

DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
7500 Security Boulevard, Mail Stop S2-14-26
Baltimore, Maryland 21244-1850



Center for Medicaid, CHIP and Survey & Certification
Disabled and Elderly Health Programs Group

SEP 29 2011

Stephen Fitton
State Medicaid Director
Medical Services Administration
Michigan Department of Community Health
400 South Pine Street
Lansing, MI 48933

Dear Mr. Fitton:

We are pleased to inform you that the Centers for Medicare & Medicaid Services (CMS) is approving Michigan's request for its 1915(b) Children's Waiver Program (CWP) under CMS control number MI-16. This waiver program allows Michigan to selectively contract with Community Mental Health Service Programs in Michigan to provide home and community-based services to children enrolled in Michigan's 1915(c) Children's Waiver Program (CMS control number 4119.R05.00).

Our decision is based on the evidence submitted to CMS demonstrating that the State's proposal is consistent with the purposes of the Medicaid program, will meet all of the statutory and regulatory requirements for assuring beneficiaries' access to and quality of services, and will be a cost-effective means of providing Medicaid services to the children enrolled in the 1915(c) Children's Waiver Program.

The 1915(b) Children's Waiver Program is authorized under section 1915(b)(4) of the Social Security Act and provides for waivers of the following sections of Title XIX:

- Section 1902 (a) (23) (Freedom of Choice).

This waiver approval is effective for the period October 1, 2011 through September 30, 2013.

We wish you success in the operation of the 1915(b) Michigan Children's Waiver Program. Thank you and your staff for your cooperation during the waiver review process. If you have any further questions, please contact Eowyn Ford in the CMS Regional Office at (312) 886-1684 or Scott Manning in the CMS Central Office at (410) 786-6881.

Sincerely,

A handwritten signature in black ink, appearing to read "John M. Hall". The signature is fluid and cursive, with a large initial "J" and "H".

John M. Hall

Director, Division of Integrated Health Systems

cc: Audrey Craft, MDCH
Jacqueline Coleman, MDCH
Laura Titus, MDCH

Facesheet: 1. Request Information (1 of 2)

- A. The **State of Michigan** 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
CWP	Children's Waiver Program	FFS;

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

- 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: MI.15.00.00

Waiver Number: MI.0016.R00.00

- D. **Effective Dates:** This waiver is requested for a period of 2 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)

10/01/11

Proposed End Date: 09/30/13

Calculated as "Proposed Effective Date" (above) plus two years minus one day.

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

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

Name: Jacqueline Coleman

Phone: (517) 241-7172

Ext:

TTYcontact information is different for any of the

Fax: (517) 241-5112

E-mail: colemanJ@michigan.gov

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 Program

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

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.

On February 28, 2011 a Notice of Intent to submit a request for a §1915(b)(4)Waiver to operate concurrently with Michigan's §1915(c)Home and Community Based Services Children's Waiver Program (CWP)was sent to Tribal Chairs and Health Directors. Michigan received no questions or comments from the Tribal Chairs and Health Directors regarding the request for a §1915(b)(4) Waiver.

Program History required for renewal waivers only.

Section A: Program Description

Part I: Program Overview

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*
 CWP
- 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*
 CWP
- 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*
 CWP
- 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*
 CWP

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:

The waiver requested is to provide the waiver and mental health state plan services as identified on the Cost Effectiveness appendices to CWP enrollees. The purpose of the waiver is to limit the choice of providers to the Community Mental Health Services Programs for waiver and certain state plan services.

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*
 CWP
 - 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*
 CWP
 - 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*
 CWP
 - 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*
 CWP
 - 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*
 CWP

Section A: Program Description

Part I: Program Overview

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

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:

The following is excerpted from Appendix I: Financial Accountability of the approved 1915(c) CWP.

1. Establishing Costs/Charges for Services:

CMHSPs are bound by their Medicaid Provider Agreements and Master Contracts with MDCH to assure their service charges are determined consistent with Generally Accepted Accounting Principles (GAAP) and OMB Circular A-87 (here after referred to as A-87). Beginning in FY10, for FY09 expenditure reporting, new administrative cost reporting requirements were implemented for all 46 CMHSPs. These reporting requirements distinguish the CMHSP's costs associated with administrative functions from their direct service costs. Compliance with the requirements of A-87 and with the new cost reporting requirements is audited by MDCH using a variety of strategies, as described in I-1, above.

Administrative Costs:

The structure of each CMHSP varies in relationship to its responsibilities. Each CMHSP may perform any number of the following functions: 1) direct service provider, 2) administer one or more waiver programs, or 3) operate as a Pre-paid Inpatient Health Plan (PIHP). The logic of

the new 460 PIHP/CMHSP cost report enables CMHSPs to separately identify administrative costs associated with these various responsibilities. For purposes of this waiver, the cost report distinguishes administrative costs to administer the CWP, from those costs associated with directly delivering services to consumers.

OMB Circular A-87 (A-87) under the section composition of costs makes it clear there is no universal rule for classifying certain costs as either direct or indirect under every accounting system. Therefore, to the extent that these costs are indirect, the requirements are accommodated under the requirement that the CMHSPs report their costs in compliance with the requirements of OMB Circular A-87 (A-87). When these costs are indirect costs as defined in A-87, the CMHSP is obligated to ensure the equitable distribution of these costs based on relative benefits to each funding stream/program. This could require gathering the costs into a cost pool and distributing the costs to other administrative categories. The costs reported on the administrative cost report are the product of each CMHSP's A-87 compliant cost allocations. Therefore, although the administrative cost report does not show these cost allocation steps, they would be documented at the CMHSP in support of the reported administrative costs. The state has a process in place to monitor this process. Compliance with A-87 will be monitored as part of the annual compliance exam submitted to MDCH by each CMHSP.

MDCH will reimburse CMHSPs the Federal share of actual CMHSP administrative expenditures attributed to the CWP, as reported on a financial report certified as accurate by the CMHSP and submitted to MDCH, the MDCH/CMHSP cost settlement process and the CMHSP audited financial reports. The amount reimbursed will be determined in compliance with A-87 principles.

Medicaid Payment for Services:

A Medicaid interim payment for each billable service - in the form of a Medicaid interim fee screen - is established by the State Medicaid Agency, published on the Medicaid web site and available to providers, waiver participants and the general public. The service claims are submitted thru CHAMPS (detailed in I-2 b. below) and paid uniformly at the established Medicaid fee screen, or billed charge, whichever is less. Once a year, a final fee screen is determined, as described below. If a provider has charges in excess of the interim fee screen payments, an adjustor payment is made at the end of the year to bring the interim payments up to the final fee screen, or the billed charge, whichever is less. CMS approved this methodology beginning in FY09, and the first adjustor payment was made in September 2009, based on FY08 expenditure data.

Final Fee Screen Methodology:

The final fee screen is the year-end maximum amount payable for each service, determined via the methodology detailed in the approved 1915(c) waiver renewal application.

The non-Federal share of the interim payments is paid with State appropriation to MDCH. The non-federal share of the adjustor payment is general fund from the MDCH State appropriation, allocated to the CMHSP.

Within MDCH, Michigan's Single State Medicaid Agency, the Medical Services Administration (MSA) establishes the interim fee screens (i.e., service payment rates); the Mental Health and Substance Abuse Administration (MHSA) in collaboration with MSA implements the methodology that results in the final fee screens. Oversight of the final fee screen (rate) determination methodology is provided by the staff of MSA and MHSA. Both the interim and final fee screens are reviewed by the Budget, Accounting and Audit Offices within MDCH.

Flow of Billings:

Claims for services provided to CWP enrollees, whether provided by a CMHSP, a qualified provider contracted by the CMHSP or under the Choice Voucher System, are billed directly by the CMHSP to Medicaid through CHAMPS - the State's claims payment system - in accordance with policies and procedures published in the "Billing and Reimbursement for Professionals" section of the Michigan Medicaid Provider Manual. That portion of the Manual also contains information about how claims are processed and how providers are notified of MDCH actions. The CMHSP may also choose to use a billing agent. CHAMPS issues payments directly to the CMHSP. All payments are made at the lesser of the charge for the service or the Medicaid fee screen.

- 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)

Certified by MDCH as a Community Mental Health Services Program (CMHSP) under the authority of the Act No. 80 of the public acts of 1905 as amended and enrolled with Medicaid as a Speciality Provider for the CWP. The certification process and standards are detailed in sub-part 7 & 8 of the aforementioned public act.

(1)As a condition of state funding, a single overall certification is required for each community mental health services program.(2)The certification process shall include a review of agencies or organizations that are under contract to provide mental health services on behalf of the mental health services program.3) The governing body of a community mental health services program shall request certification by submitting a completed application to the department.

After the department's acceptance of a complete application, the department shall determine whether the applicant meets certification standards. The certification process may include conducting an on-site review. Failure of the community mental health services program to comply with the requirements of the certification process shall be grounds for the department to deny, suspend, revoke, or refuse to renew a program's certification.

The department shall assess compliance with the following certification standards by determining the degree to which all of the following provisions apply:(a) The organization has established processes, policies, and procedures necessary to achieve the required result.(b) The established processes, policies, and procedures are properly implemented.(c) The expected result of the processes, policies, and procedures is being achieved.

Certification standards address all of the following areas: Governance; Mission Statement; Community Education; Improvement of Program Quality;Personnel and Resource Management; Physical/therapeutic environment; Fiscal Management; Consumer information, education and rights; Eligibility and initial screening; Waiting lists alternative services; Array of Services; Medication-control; Individual Plan of Service.

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:

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.

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

Program: " Children's Waiver Program. "

- 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.
- Limited to the CMHSP that serves their county or group of counties.
- 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*
 - CWP
 - **Less than Statewide**
-- *Specify Program Instance(s) for Less than Statewide*
 - CWP

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)
County or multi-county	FFS selective contractor	CMHSP

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:
 There are 81 counties in Michigan served by 46 CMHSPs.

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 State’s 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 Children's Health Insurance Program (SCHIP) through the Medicaid program.

- Mandatory enrollment**
 Voluntary enrollment

Other (Please define):

Enrolled in the §1915(c)CWP.

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/MR** --Medicaid beneficiaries who reside in Nursing Facilities (NF) or Intermediate Care Facilities for the Mentally Retarded (ICF/MR).
- 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

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

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)

CMS-approved Waiver Services: Respite care (in- and out-of-home); Specialized equipment and supplies (miscellaneous DME, repair or non-routine service for DME, personal care item – ADL aids, miscellaneous therapeutic items & supplies – adaptive toys, specialized supply – allergy control supplies, and specialized medical equipment - environmental safety/control devices; Specialty services (art, music, recreation, massage therapies); Community Living Supports (comprehensive support services); Non-emergency transportation; Home care training (family and non-family); Financial Management Services; Environmental accessibility adaptations (home modifications); Vehicle modifications

State Plan Services: Targeted case management; Psy dx interview; Interactive psy dx interview; Psychotherapy; Interactive psychotherapy; Family psychotherapy w/ and w/o patient; Group psychotherapy; Medication management; Speech/hearing evaluation; Speech/hearing therapy, individual and group; Treatment of swallowing dysfunction; Evaluation of auditory rehabilitation status; Auditory rehabilitation, pre- and post-lingual hearing loss; Psycho testing (by psych/phys, technician or administered by computer); Assessment of aphasia; Developmental test; Neurobehavioral status exam; Neuropsych testing (by psych/phys, technician or administered by computer); Therapeutic injections (sc/im); PT evaluation and re-evaluation; OT evaluation and re-evaluation; Therapeutic exercises; Neuromuscular reeducation; Aquatic therapy; Gait training therapy; Massage therapy; Manual therapy; Therapeutic activities (group and individual); Group therapy procedure(s); Development of cognitive skills; Sensory integrative techniques; Self-care/ home management training; Community/ work reintegration training; Wheelchair management/propulsion training; Prosthetic training; Checkout for orthotic/prosthetic use (established patient); Medical nutrition therapy (individual, group and re-assessment); Nutritional counseling; Behavioral health - short-term residential; Mental health assessment, by non-physician; Medication training and support; Comprehensive multidisciplinary evaluation; Monitoring or changing drug prescriptions; Physical or manipulative therapy performed for maintenance rather than restoration; Patient education (individual and group); Crisis intervention mental health svc; Nursing assessment/evaluation

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 State's 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

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 State's PCCM Program includes established standards for appointment scheduling for waiver enrollee's 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

A. Timely Access Standards (4 of 7)

2. Details for PCCM program. (Continued)

- c. **In-Office Waiting Times:** The State's 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

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.
 MDCH's contract with the CMHSPs requires that CMHSPs ensure timely access to supports and services. There are three access standards included in section 3.0 of the contract that track how quickly a newly referred person can access the system. The standards are: 1. Receive a pre-admission screening for Psychiatric inpatient care for whom the disposition was completed in 3 hours. 2. Receive a face to face meeting with a professional for assessment within 14 calendar day of a non-emergency request for services. 3. Start at least one ongoing service within 14 calendar days of a non-emergent assessment with a professional. Michigan's Mission Based Performance Indicator System provides data on the performance of CMHSPs for these and other selected indicators.

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:

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:

- 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:

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

Please describe the State's 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 State's 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.

Provider Type	# Before Waiver	# in Current Waiver	# Expected in Renewal
---------------	-----------------	---------------------	-----------------------

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

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

Please describe the State's standard:

Section A: Program Description

Part II: Access

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. Although the CMHSP is the only selective contracting program, choice amongst qualified direct service providers is assured in various ways. These include: choice among providers contracting with the CMHSPs; choice of CMHSP employees who are direct service providers; engaging in Choice Voucher arrangements whereby the family can serve as the common law employer of direct care staff or can contract with professional service providers; and adding providers upon consumer request.

In order to provide an appropriate, adequate array of service providers, each CMHSP establishes a procurement schedule and process for contracting with direct service providers. The CMHSP also routinely expands its provider panel to meet identified needs of its consumer base - including children enrolled in the CWP. In addition, if a CWP consumer or his/her family identifies a qualified direct service provider who is not part of the CMHSP's provider network, the CMHSP will contact the provider to see if he/she is willing to contract with the CMHSP to provide services to the consumer; or - if the service is one that can be self-directed - to see if the provider is willing to provide services under Choice Voucher arrangements.

The proxy for the CMHSP having “adequate capacity” of qualified providers is: 1) that services are provided as needed and planned; and 2) and that consumers / families have not expressed dissatisfaction with direct service providers.

The Site Review process includes reviewing the Individual Plan of Service (IPOS) for each consumer randomly selected for the on-site review. Each IPOS is compared with assessments underpinning the IPOS, with the corresponding budget and with services billed to Medicaid for the specified time frame. One purpose of this aspect of the Site Review is to determine if services are provided in type, amount and duration as needed and as identified in the IPOS. 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 CMHSP to address the problem. If the problem has not been resolved at the time of the site review, the CMHSP must address the issue in its Plan of Correction (POC).

Another aspect of the site review is to ascertain consumer and family satisfaction with services. If the consumer or family expresses dissatisfaction with the availability of or access to qualified direct service providers, the review team looks for documentation as to what strategies the CMHSP has implemented to address the consumer's / family's concerns.

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:

- 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 plan's 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:

- 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:

- 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:

- 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 enrollee's 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 enrollee's needs.
 - b. Each enrollee selects or is assigned to a designated **designated health care practitioner** who is primarily responsible for coordinating the enrollee's 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 manager's 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

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. Per the Michigan Mental Health Code, the CMHSP is responsible for development of an individual plan of service and for targeted case management services for all consumers served by the CMHSP. All services, inclusive of targeted case management and responsibility for development of an individual plan of service, are housed within the CMHSP to facilitate care coordination. Therefore, by identifying the CMHSP as the selective contracting program, coordination of care is assured.

Section A: Program Description

Part II: Access

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				
PIHP				

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 PCCM's response to identified problems
4. Refer to program staff for further investigation
5. Send warning letters to PCCMs
6. Refer to State's medical staff for investigation
7. Institute corrective action plans and follow-up
8. Change an enrollee's 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

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 recertification 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:

The State assures quality in the services that are covered by the selective contracting program as identified in Appendix C of the approved §1915(c)waiver. Appendix C details covered waiver services, provider qualifications for those services and identifies Performance Measures related to State oversight of provider qualifications, credentialing standards, and provider training. The Michigan Medicaid Provider Manual details standards and qualification for providers of the mental health State Plan services that are provided to children on the CWP by the selective contracting program.

Within MDCH-MHSA, the Division of Quality Management and Planning (QMP) monitors implementation of the §1915(c)CWP waiver by CMHSPs. The QMP Quality Assurance Section has responsibility for performing on-site reviews at each of the 18 PIHPs and (for the CWP), the 46 CMHSPs. A full on-site review is completed at each PIHP/CMHSP on a biennial basis, with a follow-up review on the alternate year. The Site Review Team reviews a proportionate random sample of CWP consumers at each CMHSP. Those reviews include clinical record reviews, administrative record reviews, home visits and consumer interviews using the Site Review Protocols and Site Review Interpretive Guidelines. The protocols are derived from requirements of the Michigan Mental Health Code,

Administrative Rules, federal requirements, and Medicaid policies. The Site Review team monitors CWP activities / functions delegated to the CMHSPs to assure that: 1) level of care evaluations and reevaluations are made in accordance with CWP eligibility requirements; 2) individual plans of service (IPOS) meet the CWP consumer's identified needs for services; 3) needed services are provided in the amount, scope and duration defined in the IPOS; 4) CMHSP prior authorization, utilization management and billing are in accordance with established policies and procedures; and 5) provider qualifications are current, and willing, qualified providers are available to meet CWP consumers' needs and choice. The QMP Division also oversees all quality improvement efforts and ongoing quality assurance by the CMHSPs.

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

A. Marketing (3 of 4)

2. Details (Continued)

b. Description. Please describe the State's 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**

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**

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**

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):

The State's contract with CMHSPs requires compliance with the Office of Civil Rights Policy Guidance on the Title VI Prohibition Against Discrimination as it Affects Persons with Limited English Proficiency. This includes that materials be available in the languages appropriate to the people served within the CMHSP's area. The MDCH site review process assures compliance with this requirement.

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.

The CMHSP assures accomodation for people with Limited English Proficiency (LEP) and other linguistic needs, as well as for individuals with hearing impairments and person with diverse cultural and demographic backgrounds, visual impairments and alternative needs for communication. The MDCH site review process assures complainece with this requirement.

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

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

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 State's 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****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

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 enrollee's 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 PCCM's 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 State's timeframe within which an enrollee, or provider on behalf of an enrollee, must file an **appeal** is _____ days (between 20 and 90).
- The State's 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 enrollee's freedom to make a request for a fair hearing or a PCCM or PAHP enrollee's 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 State's 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 MCO's, PCCM's, PIHP's, or PAHP's 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 MCO's, PCCM's, PIHP's, or PAHP's 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 excluded 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	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Accreditation for Participation	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Consumer Self-Report data	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Data Analysis (non-claims)	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS
Enrollee Hotlines	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Focused Studies	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Geographic mapping	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Independent Assessment	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Measure any Disparities by Racial or Ethnic Groups	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Network Adequacy Assurance by Plan	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Ombudsman	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
On-Site Review	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS
Performance Improvement Projects	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Performance Measures	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Periodic Comparison of # of Providers	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Profile Utilization by Provider Caseload	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Provider Self-Report Data	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS
Test 24/7 PCP Availability	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Utilization Review	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Other	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> 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
Accreditation for Non-duplication	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Accreditation for Participation	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS
Consumer Self-Report data	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Data Analysis (non-claims)	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Enrollee Hotlines	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Focused Studies	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Geographic mapping	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Independent Assessment	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Measure any Disparities by Racial or Ethnic Groups	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Network Adequacy Assurance by Plan	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Ombudsman	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
On-Site Review	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS
Performance Improvement Projects	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Performance Measures	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Periodic Comparison of # of Providers	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Profile Utilization by Provider Caseload	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Provider Self-Report Data	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Test 24/7 PCP Availability	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Utilization Review	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
Other	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> 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:
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 - 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
Accreditation for Non-duplication	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Accreditation for Participation	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Consumer Self-Report data	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Data Analysis (non-claims)	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Enrollee Hotlines	<input type="checkbox"/> MCO	<input type="checkbox"/> MCO	<input type="checkbox"/> MCO

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
	<input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Focused Studies	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Geographic mapping	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Independent Assessment	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Measure any Disparities by Racial or Ethnic Groups	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Network Adequacy Assurance by Plan	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Ombudsman	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
On-Site Review	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> FFS
Performance Improvement Projects	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS	<input type="checkbox"/> FFS
Performance Measures	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Periodic Comparison of # of Providers	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Profile Utilization by Provider Caseload	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Provider Self-Report Data	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Test 24/7 PCP Availability	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Utilization Review	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS
Other	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input type="checkbox"/> FFS	<input type="checkbox"/> MCO <input type="checkbox"/> PIHP <input type="checkbox"/> PAHP <input type="checkbox"/> PCCM <input checked="" type="checkbox"/> 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
CWP	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 Program

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 organization's 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:

Certified by MDCH as a Community Mental Health Services Program (CMHSP) under the authority of the Act No. 80 of the public acts of 1905 as amended and enrolled with Medicaid as a Speciality Provider for the CWP. The certification process and standards are detailed in sub-part 7 & 8 of the aforementioned public act.

(1)As a condition of state funding, a single overall certification is required for each community mental health services program.(2)The certification process shall include a review of agencies or organizations that are under contract to provide mental health services on behalf of the mental health services program.3)The governing body of a community mental health services program shall request certification by submitting a completed application to the department.

After the department's acceptance of a complete application, the department shall determine whether the applicant meets certification standards. The certification process may include conducting an on-site review. Failure of the community mental health services program to comply with the requirements of the certification process shall be grounds for the department to deny, suspend, revoke, or refuse to renew a program's certification.

The department shall assess compliance with the following certification standards by determining the degree to which all of the following provisions apply:(a) The organization has established processes, policies, and procedures necessary to achieve the required result.(b) The established processes, policies, and procedures are properly

implemented.(c) The expected result of the processes, policies, and procedures is being achieved.

Certification standards address all of the following areas: Governance; Mission Statement; Community Education; Improvement of Program Quality;Personnel and Resource Management; Physical/therapeutic environment; Fiscal Management; Consumer information, education and rights; Eligibility and initial screening; Waiting lists alternative services; Array of Services; Medication-control; Individual Plan of Service.

- NCQA
- JCAHO
- AAAHC
- Other

Please describe:

As stated above, MDCH certifies the CMHSPs.

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:

CWP data system tracks consumer enrollment and disenrollment and is used to update CHAMPS regarding CWP eligibility. Site review summaries, Critical Event Reporting system and administrative hearing data is reviewed in order to complete the quality narrative for the annual CMS 372.

CWP staff review the CMHSP Performance Indicator reports produced by the Michigan Mission Based Performance Indicator System with respect to the access indicators.

- 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:

Within MDCH-MHSA, the Division of Quality Management and Planning (QMP) monitors implementation of the §1915(c) CWP waiver by CMHSPs. The QMP Quality Assurance Section has responsibility for performing on-site reviews at each of the 18 PIHPs and (for the CWP), the 46 CMHSPs. A full on-site review is completed at each CMHSP on a biennial basis, with a follow-up review on the alternate year. The Site Review Team reviews a proportionate random sample of CWP consumers at each CMHSP. Those reviews include clinical record reviews, administrative record reviews, home visits and consumer interviews using the Site Review Protocols and Site Review Interpretive Guidelines. The protocols are derived from requirements of the Michigan Mental Health Code, Administrative Rules, federal requirements, and Medicaid policies. The Site Review team monitors CWP activities / functions delegated to the CMHSPs to assure that: 1) level of care evaluations and reevaluations are made in accordance with CWP eligibility requirements; 2) individual plans of service (IPOS) meet the CWP consumer's identified needs for services; 3) needed services are provided in the amount, scope and duration defined in the IPOS; 4) CMHSP prior authorization, utilization management and billing are in accordance with established policies and procedures; 5) provider qualifications are current, and that qualified providers are available to meet CWP consumers' needs and choice and; 6) there is coordination of care among and between service providers. The QMP Division also oversees all quality improvement efforts and ongoing quality assurance by the CMHSPs. MDCH also documents satisfaction with services as gathered on the home visit during the site review. The site review is the primary vehicle used by MDCH to gather data on the Performance Measures as a part of the Quality Improvement Strategy identified in the §1915(c) waiver application, related to how CMHSPs comply with delegated functions related to the CWP.

- 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:

Per concurrence of CMS, no independent assessment is required as the establishment of this 1915(b)(4) waiver does not impact the manner in which the 1915(c) waiver has operated for more than the past 20 years. There is no change in access and eligibility as detailed in the renewal 1915(c) waiver, or in timely access to needed services and qualified providers. The contract between MDCH and PIHPs/CMHSPs establishes standards for access to mental health services. These standards provide the framework to address all populations that may seek out or request services of a PIHP or CMHSP including adults and children with developmental disabilities, mental illness, and co-occurring mental

illness and substance use disorders.

There are well established quality monitoring strategies in place for the public mental health system, inclusive of the 1915(c) waivers, as detailed in the 1915(c)waiver application. MDCH collects data for performance indicators and performance improvement projects for each of three areas: Medicaid performance indicators measure the performance of the PIHP/CMHSPs. The QIC performance indicators are categorized by the following domains: access, adequacy, appropriateness, effectiveness, outcomes, prevention, and structure/plan management. Indicators are used to alert MDCH management of systemic or individual PIHP/CMHSP issues that need to be addressed immediately; to identify trends to be watched; to monitor contractual compliance; and to provide information that the public wants and needs. Most of the information used in these indicators is generated from the encounter and QI data located in MDCH's data warehouse.

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 State's 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
Children enrolled in the Home and Community Based 1915 (c) Children's Waiver Program (CWP).

	First Period		Second Period	
	Start Date	End Date	Start Date	End Date
Actual Enrollment for the Time Period**				
Enrollment Projections for the Time Period*	10/01/2011	09/30/2012	10/01/2012	09/30/2013

**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	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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 State’s 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 State’s submitted CMS-64 forms.

Signature: Stephen Fitton

State Medicaid Director or Designee

Submission Date: Sep 26, 2011

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

b. Name of Medicaid Financial Officer making these assurances:

Dick Miles

c. Telephone Number:

(517) 373-2378

d. E-mail:

miles@michigan.gov

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.

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.
- c. [Required] Explain the reason for any increase or decrease in member months projections from the base year or over time:
During FY 12 the state must phase down to the any point in time maximum supported by the appropriation and required to meet Maintenance of Effort.
- d. [Required] Explain any other variance in eligible member months from BY to P2:
FY 13 will be managed to the any point in time maximum supported by the State appropriation and in accordance with the Maintenance of Effort requirement.
- e. [Required] List the year(s) being used by the State as a base year:
FY 2010
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:
State fiscal year(SFY).
- g. [Required] Explain if any base year data is not derived directly from the State's MMIS fee-for-service 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.

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
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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
Total:			

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:

The State allocates state staff and related administrative costs based upon its cost allocation [CAP] and cost tracking programs; that is, the actual costs of state staff administering the program and the related CSS&M are tracked and recorded by account number and reported on the waiver’s CMS 64.10 Waiver form. Additionally, beginning in FY 11 the State implemented changes in administrative cost reporting that make it possible to identify and report the CMHSP benefit plan management costs.

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 State's 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:
 1.35
 Please document how that trend was calculated:
 Historical cost increases from FY 07-FY 10 were smoothed linearly to produce an annualized trend rate, and applied to FY 10 and FY 11 to arrive at the estimate cost for P1 [FY 12].
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
 SFY 2007-2010
 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 State's cost increase calculation includes more factors than a price increase such as changes in technology, practice patterns, and/or units of service PMPM.
 To estimate future trend rates, historical cost increases from FY 07-FY 10 were smoothed linearly to produce an annualized trend rate during the period. The annualized historical trend rate, in our opinion, is the best estimate of future costs for this population. Cost changes include the impact of practice patterns and utilization PMPM.
 - ii. National or regional factors that are predictive of this waiver's future costs.
 Please indicate the services and indicators used.

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

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

Section D: Cost-Effectiveness

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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
1) PDN expenditures were inadvertently excluded from the base year's CMS 64.9 Waiver forms; 2) payments made to the CMHSP providers accruing from the interim to final fee screen adjustment were made after base year data was collected; 3) the addition of Fiscal Management Services; 4) the elimination of Vacation Respite; and 5) Inordinate lag in payments due to the Implementation of CHAMPS.

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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
Administrative positions and functions have been vacated since 2010, and will remain unfilled/unattended during the waiver period. The benefit management functions delegated from the state to the CMHSPs [heretofore not reimbursed to the CMHSPs and not submitted on the CWP's CMS 64.10 Waiver forms] will be submitted beginning in FY 11. (Refer to Appendix D7-summary for detail.)

- 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 State's 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.

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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 State's 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 State's 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 State's 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

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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 State's 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

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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 contractor's 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

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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

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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 State's 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

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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

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**

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**

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**

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.

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:

In FY12, the State must phase down to the level supported by the State appropriation; FY13 enrollment will be managed to the any point in time maximum supported by the anticipated State appropriation.

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 State's explanation of cost increase given in Section D.I.I and D.I.J:

Cost changes include the impact of practice patterns and utilization PMPM.

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 State's explanation of utilization given in Section D.I.I and D.I.J:

Cost changes include the impact of practice patterns and PMPM.

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

Five State Plan Programmatic and Policy Adjustments Account for 85% of the overall rate of change for the 2 years from BY to P1: 1) Expenditures for PDN provided to enrollees of this program were inadvertently excluded from the base year's CMS 64.9 Waiver forms [aggregate \$2.6 M or 17.4%]; 2) payments made to the CMHSP providers accruing from the interim to final fee screen adjustment were made after base year data was collected [aggregate \$1.9 M or 12.7%]; 3) the addition of Fiscal Management Services [\$170.1K or 1.1%]; 4) the termination of Vacation Respite [\$400K or -2.68%]; and, 5) inordinate lag in payments due to the Implementation of CHAMPS [\$500 K or 3.35%].

Two Administrative Adjustments account for 15% of the of the overall rate of change for the two years from BY to P1: 1) Administrative positions and functions have been vacated since 2010, and will remain unfilled/unattended during the waiver period [a \$95K or 21.7% reduction]; and 2) the benefit management functions delegated from the state to the CMHSPs [heretofore not reimbursed to the CMHSPs or submitted on the CWP's CMS 64.10 Waiver forms] will be submitted beginning in FY 11. The projected increase accruing from this delegated benefit management administration is [\$1,033,000 or 235.5%].

The new 460 PIHP/CMHSP cost report distinguishes administrative costs for administering the Children's Waiver Program (CWP) from those costs associated with directly delivering services to consumers. OMB Circular A-87 under the section composition of costs makes it clear there is no universal rule for classifying certain costs as either direct or indirect under every accounting system. Therefore, to the extent that these costs are indirect, the requirements are accommodated under the requirement that the CMHSPs report their costs in compliance with the requirements of OMB Circular A-87. When these costs are indirect costs as defined in A-87, the CMHSP is obligated to ensure the equitable distribution of these costs based on relative benefits to each funding stream/program. This could require gathering the costs into a cost pool and distributing the costs to other administrative categories. The costs reported on the administrative cost report are the product of each CMHSP's A-87 compliant cost allocations. The administrative cost report does not show these cost allocation steps, they would be documented at the CMHSP in support of the reported administrative costs. The state has a process in place to monitor this process. Compliance with A-87 will be monitored as part of the annual compliance exam submitted to MDCH by each CMHSP.

MDCH will reimburse CMHSPs the Federal share of actual CMHSP administrative expenditures attributed to the CWP, as reported on a financial report certified as accurate by the CMHSP and submitted to MDCH, the MDCH/CMHSP cost settlement process and the CMHSP audited financial reports. The amount reimbursed will be determined in compliance with A-87 principles.

Appendix D7 - Summary

	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
2	Initial Waiver														
3	Estimated Member Month Calculations														
4	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft														
5	Actual Enrollment for the Time Period -				BY =	10/1/2009	through	9/30/2010	**BY include actual data and dates. No estimates. Minimum 5 Quarters needed for worksheet.						
6	Enrollment Projections for the Time Period -		P1 =	10/1/2011	through	9/30/2012	P2 =	10/1/2012	through	9/30/2013	*Projections start on a calendar quarter and include data for the entire requested waiver period				
7	Medicaid Eligibility Group (MEG)		Base Year (BY) ends	Projected Quarter 1 begins	Projected Quarter 2 begins	Projected Quarter 3 begins	Projected Quarter 4 begins	Projected Year 1 (P1)	Projected Quarter 5 begins	Projected Quarter 6 begins	Projected Quarter 7 begins	Projected Quarter 8 begins	Projected Year 2 (P2)	Total Projected (H+M)	
8			9/30/2010	10/1/2011	1/1/2012	3/31/2012	6/30/2012	(P1)	10/1/2012	1/1/2013	4/1/2013	7/1/2013	(P2)	(H+M)	
9	1915(c) Waiver Enrollees		5,240	1,254	1,244	1,244	1,244	4,986	1,253	1,253	1,253	1,253	5,012	9,998	
10	Total Member Months		5,240	1,254	1,244	1,244	1,244	4,986	1,253	1,253	1,253	1,253	5,012	9,998	
11	Quarterly % Increase				-0.80%	0.00%	0.00%		0.72%	0.00%	0.00%	0.00%			
12	Annualized % Increase R1 to R2 to P1 to P2							-4.85%					0.52%		
13															
14															
15	Note tabs at bottom of spreadsheet - to print all charts select 'Entire Workbook' from print options.														
16	Modify Line items as necessary to fit the MEGs of the program.														
17	*Projections start on a calendar quarter and include data for the entire requested waiver period														
18	**R1 and R2 include actual data and dates. No estimates. A minimum of 5 quarters of actual data is needed for these worksheets to calculate properly														
19															
20	State Completion Sections Enter R1 and R2 counts from completed member months reports submitted to RO on quarterly basis.														
21	Project P1 and P2 on a quarterly basis using R2 as base.														
22	To modify the formulas as necessary to fit the length of the program complete this section. The formulas will automatically update given this data.														
23	Use Quarter Starting Dates on Appendix D1. Appendix D6 will automatically become Quarter Ending Dates to sync with CMS-64.														
24	Note: the calculations in the worksheet use greater detail than what is shown in printed tables or on the screen. This results in greater precision than if all calculations														
25	were rounded to the displayed currency settings. Using a calculator for hand calculation will show differences when summing larger numbers - the differences should														
26	not be significant.														

NUMBER OF DAYS OF DATA	
BY	364.00
Gap (end of BY to P1)	366.00
P1	365.00
P2	364.00
TOTAL BY to P2	1459.00
(Days-365)	1094.00
TOTAL BY to P1	1095.00
(Days-364)	730.00

	B	C	D	E	F	G	H	I	J	K
2	Administration in Actual Waiver Cost (Comprehensive and Expedited)									
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft									
4	Initial Waiver									
5	Instructions: Modify columns as applicable to the waiver entity type and structure to note administration in different MEGs, etc.									
6										
7	CMS 64.10									
	line Item	CMS 64.10 Explanation	Contract	Match Rate	BY	FFP				
8	1	FAMILY PLANNING		90% FFP						
9	2	DESIGN DEVELOPMENT OR INSTALLATION OF MMIS*		90% FFP						
10	A.	COSTS OF IN-HOUSE ACTIVITIES PLUS OTHER STATE AGENCIES AND INSTITUTIONS		90% FFP						
11	B.	COST OF PRIVATE SECTOR CONTRACTORS		90% FFP						
12	3	SKILLED PROFESSIONAL MEDICAL PERSONNEL		75% FFP						
13	A.	SINGLE STATE AGENCY								
14	B.	OTHER AGENCY								
15	4	OPERATION OF AN APPROVED MMIS*:		75% FFP						
16	A.	IN-HOUSE		75% FFP	\$ 2,420	\$ 1,815				
17	B.	PRIVATE		75% FFP						
18		Psychotropic & Side Effects Drug Claims Processing Fees - First Health		75% FFP						
19	5	MECHANIZED SYSTEMS:		50% FFP						
20	A.	IN-HOUSE		50% FFP						
21	B.	PRIVATE SECTOR		50% FFP						
22		Psychotropic & Side Effects Drug Rebates Processing & DUR Fees - First Health		50% FFP						
23	C.	NOT APPROVED UNDER MMIS PROCEDURES: INTERAGENCY								
24	6	QUALITY IMPROVEMENT ORGANIZATIONS (QIO)		75% FFP						
25	7. A.	THIRD PARTY LIABILITY RECOVERY PROCEDURE		50% FFP						
26	B.	TPL ASSIGNMENT OF RIGHTS		50% FFP						
27	8	IMMIGRATION STATUS VERIFICATION SYSTEM COSTS		100% FFP						
28	9	NURSE AIDE TRAINING COSTS		50% FFP						
29	10	PREADMISSION SCREENING COSTS		75% FFP						
30	11	RESIDENT REVIEW ACTIVITIES COSTS		75% FFP						
31	12	DRUG USE REVIEW PROGRAM		50% FFP						
32	13	OUTSTATIONED ELIGIBILITY WORKERS		50% FFP						
33	14	TANF BASE		90% FFP						
34	15	TANF SECONDARY 90%		90% FFP						
35	16	TANF SECONDARY 75%		75% FFP						
36	17	EXTERNAL REVIEW - HSA Group EQRO		75% FFP						
37	18	ENROLLMENT BROKERS		50% FFP						
38	19	SCHOOL BASED ADMINISTRATION								
39	20	PROGRAM INTEGRITY/FRAUD, WASTE, AND ABUSE ACTIVITIES								
40	21	COUNTY/LOCAL ADM COSTS								
41	22	INTERAGENCY COSTS								
42	23	TRANSLATION AND INTERPRETATION								
43	24	HEALTH INFORMATION TECHNOLOGY ADMINISTRATION								
44	A.	HIT: PLANNING: COST OF IN-HOUSE ACTIVITES								
45	B.	HIT: PLANNING: COST OF PRIVATE CONTRACTORS								
46	C.	HIT: IMPLEMENTATION AND OPERATION: COST OF IN-HOUSE ACTIVITIES								
47	D.	HIT: IMPLEMENTATION AND OPERATION: COST OF PRIVATE CONTRACTORS								
48	25	CITIZENSHIP VERIFICATION TECHNOLOGY - CHIPRA								
49	A.	CVT DEVELOPMENT - CHIPRA								
50	B.	CVT OPERATION - CHIPRA								
51	27	RECOVERY AUDIT CONTRACTORS								
52	A.	RAC CONTINGENCY FEE								
53	B.	RAC STATE ADMINISTRATION								
54	29	OTHER FINANCIAL PARTICIPATION		50% FFP	\$ 436,202	\$ 217,786				
55	30	Total			\$ 438,622	\$ 219,601				
56										
57	*Allocation basis is ___ % of Medicaid costs OR ___ % of Medicaid eligibles OR ___ other, please explain:									
58	Add multiple line items as necessary to fit the administration of the program (i.e. if you have more than one contract on line 19, detail the contracts separately).									
59	State Complete Enter in amounts from Schedule F on the MBES system.									

State of Michigan

Appendix D2.S Services in Waiver Cost

Row # / Column
Letter

B

C

E

F

2

Services in Actual Waiver Cost (Comprehensive and Expedited)

3

Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft

4

Base Year Initial Waiver

5

Instructions: Modify columns as applicable to the waiver entity type and structure to note services in different MEGs.

6

* Please note with a * if there are any proposed changes.

7

8

State Plan [inclusive of approved 1915(c)] Services In Waiver Cost	
	FFS Selective Contracting Program
Service Category	
1915(c) <u>HCBS/DD Children's Waiver</u>	x
<u>Mental Health Clinic Services</u>	x
<u>Mental Health Rehabilitation Services</u>	x
<u>Mental Health Targeted Case Mgmt.</u>	x
<u>Private Duty Nursing</u>	x

9

10

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19

20

21

Modify Line items as necessary to fit the services of the program.

State Completion Sections

Note: This appendix redesigned per WJBHC's understanding of Eowyn Ford's guidance as documented in *EFord - WJBHC D2.S Dialogue.pdf*.

	B	C	D	E	F	G	H	I	J	K	L	M	N	O		
2	Actual Waiver Cost Initial Comprehensive Version															
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft															
4																
5																
6	Base Year (BY) Aggregate Costs								BY Per Member Per Month (PMPM) Costs							
7	Medicaid Eligibility Group (MEG)	BY Member Months	MCO/PIHP Capitated Costs risk sharing payouts/withholds) or PCCM Case Management Fees	Discrete State Plan & 1915(c) Waiver Fee-For- Service Costs	Discrete State Plan & 1915(c) Service Costs (D+E)	FFS Incentive Costs (not included in capitation rates, documentation)	1915(b)(3) service costs (provide documentation)	Administration Costs (Attach list using CMS 64.10 Waiver schedule categories)	Total Actual Waiver Costs (F+G+H+I)	Discrete State Plan & 1915(c) Service Costs (F/C)	Incentive Costs (G/C)	1915(b)(3) Service Costs (H/C)	Administration Costs (I/C)	Total Actual Waiver Costs (J/C)		
8															9	10
12	1915(c) Waiver Enrollees	5,240		\$ 14,514,586	\$ 14,514,586	\$ -	\$ -	\$ 438,622	\$ 14,953,208	\$ 2,769.96	\$ -	\$ -	\$ 83.71	\$ 2,853.67		
13	Total	5,240		\$ 14,514,586	\$ 14,514,586	\$ -	\$ -	\$ 438,622	\$ 14,953,208							
14	BY Overall PMPM Case mix for BY (BY MMs)									\$ 2,769.96	\$ -	\$ -	\$ 83.71	\$ 2,853.67		
15	Modify Line items as necessary to fit the MEGs of the program.															
17	State Completion Sections: For a State without FFS incentives or 1915(b)(3), enter in amounts from Schedule F from the MBES (Capitated - Column D versus FFS - Column E) and ensure that Column F matches services costs in Schedule D from the MBES.															
18	If the State has 1915(b)(3) or FFS incentives, use State ad hoc reports to calculated amounts in Columns G and H and to reduce the amounts in columns D and E.															
19	For these comprehensive states, the total from Columns D, E, G, and H should equal the services amounts in Schedule D from the MBES.															
20	Note: The States completing the Expedited Test will only attach the most recent waiver Schedule D, and the corresponding quarters of waiver forms from the CMS-64.9 Waiver and CMS-64.21U Waiver and CMS 64.10 Waiver.															
21	Completion of this Appendix is not necessary for expedited waivers.															
22	Note: The States completing the Comprehensive Test will attach the most recent waiver Schedule D, and the corresponding quarters of waiver forms from the CMS-64.9 Waiver and CMS-64.21U Waiver and CMS 64.10 Waiver.															
23	Completion of this Appendix is required for Comprehensive Waivers.															
24																

State of Michigan

Appendix D4. Adjustments in Projection

	B	C	D	E	F
2	Adjustments and Services in Waiver Cost Projection (Comprehensive and Expedited)				
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft				
4	Prospective Years 1 and 2 (P1 and P2)				
5	Initial Waiver				
6	* If a change please note				
7					
8	Adjustments to the Waiver Cost Projection	Adjustments Made	Location of Adjustment		
9	State Plan Trend	X	Tab: D5; Column J; Rows 13 & 27		
10	State Plan Programmatic/policy/pricing changes	X	Tab: D5; Column L; Row 13		
11	Administrative Cost Adjustment	X	Tab: D5; Column Y; Rows 13 & 27		
12	1915(b)(3) Service Trend				
13	Incentives (not in cap payment) Adjustments				
14	Changes in GME rates or methodology				
15	Payments/Recoupments not processed through MMIS				
16	Copayments				
17	Third Party Liability				
18	Pharmacy Rebate Factor Adjustment				
19	Disproportionate Share Hospital (DSH)				
20	Population Biased Selection (Voluntary Populations)				
21	FQHC and RHC Cost-Settlement Exclusion				
22	Adjustments associated with Special Notes				
23	Other				
24					
25	State Completion Sections				

	B	C	D	E	F	G	H	I	J	K	L	M	N	O		
2	Waiver Cost Projection Initial Waiver Comprehensive Version										PDN add @ \$2.6 M/5,240 =	\$ 496.18	17.44%			
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft										FSA add @\$1.9 M/5,240 =	\$ 362.60	12.74%			
4	Note: Complete this Appendix for all Prospective Years										-Vac Respite \$400 K/5,240 =	\$ (76.34)	-2.68%			
5	Waiver Cost Projection										Inflation 1.35% for 2 years	2.72%	+Fiscal Mgt \$170.1 K/5,240 =	\$ 32.46	1.14%	
6												CHAMPS Delays \$500 K/5,240 =	\$ 95.42	3.35%		
7												Total	\$ 910.32	31.99%		
8	Medicaid Eligibility Group (MEG)	Base Year Member Months	BY Per Member Per Month (PMPM) Costs					Prospective Year 1 (P1) Projection for State Plan Services**								
9			State Plan	Incentive	1915(b)(3)	Administration	Total Actual	BY PMPM	State Plan	PMPM Effect of	Program Adjustment	PMPM Effect of	Aggregate PMPM	Total P1 PMPM		
10			Service Costs*	Costs*	Service Costs*	Costs*	Waiver Costs*	State Plan	Inflation Adjustment	Inflation	Capitation	Program	Effect of State	State Plan Service		
11								Service Costs*	(Annual Year 1)	Adjustment	Rate Change	Adjustment	Plan Service Adj.	Cost Projection		
12								(Same as D13-D18)	(Preprint Explains)	(IxJ)	(Preprint Explains)	((I+K)xL)	(K+M)	(I+N)		
13			1915(c) Waiver Enrollees	5,240	\$ 2,769.96	\$ -	\$ -	\$ 83.71	\$ 2,853.67	\$ 2,769.96	2.72%	\$ 75.29	31.99%	\$ 910.32	\$ 985.62	\$ 3,755.58
14			Total	5,240												
15			P1 PMPM Casemix for BY (BY MMs)		\$ 2,769.96	\$ -	\$ -	\$ 83.71	\$ 2,853.67	\$ 2,769.96	2.72%	\$ 75.29	32.0%	\$ 910.32	\$ 985.62	\$ 3,755.58
16																
17			* For comprehensive waivers, Columns D, E, F, G and H are columns K, L, M, N, and O from the Actual Waiver Cost Spreadsheet D3. For expedited waivers, sum the CMS-64.9 WAV and 64.21UWAV forms and divide by the member months for column D.													
18			Sum the CMS 64.10 WAV forms and divide by the member months for Column G. Sum D+G for Column H.													
19			** If additional columns are needed in order to identify all of the adjustments being made, please insert the appropriate number of columns and label them accordingly.													
20																
21																
22	Medicaid Eligibility Group (MEG)	Base Year Member Months	P1 Per Member Per Month (PMPM) Costs					Prospective Year 2 (P2) Projection for Discrete State Plan & 1915(c) Services**								
23			P1 PMPM	P1 PMPM	P1 PMPM	P1 PMPM	P1 PMPM	P1 PMPM	Discrete State Plan	PMPM Effect of	Program Adjustment	PMPM Effect of	Aggregate PMPM	Total P2 PMPM		
24			Discrete State Plan & 1915(c)	Incentive	1915(b)(3) Service	Administration Cost	Total Actual	Discrete State Plan & 1915(c) Service	& 1915(c) Inflation	Inflation	Capitation	Program	Effect of State	State Plan Service		
25			Service Costs	Service Costs	Cost Projection	Projection	Waiver Costs	Cost Projection	Adjustment	Adjustment	Rate Change	Adjustment	Plan Service Adj.	Cost Projection		
26			(same as O13-O18)	(same as S13-S18)	(same as W13-W18)	(same as AA13-AA18)	(same as AB13-AB18)	(Same as D30-D35)	(Annual Year 2)	(IxJ)	(Preprint Explains)	((I+K)xL)	(K+M)	(I+N)		
27			1915(c) Waiver Enrollees	5,240	\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	\$ 3,755.58	1.35%	\$ 50.70	0.00%	\$ -	\$ 50.70	\$ 3,806.28
28			Total	5,240												
29			P2 PMPM Casemix for R2 (R2 MMs)		\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	\$ 3,755.58	1.35%	\$ 50.70	0.0%	\$ -	\$ 50.70	\$ 3,806.28
30																
31																
32			Modify Line items as necessary to fit the MEGs of the program.													
33			State Completion Sections													
34																

	B	P	Q	R	S	T	U	V	W	X	Y	Z	AA	AB
2														
3							State:	Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft						
4														
5										Admin Reduction @ \$95 K =	\$ (18.13)		-21.66%	
6										Benefit Mgt Admin @ \$1033000 =	\$ 197.14		235.51%	
7											\$ 179.01		213.85%	
8		P1 Projection for Incentive Costs not Included in Capitation Rates**				P1 Projection for 1915(b)(3) Service Costs**				P1 Projection for Administration Costs**				
9	Medicaid Eligibility Group (MEG)	BY PMPM	Incentive Cost	PMPM Effect of	Total P1 PMPM	BY PMPM	1915(b)(3) Service	PMPM Effect of	Total P1 PMPM	BY PMPM	Administration Costs	PMPM Effect of	Total P1 PMPM	Total P1 PMPM Projected Waiver Costs (O+S+W+AA)
10		Incentive	Inflation Adj.	Inflation	Incentive Cost	1915(b)(3)	Inflation Adj.	Inflation	1915(b)(3) Service	Administration	Inflation Adj.	Inflation	Administration Cost	
11		Costs*	(Annual Year 1)	Adjustment	Projection	Service Costs*	(Annual Year 1)	Adjustment	Cost Projection	Costs*	(Annual Year 1)	Adjustment	Projection	
12		(Same as E13-E18)	(Preprint Explains)	(PxQ)	(P+R)	(Same as F13-F18)	(Preprint Explains)	(TxU)	(T+V)	(Same as G13-G18)	(Preprint Explains)	(XxY)	(X+Z)	
13	1915(c) Waiver Enrollees	\$ -		\$ -	\$ -			\$ -	\$ -	\$ 83.71	213.85%	\$ 179.01	\$ 262.71	\$ 4,018.29
14	Total													
15	P1 PMPM Casemix for BY (BY MMs)	\$ -	0.00%	\$ -	\$ -	0.00%	\$ -	\$ -	\$ -	\$ 83.71	213.85%	\$ 179.01	\$ 262.71	\$ 4,018.29
16														
17														
18														
19														
20														
21														
22		P2 Projection for Incentive Costs not Included in Capitation Rates**				P2 Projection for 1915(b)(3) Service Costs**				P2 Projection for Administration Costs**				
23	Medicaid Eligibility Group (MEG)	P1 PMPM	Incentive Cost	PMPM Effect of	Total P2 PMPM	P1 PMPM	1915(b)(3) Service	PMPM Effect of	Total P2 PMPM	P1 PMPM	Administration Costs	PMPM Effect of	Total P2 PMPM	Total P2 PMPM Projected Waiver Costs (O+S+W+AA)
24		Incentive Cost	Inflation Adj.	Inflation	Incentive Cost	1915(b)(3) Service	Inflation Adj.	Inflation	1915(b)(3) Service	Administration Cost	Inflation Adj.	Inflation	Administration Cost	
25		Projection	(Annual Year 2)	Adjustment	Projection	Cost Projection	(Annual Year 2)	Adjustment	Cost Projection	Projection	(Annual Year 2)	Adjustment	Projection	
26		(Same as E30-E35)	(Preprint Explains)	(PxQ)	(P+R)	(Same as F30-F35)	(Preprint Explains)	(TxU)	(T+V)	(Same as G30-G35)		(XxY)	(X+Z)	
27	1915(c) Waiver Enrollees	\$ -		\$ -	\$ -	0.00%	\$ -	\$ -	\$ -	\$ 262.71	1.35%	\$ 3.55	\$ 266.26	\$ 4,072.54
28	Total													
29	P2 PMPM Casemix for R2 (R2 MMs)	\$ -	0.00%	\$ -	\$ -	0.00%	\$ -	\$ -	\$ -	\$ 262.71	1.35%	\$ 3.55	\$ 266.26	\$ 4,072.54
30														
31														
32	Modify Line items as necessary to fit the MEGs													
33	State Completion Sections													
34														

	B	C	D	E	F	G	H	I	J	K	L	M	N	O
2	Quarterly CMS Targets for RO Monitoring													
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft													
4	Projection for Upcoming Waiver Period													
5	Projected Year 1													
6	Medicaid Eligibility Group (MEG)	Total Projected Year 1 Member Months (P1)	P1 Projected PMPM Costs from Appendix D5 (Totals weighted on Projected Year 1 Member Months)					Total PMPM Projected Service Costs (Column H-G)						
7			Total PMPM State Plan Service Cost Projection	Total PMPM Incentive Cost Projection	Total PMPM 1915(b)(3) Service Cost Projection	Total PMPM Administration Cost Projection	Total PMPM Projected Waiver Costs							
8	1915(c) Waiver Enrollees	4,986	\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	\$ 3,755.58						
9	Total	4,986	\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	\$ 3,755.58						
10	P1 Weighted Average PMPM Casemix for P1 (P1 MMs)													
11			\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	\$ 3,755.58						
12	Projected Year 2													
13	Medicaid Eligibility Group (MEG)	Member Months Projections	Q1 Quarterly Projected Costs		Q2 Quarterly Projected Costs		Q3 Quarterly Projected Costs		Q4 Quarterly Projected Costs			Total P1 Projected Waiver Costs		
14			64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs	64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs	64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs	64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs				
15	1915(c) Waiver Enrollees	1,254	\$ 4,709,493.95	\$ 329,443.51	1,244	\$ 4,671,938.17	\$ 326,816.37	1,244	\$ 4,671,938.17	\$ 326,816.37	1,244	\$ 4,671,938.17	\$ 326,816.37	\$ 20,035,201.08
16	Total	1,254	\$ 4,709,493.95	\$ 329,443.51	1,244	\$ 4,671,938.17	\$ 326,816.37	1,244	\$ 4,671,938.17	\$ 326,816.37	1,244	\$ 4,671,938.17	\$ 326,816.37	\$ 20,035,201.08
17	Projected Year 2													
18	Medicaid Eligibility Group (MEG)	Total Projected Year 2 Member Months (P2)	P2 Projected PMPM Costs from Appendix D5 (Totals weighted on Projected Year 2 Member Months)					Total PMPM Projected Service Costs (Column H-G)						
19			Total PMPM State Plan Service Cost Projection	Total PMPM Incentive Cost Projection	Total PMPM 1915(b)(3) Service Cost Projection	Total PMPM Administration Cost Projection	Total PMPM Projected Waiver Costs							
20	1915(c) Waiver Enrollees	5,012	\$ 3,806.28	\$ -	\$ -	\$ 266.26	\$ 4,072.54	\$ 3,806.28						
21	Total	5,012	\$ 3,806.28	\$ -	\$ -	\$ 266.26	\$ 4,072.54	\$ 3,806.28						
22	P2 Weighted Average PMPM Casemix for P2 (P2 MMs)													
23			\$ 3,806.28	\$ -	\$ -	\$ 266.26	\$ 4,072.54	\$ 3,806.28						
24	Projected Year 2													
25	Medicaid Eligibility Group (MEG)	Member Months Projections	Q5 Quarterly Projected Costs		Q6 Quarterly Projected Costs		Q7 Quarterly Projected Costs		Q8 Quarterly Projected Costs			Total P2 Projected Waiver Costs		
26			64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs	64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs	64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs	64.9W /64.21U W Service Costs include incentives	64.10 Waiver Administration Costs				
27	1915(c) Waiver Enrollees	1,253	\$ 4,769,265.84	\$ 333,624.74	1,253	\$ 4,769,265.84	\$ 333,624.74	1,253	\$ 4,769,265.84	\$ 333,624.74	1,253	\$ 4,769,265.84	\$ 333,624.74	\$ 20,411,562.29
28	Total	1,253	\$ 4,769,265.84	\$ 333,624.74	1,253	\$ 4,769,265.84	\$ 333,624.74	1,253	\$ 4,769,265.84	\$ 333,624.74	1,253	\$ 4,769,265.84	\$ 333,624.74	\$ 20,411,562.29
29	Modify Line items as necessary to fit the MEGs of the program.													
30	State Completion Sections													

	P	Q	R	S	T	U
2	Quarterly CMS Targets for RO CMS-64 Review Renewal					
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft					
4	Projection for Upcoming Waiver Period					
5	Projections for RO CMS-64 Certification - Aggregate Cost					
6						
7						
8						
9						
10						
11						
12						
13	Projected Year 1		10/1/2011 through		9/30/2012	
14	Waiver Form	Medicaid Eligibility Group (MEG)	Q1 Quarterly Projected Costs Quarter Ending (QE) 12/31/2011	Q2 Quarterly Projected Costs Quarter Ending (QE) 3/30/2012	Q3 Quarterly Projected Costs Quarter Ending (QE) 6/29/2012	Q4 Quarterly Projected Costs Quarter Ending (QE) 9/30/2012
15						
16						
17						
18	64.9 Waiver Form	1915(c) Waiver Enrollees	\$ 4,709,493.95	\$ 4,671,938.17	\$ 4,671,938.17	\$ 4,671,938.17
19	64.10 Waiver Form		\$ 329,443.51	\$ 326,816.37	\$ 326,816.37	\$ 326,816.37
20						
21						
22						
23						
24						
25						
26						
27						
28						
29	Projected Year 2		10/1/2012 through		9/30/2013	
30	Waiver Form	Medicaid Eligibility Group (MEG)	Q5 Quarterly Projected Costs Quarter Ending (QE) 12/31/2012	Q6 Quarterly Projected Costs Quarter Ending (QE) 3/31/2013	Q7 Quarterly Projected Costs Quarter Ending (QE) 6/30/2013	Q8 Quarterly Projected Costs Quarter Ending (QE) 9/30/2013
31						
32						
33						
34	64.9 Waiver Form	1915(c) Waiver Enrollees	\$ 4,769,265.84	\$ 4,769,265.84	\$ 4,769,265.84	\$ 4,769,265.84
35	64.10 Waiver Form		\$ 333,624.74	\$ 333,624.74	\$ 333,624.74	\$ 333,624.74
36						
37						
38						
39						

	V	W	X	Y	Z	AA	AB	AC	AD	AE	AF	AG	AH	AI
2	Quarterly CMS Targets for RO Cost-Effectiveness Monitoring													
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft													
4	Projection for Upcoming Waiver Period													
5	Worksheet for RO PMPM Cost-Effectiveness Monitoring													
6	Projected Year 1													
7	State Completion Section - For Waiver Submission													
8	P1 Projected PMPM													
9	From Column I (services)													
10	Waiver Form	Medicaid Eligibility Group (MEG)												
11	64.9 Waiver Form	1915(c) Waiver Enrollees	\$	3,755.58										
12	64.10 Waiver Form	All MEGS	\$	262.71										
13	Projected Year 1													
14	RO Completion Section - For ongoing monitoring													
15	Q1 Quarterly Actual Costs													
16	Q2 Quarterly Actual Costs													
17	Q3 Quarterly Actual Costs													
18	Q4 Quarterly Actual Costs													
15	Waiver Form	Medicaid Eligibility Group (MEG)	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs
16			12/31/11	Waiver Form Costs		03/30/12	Waiver Form Costs		06/29/12	Waiver Form Costs		09/30/12	Waiver Form Costs	
17	64.9 Waiver Form	1915(c) Waiver Enrollees			#DIV/0!			#DIV/0!			#DIV/0!			#DIV/0!
18	64.10 Waiver Form	All MEGS			#DIV/0!			#DIV/0!			#DIV/0!			#DIV/0!
20	Projected Year 2													
21	Projected Year 2													
22	Projected Year 2													
23	State Completion Section - For Waiver Submission													
24	P2 Projected PMPM													
25	From Column I (services)													
26	Waiver Form	Medicaid Eligibility Group (MEG)												
27	64.9 Waiver Form	1915(c) Waiver Enrollees	\$	3,806.28										
28	64.10 Waiver Form	All MEGS	\$	266.26										
29	Projected Year 2													
30	RO Completion Section - For ongoing monitoring													
31	Q5 Quarterly Actual Costs													
32	Q6 Quarterly Actual Costs													
33	Q7 Quarterly Actual Costs													
34	Q8 Quarterly Actual Costs													
31	Waiver Form	Medicaid Eligibility Group (MEG)	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs	Member Months Actuals for QE	Actual Aggregate	Actual PMPM Costs
32			12/31/12	Waiver Form Costs		03/31/13	Waiver Form Costs		06/30/13	Waiver Form Costs		09/30/13	Waiver Form Costs	
33	64.9 Waiver Form	1915(c) Waiver Enrollees			#DIV/0!			#DIV/0!			#DIV/0!			#DIV/0!
34	64.10 Waiver Form	All MEGS			#DIV/0!			#DIV/0!			#DIV/0!			#DIV/0!
36	Projected Year 2													
37	Projected Year 2													
38	Projected Year 2													
39	Projected Year 2													

	B	C	D	E	F	G	H	I	J
2	Cost Effectiveness Summary Sheet Initial Waiver								
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft								
4									
5									
6									
7	Base Year								
8									
9	BY Per Member Per Month (PMPM) Costs (Totals weighted on Base Year Member Months)								
10	Medicaid	BY	BY PMPM	BY PMPM	BY PMPM	BY PMPM	BY PMPM		
11	Eligibility Group	Member	Discrete State Plan & 1915(c)	Incentive	1915(b)(3)	Administration	Total Actual		
12	(MEG)	Months	Service Costs	Costs	Service Costs	Costs	Waiver Costs		
13	1915(c) Waiver Enrollees	5,240	\$ 2,769.96	\$ -	\$ -	\$ 83.71	\$ 2,853.67		
14	Total	5,240							
15	BY Overall PMPM Casemix for BY (BY MMs)		\$ 2,769.96	\$ -	\$ -	\$ 83.71	\$ 2,853.67		
16	Total Base Year Expenditures						\$14,953,208		
17									
18	Prospective Period								
19	P1 Projected PMPM Costs (Totals weighted on Projected Year 1 Member Months)								
20	Medicaid	Projected Year 1	P1 PMPM	P1 PMPM	P1 PMPM	P1 PMPM	P1 PMPM	Overall	
21	Eligibility Group	Member Months	Discrete State Plan & 1915(c)	Incentive	1915(b)(3) Service	Administration	Projected	BY to P1 Change	
22	(MEG)	(P1)	Cost Projection	Cost Projection	Cost Projection	Cost Projection	Waiver Costs	(annual)	
23	1915(c) Waiver Enrollees	4,986	\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	40.81%	WJBHC Note: This 40.8% is the gross change for the two years! Annualized = 20.4%/year
24	Total	4,986							
25	P1 Weighted Average PMPM Casemix for BY (BY MMs)		\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	40.81%	
26	P1 Weighted Average PMPM Casemix for P1 (P1 MMs)		\$ 3,755.58	\$ -	\$ -	\$ 262.71	\$ 4,018.29	40.81%	
27	Total Projected Waiver Expenditures P1(P1 MMs)						\$20,035,201		
28									
29	P2 Projected PMPM Costs (Totals weighted on Projected Year 2 Member Months)								
30	Medicaid	Projected Year 2	P2 PMPM	P2 PMPM	P2 PMPM	P2 PMPM	P2 PMPM	Overall	
31	Eligibility Group	Member Months	Discrete State Plan & 1915(c)	Incentive	1915(b)(3) Service	Administration	Projected	P1 to P2 Change	
32	(MEG)	(P2)	Cost Projection	Cost Projection	Cost Projection	Cost Projection	Waiver Costs	(annual)	
33	1915(c) Waiver Enrollees	5,012	\$ 3,806.28	\$ -	\$ -	\$ 266.26	\$ 4,072.54	1.35%	
34	Total	5,012							
35	P2 Weighted Average PMPM Casemix for P1 (P1 MMs)		\$ 3,806.28	\$ -	\$ -	\$ 266.26	\$ 4,072.54	1.35%	
36	P2 Weighted Average PMPM Casemix for P2 (P2 MMs)		\$ 3,806.28	\$ -	\$ -	\$ 266.26	\$ 4,072.54	1.35%	
37	Total Projected Waiver Expenditures P2 (P2 MMs)						\$20,411,562		
38									
39									

	B	C	D	E	F	G	H	I	J	
2	Cost Effectiveness Summary Sheet Initial Waiver									
3	State: Michigan: FY 12-13 Initial (b)(4) FFS Selective Contracting Program Request Draft									
40										
41										
42	Medicaid		Projected						Overall	
43	Eligibility Group		Years 1 & 2						BY to P2 Change	
44	(MEG)		Member Months						(monthly)	
45	1915(c) Waiver Enrollees		(P1+P2)						1.0%	
46	Total		9,998						12.6%	
47	P2 Weighted Average PMPM Casemix for BY (BY MMs)								1.0%	
48	P2 Weighted Average PMPM Casemix for P2 (P2 MMs)								1.0%	
49	Total Projected Waiver Expenditures P2 + P1 (Casemix for P1 & P2)							\$40,446,763		
50	Modify Line items as necessary to fit the MEGs of the program.									
51	State Completion Sections: PMPM from previously approved waiver.						NUMBER OF MONTHS OF DATA			
52	To modify the formulas as necessary to fit the length of the program, please ensure that Appendix D1 is completed entirely. The formulas will automatically update given this data.						BY	12		
53							Gap (end of BY to P1)	12		
54							P1	12		
55							P2	12		
56							TOTAL	48		
57							(Months-12)	36		
58										
59										