. Year 2: \$  per member per month fee.
- 3. Year 3: \$  per member per month fee.
- 4. Year 4: \$  per member per month fee.

**b. Enhanced fee for primary care services.**

Please explain which services will be affected by enhanced fees and how the amount of the enhancement was determined.

**c. Bonus payments from savings generated under the program are paid to case managers who control beneficiary utilization.** Under **D.I.H.d.**, please describe the criteria the State will use for awarding the incentive payments, the method for calculating incentives/bonuses, and the monitoring the State will have in place to ensure that total payments to the providers do not exceed the Waiver Cost Projections (Appendix D5). Bonus payments and incentives for reducing utilization are limited to savings of State Plan service costs under the waiver. Please also describe how the State will ensure that utilization is not adversely affected due to incentives inherent in the bonus payments. The costs associated with any bonus arrangements must be accounted for in Appendix D3. Actual Waiver Cost.

**d. Other reimbursement method/amount.**

\$

Please explain the State's rationale for determining this method or amount.

New York’s actual expenditures for the prospective years will not exceed projected expenditures for the prospective years; and actual expenditures for the prospective years will be equal to the demand under the 1915(c) waiver.

- No more than 331 individuals are projected to need AT/E-Mod/V-Mod.
- The cost of FMS for FFS is \$500 per project for AT and \$600 per project for vehicle and environmental modifications.
- The annual cost of FMS for FFS is anticipated to be no more than \$720,406 in the first year of the waiver and no more than \$1,142,351 in the last year of the waiver or \$4,596,329 over the life of the waiver.
- There is no historic Medicaid trend factor applied to the cost of this service.

The trends for number of individuals are affected by several factors:

- The number of individuals who will be served in FFS;
- The number of projects per individual in FFS;
- The average FMS cost per project is not anticipated to increase. DOH used a 2016 NY study that found FMS costs per project for goods/services purchased would be around \$500 if the total project costs were under \$60,000 annually.

The Children’s 1915(c) waiver has project limits of less than \$65,000 annually. The cost of each AT project is not expected to exceed \$15,000 annually. The cost of each E-Mod project is not anticipated to be more than \$25,000 annually. Vehicle modifications are not anticipated to be more than \$35,000 annually for safe passenger modifications and \$65,000 annually for driver modifications.

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**E. Member Months**

Please mark all that apply.

- a. Population in the base year data
  - 1. Base year data is from the same population as to be included in the waiver.
  - 2. Base year data is from a comparable population to the individuals to be included in the waiver. (Include a statement from an actuary or other explanation, which supports the conclusion that the populations are comparable.)
- b. For an initial waiver, if the State estimates that not all eligible individuals will be enrolled in managed care (i.e., a percentage of individuals will not be enrolled because of changes in eligibility status and the length of the enrollment process) please note the adjustment here.

The State anticipates that 305 children will require FMS in year 1. That will increase to 313 in year 2 of the 1915(b)(4) waiver. There will be 337 by year 5 of the waiver.

- c. [Required] Explain the reason for any increase or decrease in member months projections from the base year or over time:

After year 2, the number of individuals served will increase by 2.5%, as explained in the 1915c waiver.

- d. [Required] Explain any other variance in eligible member months from BY to P2:

There is no other variance from BY to P5.

- e. [Required] List the year(s) being used by the State as a base year:

SFY 2021

If multiple years are being used, please explain:

f. [Required] Specify whether the base year is a State fiscal year (SFY), Federal fiscal year (FFY), or other period:

SFY

g. [Required] Explain if any base year data is not derived directly from the State's MMIS fee-for-service claims data:

The base year is derived directly from the State's MMIS FFS claims data.

**Appendix D1 Member Months**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**F. Appendix D2.S - Services in Actual Waiver Cost**

**For Initial Waivers:**

- a. **[Required] Explain the exclusion of any services from the cost-effectiveness analysis.**  
For States with multiple waivers serving a single beneficiary, please document how all costs for waiver covered individuals taken into account.

This 1915b4 waiver is solely for FMS services for children served under the Children's 1915c waiver .4125.

**Appendix D2.S: Services in Waiver Cost**

State Plan Services	MCO Capitated Reimbursement	FFS Reimbursement impacted by MCO	PCCM FFS Reimbursement	PIHP Capitated Reimbursement	FFS Reimbursement impacted by PIHP	PAHP Capitated Reimbursement	FFS Reimbursement impacted by PAHP
FMS							

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**G. Appendix D2.A - Administration in Actual Waiver Cost**

**[Required] The State allocated administrative costs between the Fee-for-service and managed care program depending upon the program structure. Note: initial programs will enter only FFS costs in the BY. Renewal and Conversion waivers will enter all waiver and FFS administrative costs in the R1 and R2 or BY.**

**For Initial Waivers:**

- a. **For an initial waiver, please document the amount of savings that will be accrued in the State Plan services. Savings under the waiver must be great enough to pay for the waiver administration costs in addition to those costs in FFS. Please state the aggregate budgeted amount projected to be spent on each additional service in the upcoming waiver period in the chart below. Appendix D5 should reflect any savings to be accrued as well as any additional administration expected. The savings should at least offset the administration.**

Additional Administrative Expense	Savings projected in State Plan Services	Inflation projected	Amount projected to be spent in Prospective Period
FMS	0	6.809%	4,596,329
Total:	0	6.809%	4,596,329

The allocation method for either initial or renewal waivers is explained below:

- a. The State allocates the administrative costs to the managed care program based upon the number of waiver enrollees as a percentage of total Medicaid enrollees *Note: this is appropriate for MCO/PCCM programs.*
- b. The State allocates administrative costs based upon the program cost as a percentage of the total Medicaid budget. It would not be appropriate to allocate the administrative cost of a mental health program based upon the percentage of enrollees enrolled. *Note: this is appropriate for statewide PIHP/PAHP programs.*
- c. **Other**  
Please explain:

This is a 1915b4 waiver. All costs will be reported against the 1915c waiver on the CMS 64-9 Waiver form for waiver .4125.

**Appendix D2.A: Administration in Actual Waiver Cost**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**H. Appendix D3 - Actual Waiver Cost**

- a. The State is requesting a 1915(b)(3) waiver in **Section A.I.A.1.c** and will be providing non-state plan medical services. The State will be spending a portion of its waiver savings for additional services under the waiver.
- b. **The State is including voluntary populations in the waiver.**  
Describe below how the issue of selection bias has been addressed in the Actual Waiver Cost calculations:

- c. **Capitated portion of the waiver only -- Reinsurance or Stop/Loss Coverage:** Please note how the State will be providing or requiring reinsurance or stop/loss coverage as required under the regulation. States may require MCOs/PIHPs/PAHPs to purchase reinsurance. Similarly, States may provide stop-loss coverage to MCOs/PIHPs/PAHPs when MCOs/PIHPs/PAHPs exceed certain payment thresholds for individual enrollees. Stop loss provisions usually set limits on maximum days of coverage or number of services for which the MCO/PIHP/PAHP will be responsible. If the State plans to provide stop/loss coverage, a description is required. The State must document the probability of incurring costs in excess of the stop/loss level and the frequency of such occurrence based on FFS experience. The expenses per capita (also known as the stoploss premium amount) should be deducted from the capitation year projected costs. In the initial application, the effect should be neutral. In the renewal report, the actual reinsurance cost and claims cost should be reported in Actual Waiver Cost.

**Basis and Method:**

- 1. **The State does not provide stop/loss protection for MCOs/PIHPs/PAHPs, but requires MCOs/PIHPs/PAHPs to purchase reinsurance coverage privately. No adjustment was necessary.**
- 2. **The State provides stop/loss protection**  
Describe below how the issue of selection bias has been addressed in the Actual Waiver Cost

calculations:

**d. Incentive/bonus/enhanced Payments for both Capitated and fee-for-service Programs:**

- 1. **[For the capitated portion of the waiver] the total payments under a capitated contract include any incentives the State provides in addition to capitated payments under the waiver program.** The costs associated with any bonus arrangements must be accounted for in the capitated costs (Column D of Appendix D3 Actual Waiver Cost). Regular State Plan service capitated adjustments would apply.

**Document**

- i. **Document the criteria for awarding the incentive payments.**
- ii. **Document the method for calculating incentives/bonuses, and**
- iii. **Document the monitoring the State will have in place to ensure that total payments to the MCOs/PIHPs/PAHPs do not exceed the Waiver Cost Projection.**

- 2. **For the fee-for-service portion of the waiver, all fee-for-service must be accounted for in the fee-for-service incentive costs (Column G of Appendix D3 Actual Waiver Cost).** For PCCM providers, the amount listed should match information provided in D.I.D Reimbursement of Providers. Any adjustments applied would need to meet the special criteria for fee-for-service incentives if the State elects to provide incentive payments in addition to management fees under the waiver program (See D.I.I.e and D.I.J.e)

**Document:**

- i. **Document the criteria for awarding the incentive payments.**
- ii. **Document the method for calculating incentives/bonuses, and**
- iii. **Document the monitoring the State will have in place to ensure that total payments to the MCOs/PIHPs/PAHPs/PCCMs do not exceed the Waiver Cost Projection.**

**Appendix D3 Actual Waiver Cost**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (1 of 8)**

Initial Waiver Cost Projection & Adjustments (If this is a Conversion or Renewal waiver for DOP, skip to J. Conversion or Renewal Waiver Cost Projection and Adjustments): States may need to make certain adjustments to the Base Year in order to accurately reflect the waiver program in P1 and P2. If the State has made an adjustment to its Base Year, the State should note the adjustment and its location in Appendix D4, and include information on the basis and method used in this section of the preprint. Where noted, certain adjustments should be mathematically accounted for in Appendix D5.

The following adjustments are appropriate for initial waivers. Any adjustments that are required are indicated as such.

- a. **State Plan Services Trend Adjustment** the State must trend the data forward to reflect cost and utilization increases. The BY data already includes the actual Medicaid cost changes to date for the population enrolled in the program. This adjustment reflects the expected cost and utilization increases in the managed care program from BY to the end of the waiver (P2). Trend adjustments may be service-specific. The adjustments may be expressed as

percentage factors. Some states calculate utilization and cost increases separately, while other states calculate a single trend rate encompassing both utilization and cost increases. The State must document the method used and how utilization and cost increases are not duplicative if they are calculated separately. **This adjustment must be mutually exclusive of programmatic/policy/pricing changes and CANNOT be taken twice. The State must document how it ensures there is no duplication with programmatic/policy/pricing changes.**

1. [Required, if the States BY is more than 3 months prior to the beginning of P1] The State is using actual State cost increases to trend past data to the current time period (i.e., trending from 1999 to present)

**The actual trend rate used is:**

6.81

Please document how that trend was calculated:

The trend was developed using CPI for All Urban Consumers data through November 2021. A projected annual trend of 6.809% was developed by taking the November 2021 index (277.948) divided by the November 2020 index (260.229). Trending forward from November 2021 at 6.809% yielded an April 2022 index value of 285.8336.

2. [Required, to trend BY to P1 and P2 in the future] When cost increases are unknown and in the future, the State is using a predictive trend of either State historical cost increases or national or regional factors that are predictive of future costs (same requirement as capitated ratesetting regulations) (i.e., trending from present into the future)

- i. State historical cost increases.

Please indicate the years on which the rates are based: base years

In addition, please indicate the mathematical method used (multiple regression, linear regression, chi-square, least squares, exponential smoothing, etc.). Finally, please note and explain if the States cost increase calculation includes more factors than a price increase such as changes in technology, practice patterns, and/or units of service PMPM.

- ii. National or regional factors that are predictive of this waivers future costs.

Please indicate the services and indicators used.

The trend was developed using CPI for All Urban Consumers data through November 2021. A projected annual trend of 6.809% was developed by taking the November 2021 index (277.948) divided by the November 2020 index (260.229). Trending forward from November 2021 at 6.809% yielded an April 2022 index value of 285.8336. T

Please indicate how this factor was determined to be predictive of this waivers future costs. Finally, please note and explain if the States cost increase calculation includes more factors than a price increase such as changes in technology, practice patterns, and/or units of service PMPM.

The State anticipates that regular inflation will apply to this service.

3. The State estimated the PMPM cost changes in units of service, technology and/or practice patterns that would occur in the waiver separate from cost increase. Utilization adjustments made were service-specific and expressed as percentage factors. The State has documented how utilization and cost increases were not duplicated. This adjustment reflects the changes in utilization between the BY and the beginning of the P1 and between years P1 and P2.

- i. Please indicate the years on which the utilization rate was based (if calculated separately only).

Children's Waiver Year 2020-2021

- ii. Please document how the utilization did not duplicate separate cost increase trends.

2.5% utilization growth

Section D: Cost-Effectiveness

Part I: State Completion Section

I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (2 of 8)

b. State Plan Services Programmatic/Policy/Pricing Change Adjustment: This adjustment should account for any programmatic changes that are not cost neutral and that affect the Waiver Cost Projection. Adjustments to the BY data are typically for changes that occur after the BY (or after the collection of the BY data) and/or during P1 and P2 that affect the overall Medicaid program. For example, changes in rates, changes brought about by legal action, or changes brought about by legislation. For example, Federal mandates, changes in hospital payment from per diem rates to Diagnostic Related Group (DRG) rates or changes in the benefit coverage of the FFS program. This adjustment must be mutually exclusive of trend and CANNOT be taken twice. The State must document how it ensures there is no duplication with trend. If the State is changing one of the aspects noted above in the FFS State Plan then the State needs to estimate the impact of that adjustment. Note: FFP on rates cannot be claimed until CMS approves the SPA per the 1/2/01 SMD letter. Prior approval of capitation rates is contingent upon approval of the SPA.

Others:

- Additional State Plan Services (+)
- Reductions in State Plan Services (-)
- Legislative or Court Mandated Changes to the Program Structure or fee

1. The State has chosen not to make an adjustment because there were no programmatic or policy changes in the FFS program after the MMIS claims tape was created. In addition, the State anticipates no programmatic or policy changes during the waiver period.
2. An adjustment was necessary. The adjustment(s) is(are) listed and described below:
  - i. The State projects an externally driven State Medicaid managed care rate increases/decreases between the base and rate periods. Please list the changes.

For the list of changes above, please report the following:

- A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).  
PMPM size of adjustment
- B. The size of the adjustment was based on pending SPA.  
Approximate PMPM size of adjustment
- C. Determine adjustment based on currently approved SPA.  
PMPM size of adjustment
- D. Determine adjustment for Medicare Part D dual eligibles.
- E. Other:  
Please describe

- ii. The State has projected no externally driven managed care rate increases/decreases in the

managed care rates.

- iii. Changes brought about by legal action:  
Please list the changes.

For the list of changes above, please report the following:

- A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).

PMPM size of adjustment

- B. The size of the adjustment was based on pending SPA.  
Approximate PMPM size of adjustment

- C. Determine adjustment based on currently approved SPA.  
PMPM size of adjustment

- D. Other  
Please describe

- iv. Changes in legislation.  
Please list the changes.

For the list of changes above, please report the following:

- A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).

PMPM size of adjustment

- B. The size of the adjustment was based on pending SPA.  
Approximate PMPM size of adjustment

- C. Determine adjustment based on currently approved SPA.  
PMPM size of adjustment

- D. Other  
Please describe

- v. Other  
Please describe:

A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).

PMPM size of adjustment

B. The size of the adjustment was based on pending SPA.

Approximate PMPM size of adjustment

C. Determine adjustment based on currently approved SPA.

PMPM size of adjustment

D. Other

Please describe

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (3 of 8)**

**c. Administrative Cost Adjustment\*:** The administrative expense factor in the initial waiver is based on the administrative costs for the eligible population participating in the waiver for fee-for-service. Examples of these costs include per claim claims processing costs, per record PRO review costs, and Surveillance and Utilization Review System (SURS) costs. *Note: one-time administration costs should not be built into the cost-effectiveness test on a long-term basis. States should use all relevant Medicaid administration claiming rules for administration costs they attribute to the managed care program.* If the State is changing the administration in the fee-for-service program then the State needs to estimate the impact of that adjustment.

1. No adjustment was necessary and no change is anticipated.

2. An administrative adjustment was made.

i. FFS administrative functions will change in the period between the beginning of P1 and the end of P2.

Please describe

A. Determine administration adjustment based upon an approved contract or cost allocation plan amendment (CAP).

B. Determine administration adjustment based on pending contract or cost allocation plan amendment (CAP)

Please describe

C. Other

Please describe

- ii. FFS cost increases were accounted for.
  - A. Determine administration adjustment based upon an approved contract or cost allocation plan amendment (CAP).
  - B. Determine administration adjustment based on pending contract or cost allocation plan amendment (CAP).
  - C. Other  
Please describe

- iii. [Required, when State Plan services were purchased through a sole source procurement with a governmental entity. No other State administrative adjustment is allowed.] If cost increase trends are unknown and in the future, the State must use the lower of: Actual State administration costs trended forward at the State historical administration trend rate or Actual State administration costs trended forward at the State Plan services trend rate.  
Please document both trend rates and indicate which trend rate was used.

- A. Actual State Administration costs trended forward at the State historical administration trend rate.

Please indicate the years on which the rates are based: base years

In addition, please indicate the mathematical method used (multiple regression, linear regression, chi-square, least squares, exponential smoothing, etc.). Finally, please note and explain if the States cost increase calculation includes more factors than a price increase.

- B. Actual State Administration costs trended forward at the State Plan Service Trend rate.  
Please indicate the State Plan Service trend rate from Section D.I.I.a. above

\* For Combination Capitated and PCCM Waivers: If the capitated rates are adjusted by the amount of administration payments, then the PCCM Actual Waiver Cost must be calculated less the administration amount. For additional information, please see Special Note at end of this section.

### Section D: Cost-Effectiveness

#### Part I: State Completion Section

#### I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (4 of 8)

**d. 1915(b)(3) Adjustment:** The State must document the amount of State Plan Savings that will be used to provide additional 1915(b)(3) services in *Section D.I.H.a* above. The Base Year already includes the actual trend for the State Plan services in the program. This adjustment reflects the expected trend in the 1915(b)(3) services between the Base Year and P1 of the waiver and the trend between the beginning of the program (P1) and the end of the program (P2). Trend adjustments may be service-specific and expressed as percentage factors.

- 1. [Required, if the States BY is more than 3 months prior to the beginning of P1 to trend BY to P1] The

State is using the actual State historical trend to project past data to the current time period (i.e., trending from 1999 to present).

The actual documented trend is:

Please provide documentation.

2. [Required, when the States BY is trended to P2. No other 1915(b)(3) adjustment is allowed] If trends are unknown and in the future (i.e., trending from present into the future), the State must use the States trend for State Plan Services.

**i. State Plan Service trend**

- A. Please indicate the State Plan Service trend rate from Section D.I.I.a. above

**e. Incentives (not in capitated payment) Trend Adjustment:** If the State marked **Section D.I.H.d** , then this adjustment reports trend for that factor. Trend is limited to the rate for State Plan services.

1. List the State Plan trend rate by MEG from Section D.I.I.a

2. List the Incentive trend rate by MEG if different from Section D.I.I.a

3. Explain any differences:

**f. Graduate Medical Education (GME) Adjustment:** 42 CFR 438.6(c)(5) specifies that States can include or exclude GME payments for managed care participant utilization in the capitation rates. However, GME payments on behalf of managed care waiver participants must be included in cost-effectiveness calculations.

1. We assure CMS that GME payments are included from base year data.
2. We assure CMS that GME payments are included from the base year data using an adjustment. Please describe adjustment.

3. Other  
Please describe

If GME rates or the GME payment method has changed since the Base Year data was completed, the Base Year data should be adjusted to reflect this change and the State needs to estimate the impact of that adjustment and account for it in **Appendix D5**.

- 1. GME adjustment was made.
  - i. GME rates or payment method changed in the period between the end of the BY and the beginning of P1.  
Please describe

- ii. GME rates or payment method is projected to change in the period between the beginning of P1 and the end of P2.  
Please describe

- 2. No adjustment was necessary and no change is anticipated.

*Method:*

- 1. Determine GME adjustment based upon a newly approved State Plan Amendment (SPA).
- 2. Determine GME adjustment based on a pending SPA.
- 3. Determine GME adjustment based on currently approved GME SPA.
- 4. Other  
Please describe

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (5 of 8)**

**g. Payments / Recoupments not Processed through MMIS Adjustment:** Any payments or recoupments for covered Medicaid State Plan services included in the waiver but processed outside of the MMIS system should be included in the Waiver Cost Projection. Any adjustments that would appear on the CMS-64.9 Waiver form should be reported and adjusted here. Any adjustments that would appear on the CMS summary form (line 9) would not be put into the waiver cost-effectiveness (e.g., TPL, probate, fraud and abuse). Any payments or recoupments made should be accounted for in **Appendix D5**.

- 1. Payments outside of the MMIS were made.  
Those payments include (please describe):

- 2. Recoupments outside of the MMIS were made.  
Those recoupments include (please describe):

- 3. The State had no recoupments/payments outside of the MMIS.

**h. Copayments Adjustment:** This adjustment accounts for any copayments that are collected under the FFS program but

will not be collected in the waiver program. States must ensure that these copayments are included in the Waiver Cost Projection if not to be collected in the capitated program.

*Basis and Method:*

1. Claims data used for Waiver Cost Projection development already included copayments and no adjustment was necessary.
2. State added estimated amounts of copayments for these services in FFS that were not in the capitated program. Please account for this adjustment in Appendix D5.
3. The State has not to made an adjustment because the same copayments are collected in managed care and FFS.
4. Other  
Please describe

If the States FFS copayment structure has changed in the period between the end of the BY and the beginning of P1, the State needs to estimate the impact of this change adjustment.

1. No adjustment was necessary and no change is anticipated.
2. The copayment structure changed in the period between the end of the BY and the beginning of P1. Please account for this adjustment in Appendix D5.

*Method:*

1. Determine copayment adjustment based upon a newly approved State Plan Amendment (SPA).
2. Determine copayment adjustment based on pending SPA.
3. Determine copayment adjustment based on currently approved copayment SPA.
4. Other  
Please describe

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (6 of 8)**

**i. Third Party Liability (TPL) Adjustment:** This adjustment should be used only if the State is converting from fee-for-service to capitated managed care, and will delegate the collection and retention of TPL payments for post-pay recoveries to the MCO/PIHP/PAHP. If the MCO/PIHP/PAHP will collect and keep TPL, then the Base Year costs should be reduced by the amount to be collected.

*Basis and method:*

1. No adjustment was necessary
2. Base Year costs were cut with post-pay recoveries already deducted from the database.
3. State collects TPL on behalf of MCO/PIHP/PAHP enrollees
4. The State made this adjustment:
  - i. Post-pay recoveries were estimated and the base year costs were reduced by the amount of TPL to

be collected by MCOs/PIHPs/PAHPs. Please account for this adjustment in Appendix D5.

- ii. Other  
Please describe

**j. Pharmacy Rebate Factor Adjustment:** Rebates that States receive from drug manufacturers should be deducted from Base Year costs if pharmacy services are included in the fee-for-service or capitated base. If the base year costs are not reduced by the rebate factor, an inflated BY would result. Pharmacy rebates should also be deducted from FFS costs if pharmacy services are impacted by the waiver but not capitated.

***Basis and Method:***

- 1. Determine the percentage of Medicaid pharmacy costs that the rebates represent and adjust the base year costs by this percentage. States may want to make separate adjustments for prescription versus over the counter drugs and for different rebate percentages by population. States may assume that the rebates for the targeted population occur in the same proportion as the rebates for the total Medicaid population which includes accounting for Part D dual eligibles. Please account for this adjustment in Appendix D5. Please describe

- 2. The State has not made this adjustment because pharmacy is not an included capitation service and the capitated contractors providers do not prescribe drugs that are paid for by the State in FFS or Part D for the dual eligibles.
- 3. Other  
Please describe

**k. Disproportionate Share Hospital (DSH) Adjustment:** Section 4721 of the BBA specifies that DSH payments must be made solely to hospitals and not to MCOs/PIHPs/PAHPs. Section 4721(c) permits an exemption to the direct DSH payment for a limited number of States. If this exemption applies to the State, please identify and describe under Other including the supporting documentation. Unless the exemption in Section 4721(c) applies or the State has a FFS-only waiver (e.g., selective contracting waiver for hospital services where DSH is specifically included), DSH payments are not to be included in cost-effectiveness calculations.

- 1. We assure CMS that DSH payments are excluded from base year data.
- 2. We assure CMS that DSH payments are excluded from the base year data using an adjustment.
- 3. Other  
Please describe

**l. Population Biased Selection Adjustment (Required for programs with Voluntary Enrollment):** Cost-effectiveness calculations for waiver programs with voluntary populations must include an analysis of the population that can be expected to enroll in the waiver. If the State finds that the population most likely to enroll in the waiver differs significantly from the population that will voluntarily remain in FFS, the Base Year costs must be adjusted to reflect this.

- 1. This adjustment is not necessary as there are no voluntary populations in the waiver program.
- 2. This adjustment was made:
  - i. Potential Selection bias was measured.  
Please describe

- ii. The base year costs were adjusted.  
Please describe

**m. FQHC and RHC Cost-Settlement Adjustment:** Base Year costs should not include cost-settlement or supplemental payments made to FQHCs/RHCs. The Base Year costs should reflect fee-for-service payments for services provided at these sites, which will be built into the capitated rates.

- 1. We assure CMS that FQHC/RHC cost-settlement and supplemental payments are excluded from the Base Year costs.  
Payments for services provided at FQHCs/RHCs are reflected in the following manner:

- 2. We assure CMS that FQHC/RHC cost-settlement and supplemental payments are excluded from the base year data using an adjustment.
- 3. We assure CMS that Medicare Part D coverage has been accounted for in the FQHC/RHC adjustment.
- 4. Other  
Please describe

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (7 of 8)**

**Special Note Section:**

**Waiver Cost Projection Reporting: Special note for new capitated programs:**

The State is implementing the first year of a new capitated program (converting from fee-for-service reimbursement). The first year that the State implements a capitated program, the State will be making capitated payments for future services while it is reimbursing FFS claims from retrospective periods. This will cause State expenditures in the initial period to be much higher than usual. In order to adjust for this double payment, the State should not use the first quarter of costs (immediately following implementation) from the CMS-64 to calculate future Waiver Cost Projections, unless the State can distinguish and exclude dates of services prior to the implementation of the capitated program.

- a. The State has excluded the first quarter of costs of the CMS-64 from the cost-effectiveness calculations and is basing the cost-effectiveness projections on the remaining quarters of data.
- b. The State has included the first quarter of costs in the CMS-64 and excluded claims for dates of services prior to the implementation of the capitated program.

**Special Note for initial combined waivers (Capitated and PCCM) only:**

**Adjustments Unique to the Combined Capitated and PCCM Cost-effectiveness Calculations** -- Some adjustments to the Waiver Cost Projection are applicable only to the capitated program. When these adjustments are taken, there will need to be an offsetting adjustment to the PCCM Base year Costs in order to make the PCCM costs comparable to the Waiver Cost Projection. **In other words, because we are creating a single combined Waiver Cost Projection applicable to the PCCM and capitated waiver portions of the waiver, offsetting adjustments (positive and/or negative) need to be made to the PCCM Actual Waiver Cost for certain capitated-only adjustments.** When an offsetting adjustment is made, please note and include an explanation and your calculations. The most common offsetting adjustment is noted in the chart below and indicated with an asterisk (\*) in the preprint.

Adjustment	Capitated Program	PCCM Program
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**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (8 of 8)**

**n. Incomplete Data Adjustment (DOS within DOP only)** The State must adjust base period data to account for incomplete data. When fee-for-service data is summarized by date of service (DOS), data for a particular period of time is usually incomplete until a year or more after the end of the period. In order to use recent DOS data, the State must calculate an estimate of the services ultimate value after all claims have been reported . Such incomplete data adjustments are referred to in different ways, including lag factors, incurred but not reported (IBNR) factors, or incurring factors. If date of payment (DOP) data is used, completion factors are not needed, but projections are complicated by the fact that payments are related to services performed in various former periods.

*Documentation of assumptions and estimates is required for this adjustment.:*

1. Using the special DOS spreadsheets, the State is estimating DOS within DOP. Incomplete data adjustments are reflected in the following manner on Appendix D5 for services to be complete and on Appendix D7 to create a 12-month DOS within DOP projection:

2. The State is using Date of Payment only for cost-effectiveness no adjustment is necessary.
3. Other  
Please describe

**o. PCCM Case Management Fees (Initial PCCM waivers only)** The State must add the case management fees that will be claimed by the State under new PCCM waivers. There should be sufficient savings under the waiver to offset these fees. The new PCCM case management fees will be accounted for with an adjustment on **Appendix D5**.

1. This adjustment is not necessary as this is not an initial PCCM waiver in the waiver program.
2. Other  
Please describe

**p. Other adjustments:** Federal law, regulation, or policy change: If the federal government changes policy affecting Medicaid reimbursement, the State must adjust P1 and P2 to reflect all changes.

- Once the States FFS institutional excess UPL is phased out, CMS will no longer match excess institutional UPL payments.
  - Excess payments addressed through transition periods should not be included in the 1915(b) cost effectiveness process. Any State with excess payments should exclude the excess amount and only include the supplemental amount under 100% of the institutional UPL in the cost effectiveness process.
  - For all other payments made under the UPL, including supplemental payments, the costs should be included in the cost effectiveness calculations. This would apply to PCCM enrollees and to PAHP, PIHP or MCO enrollees if the institutional services were provided as FFS wrap around. The recipient of the supplemental payment does not matter for the purposes of this analysis.
- 1. No adjustment was made.
- 2. This adjustment was made. This adjustment must be mathematically accounted for in Appendix D5. Please describe

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (1 of 5)**

**This section is only applicable to Renewals**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (2 of 5)**

**This section is only applicable to Renewals**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (3 of 5)**

**This section is only applicable to Renewals**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (4 of 5)**

**This section is only applicable to Renewals**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (5 of 5)**

**This section is only applicable to Renewals**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**K. Appendix D5 Waiver Cost Projection**

The State should complete these appendices and include explanations of all adjustments in Section D.I.I and D.I.J above.

**Appendix D5 Waiver Cost Projection**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**L. Appendix D6 RO Targets**

The State should complete these appendices and include explanations of all trends in enrollment in Section D.I.E. above.

**Appendix D6 RO Targets**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**M. Appendix D7 - Summary**

- a. Please explain any variance in the overall percentage change in spending from BY/R1 to P2.

In Y2, participation is expected to change from 305 to 313, serving no more than 337 during the waiver period.

- 1. Please explain caseload changes contributing to the overall annualized rate of change in Appendix D7 Column I. This response should be consistent with or the same as the answer given by the State in Section D.I.E.c & d:

The State anticipates that 305 children will require FMS in year 1. This is in the FFS program. In Year 2, the number of children served in FFS will change to 313.

After year 2, the number of individuals served will increase by 2.5%, as explained in the 1915c waiver not to exceed 337.

There is no other variance from BY to P5.

- 2. Please explain unit cost changes contributing to the overall annualized rate of change in Appendix D7 Column I. This response should be consistent with or the same as the answer given by the State in the States explanation of cost increase given in Section D.I.I and D.I.J:

The state has used the inflation factor of 6.809% as explained in the 1915(c) waiver.

- 3. Please explain utilization changes contributing to the overall annualized rate of change in Appendix D7 Column I. This response should be consistent with or the same as the answer given by the State in the States explanation of utilization given in Section D.I.I and D.I.J:

No additional utilization changes are expected

- b. Please note any other principal factors contributing to the overall annualized rate of change in Appendix D7 Column I.

Caseload growth is expected to drive all changes.

**Appendix D7 - Summary**