



Care Management Organizations' Policies and Procedures Manual

LIBRARY REFERENCE NUMBER: MC10007
REVISION DATE: SEPTEMBER 2009
VERSION 4.0

Library Reference Number: MC10007

Document Management System Reference: Care Management Organizations' Policies and Procedures
Manual

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Revision History

Document Version Number	Revision Date	Reason for Revisions	Revisions Completed By
Version 1.0	March 2008	New manual	EDS Managed Care and Publications
Version 2.0	June 2008	Semiannual updates	EDS Managed Care and Publications
Version 3.0	June 2009	Semiannual updates	EDS Managed Care and Publications
Version 4.0	September 2009	Semiannual updates	EDS Managed Care and Publications

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Section 1: Introduction

Overview

The *Care Management Organizations' Policies and Procedures Manual* is provided to each care management organization (CMO) contracting with the Indiana Office of Medicaid Policy and Planning (OMPP) to administer services to *Care Select* members enrolled in a care management plan. The purpose of this manual is to provide an overview of the following:

- The *Care Select* program
- The CMOs' role in *Care Select*
- The policies and procedures specific to the CMOs' delivery of services to *Care Select* members
- The interfaces among the CMOs, the OMPP, and other contractors

This manual is organized into the following sections:

- *General Information* gives a broad understanding of the Indiana Health Coverage Programs (IHCP), including *Care Select*, its objectives, and its components. This section also outlines the communication processes for addressing operational and policy matters.
- *Care Management Organizations* includes information about eligibility requirements, the CMOs' expected role in *Care Select*, and the coordination of the health plans with the fee-for-service (FFS) program.
- *Care Management* provides an overview of the care management process steps, care coordination, care plans, levels of care, monitoring, reassessment and evaluation, and guidelines for specific member populations.
- *Disease Management Call Center* outlines the disease management program and the call center requirements for the disease management program.
- *Care Select Services* defines covered services, noncovered services, and program requirements specific to the CMOs.
- *Member Services* details the regulations and general program expectations relating to member education and enrollment, including helpline, grievance, and member-provider communication information.
- *CMO and Provider Enrollment* details the CMOs' requirements for enrollment, education, and practice standards for network providers who render services to *Care Select* members.
- *Member Eligibility and Enrollment* describes the categories of IHCP members who must enroll in *Care Select*, how enrollment occurs, eligibility verification, disenrollment of members from the program, and the data exchange processes required for each of these events.
- *Network Development, Services, and Data* describes the requirements and processes with respect to eligible CMOs and providers, network development, enrollment processes, disenrollment processes, and reporting requirements.
- *Referral Authorization Process* details the referral authorization and primary medical provider (PMP) certification code processes.
- *Prior Authorization* describes the prior authorization (PA) processes, state functions, and coordination activities.
- *Utilization Review* provides an overview of the utilization management processes.

- *Quality Improvement Program and Performance Reporting* is a critical aspect of care management and is described with regard to expectations, monitoring, and reporting.
- *Management Information Systems* and reporting requirements of the CMOs are described in reference to general financial reporting.
- *CMO Payment Process* mechanisms are described for payment and adjustment of administration fees.

Unless otherwise noted, mention of *Care Select* in this manual refers to the care management component of the IHCP and to the areas in which the CMOs have an interest.

This manual is intended to document *Care Select* policies and procedures applied to the care management component of the program in general, and matters specific to CMOs and their roles in the program. General policies and those detailed elsewhere are referenced and not duplicated in this manual. Unless otherwise noted, technical specifications referred to in this manual are provided in the CMO orientation package described in [Section 8: CMO Enrollment and Network Development](#).

The healthcare industry, and care management in particular, constantly changes to meet the demands of its patients, providers, and payers. *Care Select* is subject to many of these changes. To meet its objectives, *Care Select* is a fluid program that strives to meet the needs of its many constituents. The OMPP provides many forums – formal and informal – designed to address the concerns of *Care Select* participants and refine its policies to reflect the input received. These policies are documented in *Indiana Care Select CMO Policy and Procedure Manual* found on the State's SharePoint site at: https://myshare.in.gov/FSSA/ompp/managed_care/cs.

CMO Orientation

When the CMO's contract with the OMPP is finalized, the OMPP schedules a series of orientation sessions with the CMO to review policy and technical procedures necessary to contract administration, including interfaces with the OMPP and its contractors. The CMO identifies an implementation team to participate in the orientation, which likely includes staff from these functional areas:

- Provider network development and enrollment
- Technical and systems support
- Medical policy
- Member services and enrollment
- Quality assurance and utilization review

The OMPP designates members from its staff and contractor representatives to work with the CMO on implementation issues. During orientation, the OMPP and its *Care Select* contractors provide the CMO with a broad range of materials.

The fiscal agent provides the following:

- Claim processing edits and audits information
- The *IHCP Provider Manual*, which is on the Web at <http://www.indianamedicaid.com/>
- Schedules for generation of all other information to and from the CMO
- IHCP provider bulletins, banner pages, and newsletters are also available at <http://www.indianamedicaid.com/>.

- Electronic file layouts and requirements for all data exchanges, including provider network files and member enrollment rosters, which are also available on the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>
- *Companion Guide for 834 MCE Benefit Enrollment and Maintenance Transaction*
- User ID and password for access to electronic files, including member enrollment rosters
- CMO enrollment information and procedures, and CMO enrollment forms, which are available on the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>
- Health Plan primary medical provider (PMP) enrollment and disenrollment procedures; PMP enrollment and disenrollment forms are available on the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>.

The OMPP or its designee provides the following:

- Orientation meeting schedule
- Telephone numbers for the OMPP, MAXIMUS, and EDS contacts
- Annual IHCP report and other program summary reports
- Care management meeting schedule
- Quarterly reporting requirements and schedule
- Schedule for medical policy meetings
- Readiness review criteria

The enrollment broker provides the following materials:

- *Care Select* member materials
- Enrollment broker script for member education and enrollment process
- In-service training opportunities
- Policies for member PMP assignments

Section 2: General Information

Indiana Health Coverage Programs Overview

The IHCP is the umbrella for Medicaid and other State programs such as 590 (health benefits for institutionalized individuals) and the Children's Health Insurance Program (CHIP). Established in 1965 by Title XIX of the *Social Security Act*, Medicaid is an entitlement program that finances medical services for certain individuals and families with low incomes and few resources. Within broad federal guidelines, a state or territory retains responsibility for the following:

- Establishing its own eligibility standards for program members
- Determining the type, amount, duration, and scope of medical services offered
- Setting payment rates for services of medical providers treating eligible members
- Administering its own program or contracting with an outside entity to do the administration

Medicaid programs, funded with federal and state dollars, may vary considerably as individual states adapt the programs to their unique populations. The federal government must certify states to operate a Medicaid Management Information System (MMIS) to be eligible for the full range of federal assistance. All branches of the IHCP use the same MMIS for administration purposes. The Centers for Medicare & Medicaid Services (CMS) is the branch of the federal Department of Health and Human Services (HHS) that publishes guidelines for Medicaid, certifies an MMIS, and requires specific reporting designed to monitor each state's volume and expenditures for Medicaid. Medicaid and CHIP send state plans to the CMS for review and approval.

All states certified to operate an MMIS must offer a specific range of services to Medicaid-eligible members and organize administration of the program following published guidelines. States are mandated to provide some categories of medical services and can provide other categories as optional services to their Medicaid enrollees. The following is a list of services provided by Indiana's program, including most of the optional and all the required services that must be provided by a state's Medicaid program:

- Inpatient hospital services
- Outpatient hospital services
- Rural health clinic (RHC) and federally qualified health center (FQHC) services
- Clinical laboratory services
- Radiology services
- Long-term care services
 - Nursing home
 - Intermediate care facility for members with mental retardation (ICF/MR)
 - Psychiatric hospital care for members younger than 21 years old or older than 65 years old
 - Community residential facilities for members with developmental disabilities (CRF/DD)
- Home health services
- Physician services
- Family planning services
- Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) programs
- Transportation and ambulance services

- Pharmacy services
- Dental services
- Optometry services and eyeglasses
- Medical supplies
- Durable medical equipment (DME), including surgical appliances and prosthetic devices
- Emergency room treatment
- Physical therapy services
- Podiatry services
- Chiropractic services
- Community mental health rehabilitation services
- Occupational therapy services
- Respiratory therapy services
- Speech therapy services
- Audiological services and hearing aids
- Preventive health services
- Nurse practitioner services
- Nurse-midwife services
- Food supplements approved by the Food and Drug Administration (FDA)
- Psychiatric hospital services for individuals younger than 21 years old and older than 65 years old
- Psychiatric hospital services for individuals between 21 and 65 years old in psychiatric facilities of 16 beds or fewer
- Hospice services
- Smoking cessation

The IHCP covers certain waiver services for a limited number of qualified members under one of the Home and Community-Based Services (HCBS) waiver programs.

All IHCP coverage is subject to certain limitations that may be defined in terms of the following:

- Specific services excluded from coverage; for example, elective surgery
- Limits on the frequency of services provided
- Services provided only under certain conditions; for example, prior-authorized services
- Coverage available only to members in certain age groups

One additional covered service is available to *Care Select* PMPs. The CMO will coordinate with the *Care Select* PMPs to perform care coordination conferences to review a member's progress and care management plan. The PMPs are eligible to be reimbursed for their time at these case conferences. Additional information regarding reimbursement can be found in [Section 8 – CMO and Provider Enrollment](#) of this manual.

State of Indiana Introduces Care Select – Care Management to IHCP

The State of Indiana has several goals for improving the quality and comprehensive nature of care for IHCP members. Historically, the State of Indiana has classified its members based on aid category rather than tailoring a treatment plan to each member. However, the State of Indiana is seeking to personalize and enhance the care provided by addressing members' needs holistically and by seeking input from medical providers, behavioral health experts, family members, and other caregivers. Toward that end, during the fall of 2007, the State created *Indiana Care Select*, which includes comprehensive care coordination for all members not eligible for Medicare and not covered by Hoosier Healthwise, the care management portion of the IHCP.

Primarily, the State of Indiana seeks to improve the quality of care and health outcomes for its IHCP members. This includes improved clinical and functional status, enhanced quality of life, improved client safety, client autonomy, adherence to treatment plans, and cost savings. Through this program, the State of Indiana will address the following concerns:

- Treatment regimens for chronic illnesses should better conform to evidence-based guidelines.
- Primary care providers should be more aware of and incorporate knowledge of functional assessments, behavioral changes, self-care strategies, and methods of addressing emotional or social distress into overall patient care.
- Care should be less fragmented and more holistic – for example, in addressing physical and behavioral healthcare needs and in considering medical as well as social needs. There should also be more communication across settings and between providers.
- Consumers should have greater involvement in their care management.

In a *Care Select* delivery system, the OMPP pays contracted CMOs a monthly administration fee for each IHCP enrollee in the CMO's health plan. The administration fee covers the care management of the IHCP enrollees in the CMO health plan. The care of *Care Select* members enrolled in the CMO is managed by the CMO through its network of PMPs, specialists, and other providers who contract directly with the CMO.

Indiana has contractual agreements with the following entities to support and administer the care management component of the IHCP:

- Fiscal agent and premium collection vendor
- Surveillance and utilization review (SUR) contractor
- Enrollment broker
- Care Management Organizations
- Fee-for-service prior authorization broker
- External quality review organization

The care management component of *Care Select* is designed to meet the following goals:

- Ensure access to primary and preventive care
- Improve access to all necessary healthcare services
- Encourage quality, continuity, and appropriateness of medical care
- Provide medical coverage in a cost-effective manner

Member Choice

The *Care Select* enrollment broker and health plan provides information to aid the potential enrollee in the selection of an appropriate physician to meet the member's needs. There is emphasis on the importance of establishing and maintaining a relationship with a PMP of the member's choice. Information about the CMOs is also discussed with the member in terms of the broad impact this choice has on access to services other than primary care. *Care Select* member education as it relates to PMP and health plan selection is the responsibility of the enrollment broker. [Section 9: Member Eligibility and Enrollment](#) provides information about the member enrollment process.

Eligibility for *Care Select* Membership

Care Select provides health coverage to the following members:

- Aged
- Blind
- Physically and mentally disabled
- Members receiving adoption assistance
- Members in the Waiver Program
- M.E.D. Works participants
- Wards of the court and foster children

Care Select includes members enrolled in the waiver program. Waiver services rendered to waiver members continue to require approval by members' waiver case manager, and members must follow the waiver plan of care. These services do not require referrals from members' Indiana *Care Select* PMPs. Claims submitted for nonwaiver services rendered by nonwaiver providers require referrals from members' Indiana *Care Select* PMPs, unless the service rendered is a self-referral service for Indiana *Care Select*. For information about self-referral services, see [Section 6 – Care Select Services](#).

Waiver providers and waiver case managers continue to work closely together to identify and authorize waiver services for Indiana *Care Select* members. The waiver program prior authorization process will be used. However, the State expects strong communications between waiver case managers and Indiana *Care Select* PMPs to ensure uninterrupted care.

Like other IHCP programs, eligibility and coverage are based on the member's aid category. The following IHCP members will **not** be covered by *Care Select*:

- Members on spend-down
- Members dually eligible for Medicare and Medicaid
- Members in the hospice program
- Undocumented aliens
- Aid to Residents in County Homes (ARCH) members
- Members enrolled in the 590 Program
- Members enrolled in the Breast and Cervical Cancer Treatment Services Program
- Individuals who are Qualified Medicare Beneficiaries (QMB) or Special Low Income Medicare Beneficiaries (SLMB) only (not in combination with another aid category)

Enrollment Education

During the IHCP eligibility determination process, the enrollment broker ensures that all enrollees eligible for care management receive education and written materials about the following topics:

- The importance of PMP and health plan selection
- How to access care appropriately within the program, including appropriate use of the hospital emergency room
- The importance of primary and preventive care
- The differences between care management and traditional fee-for-service (FFS) IHCP coverage
- The unique characteristics of the CMO health plans

Enrollment brokers explain to potential enrollees that once enrollees are eligible for the program, they have 30 days to choose their PMPs.

Care Select encourages potential members to select PMPs who provide, through ongoing member-PMP relationships, preventive and primary medical care, and authorization and referral for all medically necessary specialty services. The PMP must be available 24 hours a day, seven days a week, and must assume total management of the member's nonemergent medical needs. A helpline, manned by the *Care Select* enrollment broker, is available for members to call with any problems or questions about the program. Helpline staff may refer questions or problems to the appropriate entity for resolution.

Primary Medical Provider Eligibility in *Care Select*

A PMP is an IHCP-enrolled physician operating in a primary care practice in one of the following medical fields (provider specialty codes are in parentheses):

- General practice (318)
- Family practice (316)
- General pediatrics (345)
- General internal medicine (344)
- Obstetrics and gynecology (328)
- In addition, specialists such as cardiologists can serve as PMPs if requested by members. The specialist must be able to provide all preliminary and preventive care services (for example, Pap test, acute care visits for viral illness) and may request to limit his or her panel.

Primary care physicians in any setting are eligible to be PMPs and may serve any *Care Select* care management member within the physician's scope of practice. Physicians practicing in group settings may enroll to serve *Care Select* members as PMPs within particular groups. Group enrollment does not necessitate PMP enrollment in *Care Select*. One group can contain physicians enrolled as PMPs in *Care Select* and can also include those who are not. Resident physicians in training are not eligible to serve as PMPs. All PMPs agree to be named in the *Care Select* provider listing.

Communication

Official IHCP policies are documented in the *IHCP Provider Manual*, available to all providers enrolled in the IHCP and available online at <http://www.indianamedicaid.com/>. Supplements to this

manual are distributed as needed. The following provide examples of some of the communication tools:

- CMOs must publish provider manuals.
- The *HealthWatch (EPSDT) Provider Manual*, published and distributed by EDS, is sent to providers who meet the licensing requirements and who are interested in providing EPSDT services to the IHCP population. All *Care Select* PMPs are HealthWatch providers. The *IHCP Provider Manual* contains additional information about this program.
- IHCP provider bulletins and newsletters, published and distributed by EDS, are sent to providers to give policy updates. IHCP provider bulletins, available on the IHCP Web site at www.indianamedicaid.com, are normally distributed to providers affected by the policy addressed in the bulletin. For example, a change in the pricing methodology for home healthcare services is sent to those providers enrolled in the home healthcare provider specialty. By virtue of enrollment as IHCP providers, CMO health plan providers receive these communications based on the specialty under which they are enrolled in IndianaAIM. Provider newsletters are mailed to all enrolled IHCP providers each month. Bulletins and newsletters are mailed to billing providers only. Specific care management bulletins and newsletters can also be accessed in the Managed Care – *Care Select* section of the IHCP Web site at <http://www.indianamedicaid.com/ihcp/Publications/MCOPubs.asp>
- Banner pages, published and distributed by EDS, are included with the Remittance Advices (RAs) sent to providers who have submitted claims to EDS for adjudication. Banner page articles are brief informational paragraphs and are available on the IHCP Web site at <http://www.indianamedicaid.com/>. Only providers who have submitted claims adjudicated by EDS receive RAs and banner pages. Specific care management banners can also be accessed in the Managed Care – *Care Select* section of the IHCP Web site at <http://www.indianamedicaid.com/ihcp/Publications/MCOPubs.asp>

The IHCP E-mail Notification enables entities to subscribe to e-mail notifications for banner pages, bulletins, newsletters, IHCP notices, Web interChange notices, EDI notices, and Advisor FSSA Newsletters. Information regarding the IHCP E-mail Notifications is available on the IHCP Web site in the Publications section or at http://www.indianamedicaid.com/ihcp/mailling_list/sign_up.asp.

- The CMO Question and Answer Web Site is a mechanism that enables EDS to share operational documents with CMOs. The site includes file layouts, forms, manuals, change request documentation, and a reference file log. CMOs can also use this site to submit questions for discussion in *Care Select* status meetings. This Web site is exclusive to EDS, the OMPP, and the CMOs, and should not be available externally to the provider community. The Web site can be accessed at <http://www.indianamedicaid.com/ihcp/cmo/qa/>. The password is *cmoquestion*.

To ensure consistency in program policy and operation, establishing communication mechanisms to clarify existing policy and discuss new policy issues is critical. The following briefly describes the roles of the various entities responsible for the administration of *Care Select*. Each CMO must establish a central contact person within its organization who is primarily responsible for maintaining communications with other organizations to resolve daily operational problems.

Office of Medicaid Policy and Planning

The OMPP is the office within the Indiana Family and Social Services Administration (IFSSA) that administers the IHCP, including *Care Select*. The OMPP has the final responsibility for the *Care Select* care management program contracting, setting all program policies, and coordinating with other state and federal agencies, as required. A *Care Select* policy analyst is the CMO's liaison and primary point of contact with the OMPP.

Enrollment Broker

MAXIMUS, the enrollment broker, serves as an unbiased source for member education about all aspects of the care management and managed care programs. The enrollment broker also facilitates initial member enrollment into the programs, and performs member-initiated PMP changes and member disenrollment. CMOs also provide education to their members after enrollment in the CMO.

Fiscal Agent

EDS, the fiscal agent for the IHCP, including *Care Select*, performs premium collection for Package C, and is responsible for matters related to the development, maintenance, and operation of IndianaAIM. Major responsibilities include provider enrollment, claim adjudication, and payment to providers. EDS generates monthly administration fee payments and enrollment rosters to CMOs three times a month.

Surveillance and Utilization Review

The Health Care Excel, Inc. (HCE) contract terminated December 31, 2008. The state is in the process of developing a request for proposal (RFP) for a new contractor. The SUR contractor is responsible for identifying potential overuse or fraudulent activity from program participants. CMOs must contact the SUR vendor with questions about SUR issues. In the interim, EDS is acting as the SUR vendor and has taken responsibility for the existing SUR (800) telephone number.

Care Management Organizations

The care management organization is an entity that is a primary care case management program, as defined by 42 Code of Federal Regulations (CFR) 438.2. Please refer to [Section 3 Care Management Organizations](#) for additional information.

CMO Monitoring

The OMPP monitors CMO activity and performance. This ensures CMO compliance with contract requirements and performance standards. A reporting manual is released each year to comply with contractual standards and obligations.

Burns & Associates, Inc. is the external quality review organization (EQRO). The EQRO performs an independent analysis of CMO performance

Meetings

The OMPP has an established set of meetings to discuss various aspects of *Care Select*. A schedule is released by the OMPP each year to identify meeting dates, times, and locations. An agenda is sent before each meeting with a copy of the previous month's meeting minutes.

The CMO must attend and participate in the following meetings:

Care Select Meeting

Facilitator- OMPP

Function- Review, discuss, and monitor ongoing operations, initiatives, and processes of the overall program

Frequency- Monthly

Quality Improvement Committee

Facilitator – OMPP

Function – Attendees evaluate the effectiveness of the CMOs' Quality Improvement (QI) activities. The QIC establishes standards and guidelines for the provision of care and services within *Care Select*.

Frequency – Monthly

Behavioral Health Quality Improvement Committee

Facilitator – OMPP

Function – Attendees evaluate the effectiveness of the CMOs' Behavioral Health Quality Improvement (QI) activities. The QIC establishes standards and guidelines for the provision of care and services within *Care Select*.

Frequency – Monthly

Care Select Quality Committee

Facilitator – OMPP

Function – Attendees evaluate the effectiveness of the CMOs' Quality Improvement (QI) activities. The QIC establishes standards and guidelines for the provision of care and services within *Care Select*.

Frequency – Bi-Monthly

Medical Policy Meeting

Facilitator – OMPP

Function – Processing medical policies from initial evaluation through completion. Ongoing assessment of the implications of any changes to the IHCP and determination of the approach to changes. The IHCP medical policy meetings encompass all IHCP medical policy decisions, including those that may or may not have an impact on *Care Select*.

Frequency –Bi-Monthly Drug Utilization Review Board

Facilitator – The OMPP's Drug Utilization Review (DUR) Board Chairperson

Function – The DUR board was established under *IC 12-15-35* and is responsible for oversight of the current and proposed DUR program. The DUR Board's duties include the review and approval of formularies in the IHCP. See [Section 3: Care Management Organizations](#) for more information about the DUR Board.

Frequency – Monthly

Care Select Advisory Council Meeting

Facilitator – OMPP

Function – To discuss current *Care Select* initiatives and strategies with its stakeholders as well as seek its input and advice on them.

Frequency – Bi-monthly

Mental Health Quality Assurance Committee

Facilitator – The OMPP Director

Function – *House Enrolled Act (HEA) 1325* confers upon the Mental Health Quality Assurance Committee (MHQAC) the responsibility to make recommendations to the OMPP regarding access to behavioral health drugs through the Indiana Medicaid program. The office reports recommendations made by the committee to the DUR board. The OMPP is responsible for implementing any restrictions with the advice of the committee.

Frequency – Monthly

CEO Quarterly Review Meeting

In addition, the CMO's executive leadership must meet at least quarterly with the OMPP to review the CMO's performance, discuss the CMO's outstanding or commendable contributions, identify areas for improvement, and outline upcoming issues that may affect the CMO or *Indiana Care Select*.

IHCP Provider Workshops and Annual Seminar

Facilitator – EDS

Function – The OMPP and EDS provide Medicaid healthcare providers with information about the Medicaid program.

Frequency – Workshops are quarterly and the Annual Seminar is in the fourth quarter.

Recommended Meetings

The CMO is encouraged to attend but is not required to participate in the following meetings:

Neonatal Quality Subcommittee Meeting

Facilitator – OMPP

Function – To review initiatives and work toward better outcomes for prenatal care and newborn deliveries.

Frequency – Bi-monthly

Indiana State Medical Association Medicaid Coalition Meeting

Facilitator – Indiana State Medical Association

Function – The OMPP and EDS provide Medicaid healthcare providers with information about the Medicaid program.

Frequency – Meetings are in January, March, May, July, September, and November.

Optional Meetings

The CMO **may** attend the following meetings:

- Medicaid Advisory Committee Meeting (quarterly)
- Other Professional Provider Association meetings (various)

Important Telephone Numbers

Table 2.1 lists telephone numbers for CMOs to call for general questions occurring during daily operations or in ongoing management activities. CMOs must make enrolled providers and members aware of the appropriate telephone numbers and educate providers and members about their use. In addition to the telephone numbers in Table 2.1, each PMP is required to have a 24-hour telephone number for members. CMOs may also provide a nurseline to assist with member questions and to direct members to the PMP's office. CMOs must inform EDS and the OMPP by sending a CMO Enrollment update form whenever a provider or member services telephone number is changed.

For IndianaAIM problems experienced during off hours, such as nights and weekends, the following procedure can be used:

- Contact EDS Operations at (317) 488-5059. If there is no live response, call the Systems Team Managers in this order:
 - Jerry Heady (765) 438-9256
 - Darryl Wells (317) 371-6147
 - Julie Sloma (317) 750-5993

The above Systems personnel will contact the Production Support person who is on call, and who should be able to verify and determine the cause of the problem.

Table 2.1 – Important Telephone Numbers

Contact	Telephone Number	Hours of Operation	Description
EDS Automated Voice Response (AVR) System	(317) 692-0819 1-800-738-6770	5 to 1 a.m. Eastern Time daily	Member eligibility verification Other insurance information Benefit limits Prior authorization history
EDS Provider Enrollment	(317) 655-3240 1-877-707-5750	7:30 a.m. to 6 p.m. Eastern Time, Monday-Friday	Enrollment in IHCP PMP enrollment questions
EDS Managed Care	(317) 488-5000	8 a.m. to 5 p.m. Eastern Time, Monday-Friday	CMO general program or policy questions IndianaAIM questions Data exchange information This number is for CMO, SUR vendor, and the OMPP use only. It must not be given to providers or members.
EDS Third-Party Liability	(317) 488-5046 1-800-457-4510	7:30 a.m. to 6 p.m. Eastern Time, Monday-Friday	Previous casualty coverage Previous lien information Information and updates regarding members' private insurance coverage
Care Select Helpline	1-866-963-7383	8 a.m. to 6 p.m. Eastern Time, Monday-Friday 8 a.m. to noon Eastern Time, Saturday	Member enrollment in <i>Care Select</i> Member PMP change requests Member education issues Member disenrollment from CMO PMP changes outside CMO network
OMPP Care Programs	(317) 233-8800	8 a.m. to 5 p.m. Eastern Time, Monday-Friday	CMO enrollment Marketing issues CMO monitoring Program performance Care management contract procurement and evaluation Program monitoring and quality improvement
Surveillance and Utilization Review	(317) 347-4527 or 1-800-457-4515	8 a.m. to 5 p.m. Eastern Time, Monday-Friday	Identification and investigation of potential overuse or fraudulent activity from program participants
ADVANTAGE Health Solutions SM – Traditional Medicaid Prior Authorization	1-800-269-5720	7:30 a.m. to 5:30 p.m. Eastern Time, Monday-Friday	Prior authorization process administration
ADVANTAGE Health Solutions SM – Care Select Prior Authorization	1-800-784-3981	7:30 a.m. to 5:30 p.m. Eastern Time, Monday-Friday	Prior authorization process administration
MDwise, Inc. – Care Select Prior Authorization	1-866-440-2449	7:30 a.m. to 5:30 p.m. Eastern Time, Monday-Friday	Prior authorization process administration

CMOs may access <http://www.indianamedicaid.com/> for additional IHCP contact telephone numbers.

CMO Member and Provider Helpline

Each CMO is required to establish and maintain a toll-free helpline for member and provider calls specific to CMO issues. [Section 6: Care Select Services](#) provides detailed information about helpline requirements.

OMPP Holiday Policy for Call Centers

Effective January 1, 2009, the OMPP has authorized all MCE call centers to be closed on the following holidays:

- New Year's Day
- Memorial Day
- Independence Day (July 4th)
- Labor Day
- Thanksgiving
- Christmas

Additionally, each CMO may request that additional days, such as the day before Thanksgiving, be authorized for limited staff attendance. This request must be submitted to the OMPP at least 30 days before the date requested for limited staff and must be approved by the OMPP.

Section 3: Care Management Organizations

Overview

CMOs participating in *Care Select* collaborate with the OMPP to provide quality care to program enrollees. While the core benefits identified in the Indiana Administrative Code (IAC) are provided under the CMO health plans, the CMOs assume some responsibilities for enrolled members and providers that the State (or its designated contractor) performs for fee-for-service (FFS) enrolled members and providers.

The following list, while not all inclusive, highlights the major responsibilities of CMOs:

- Management of medical care for CMO-enrolled members
- Development and maintenance of a contracted provider network
- Education of providers and members
- Maintenance of formal provider and member grievance processes
- Maintenance of a quality improvement and quality assurance program specific to the *Care Select* population
- Submission of required performance reports to the OMPP on a regular basis

Each of the CMO responsibilities is described in detail throughout this manual.

Eligible CMOs

To be eligible as a CMO, a CMO must comply with the following:

- Be fully authorized under Indiana law to arrange or administer the full range and scope of services required under a procurement process undertaken by the State.

Participating CMOs have signed contracts with the state of Indiana and the OMPP. The OMPP selects CMOs through a competitive procurement process. Each CMO must submit a successful proposal to provide services to *Care Select* enrollees.

Each participating CMO is encouraged to attain accreditation from a recognized accrediting body, such as the National Commission for Quality Assurance (NCQA) or the Joint Commission on Accreditation of Healthcare Organizations (JCAHO).

Staffing Requirements

The CMO must ensure that all staff members, including subcontractor staff, have appropriate and ongoing training, education, and experience to fulfill the requirements of their positions. Training should include topics such as orientation, cultural sensitivity, program updates, clinical protocols, policies and procedures compliance, computer system, and so forth. The CMO must institute mechanisms to maintain a high level of plan performance and data reporting capabilities regardless of staff vacancies or turnover. The CMO must have an effective method to address and reduce staff turnover (for example, cross training, use of temporary staff or consultants, and so forth) and processes to solicit staff feedback to improve the work environment. The CMO must maintain documentation to confirm its internal staff training, curriculum, schedules, and attendance.

The CMO must have descriptions for positions discussed in this section. Descriptions must include responsibilities and qualifications, such as education (for example, high school diploma, college degree, and graduate degree), professional credentials (such as licensure or certifications), direct work experience, and membership in professional or community associations.

The CMO must have an office in the state of Indiana from which, at a minimum, key staff members physically perform the majority of their daily duties and responsibilities, and a major portion of the plan's operations takes place.

The CMO must employ key staff members who are dedicated to *Care Select*. The key staff members include, but are not limited to, the positions listed below. The CMO must provide at least one full-time employee (FTE) to each function listed as "dedicated." The employees filling these positions shall be solely devoted to *Care Select* and not to any other CMO clients or IHCP programs.

- Chief Executive Officer – The chief executive officer or executive director has full and final responsibility for CMO management and compliance with all provisions of the State's contract with the CMO.
- Chief Financial Officer – The chief financial officer must oversee the budget and accounting systems of the CMO for *Care Select*. This officer must, at a minimum, be responsible for ensuring that the CMO meets the State's requirements for financial performance and reporting.
- Medical Director (Dedicated) – The CMO must employ a medical director who is dedicated full time to *Care Select*. The CMO must employ or contract the services of a medical director who is an IHCP provider. The medical director is responsible for the following:
 - Oversee the development and implementation of the CMO's clinical practice guidelines
 - Review any potential quality-of-care problems
 - Oversee the CMO's clinical management program and programs that address special needs populations
 - Oversee health needs assessments
 - Serve as the CMO's medical professional interface with the CMO's PMPs and specialty providers
 - Point person for the CMO's disease management program for asthma and the Disease Management Program
 - Direct the quality management and utilization management programs
 - Monitor corrective actions and other quality management
 - Monitor utilization management or program integrity activities
 - Coordinates with other key staff members for ensuring that the medical management and quality management components of the CMO's operations comply with the terms of the CMO's contract with the State.
- Psychiatrist (Dedicated) – The CMO must employ a psychiatrist who is dedicated full time to *Care Select*. The psychiatrist must coordinate with the medical director to ensure that the CMO's behavioral health management and quality management programs comply with the terms of the contract. The psychiatrist will fulfill a role similar to that of the medical director, but will focus primarily on the CMO's behavioral health program.
- Compliance Officer (Dedicated) – The CMO must employ a compliance officer who is dedicated full time to *Care Select*. The compliance officer is responsible for the following:
 - Liaison with the State (or its designees) to facilitate communications between the OMPP, the State's contractors, and the CMO's executive leadership and staff.
 - Maintain a current knowledge of federal and state legislation, legislative initiatives, and regulations that may affect *Care Select*. The OMPP must approve of the candidate who fills this position.
 - Coordinates with other key staff members for ensuring that all CMO's functions comply with the terms of the CMO's contract with the State.

- Care Management Manager (Dedicated) – The CMO must employ a full-time care management manager. The care management manager must, at a minimum, be a registered nurse or other medical professional with extensive experience in providing care coordination to a variety of populations. This manager is responsible for the following:
 - Oversee the care management program, which includes utilization management, care coordination, and disease management.
 - Works directly under the CMO’s medical director to develop, expand, and maintain the care management program
 - Oversee care management teams, care plan development, and care plan implementation
 - Responsible for directing the activities of the utilization management staff.
 - Direct staff performance regarding prior authorization, medical necessity determinations, concurrent review, retrospective review, continuity of care, care coordination, and other clinical and medical management programs. These responsibilities extend to physical and behavioral healthcare and transportation services (under direct supervision by the medical director)
 - Works with the medical director, provider and member services managers, and with State staff, as necessary, to communicate to providers and members about medication management, appropriate use of generic medications, and so forth.
 - Provides input, as requested by the State, at the State’s Drug Utilization Review (DUR) Board meetings and Mental Health Quality Assurance Committee meetings; participates on the CMO’s internal pharmacy therapeutics committee
 - Works closely with the pharmacy benefits manager (PBM) and the State’s PBM team.
- Information Systems (IS) Coordinator (Dedicated) – The CMO must employ an IS coordinator who is dedicated full-time to *Care Select*. The OMPP must approve of the candidate who fills this position. The information systems coordinator is responsible for the following:
 - Oversees the CMO’s Medicaid IS
 - Serves as a liaison between the CMO and the State’s fiscal agent, monitoring contractor, or other OMPP contractors about encounter data submissions and other data transmission interface and management issues
 - Coordinates with other key staff for ensuring that all program data transactions are in compliance with the terms of the CMO’s contract with the State.
- Member Services Manager (Dedicated) – The CMO must employ a member services manager who is dedicated full time to *Care Select*. This manager is responsible for the following:
 - Direct the activities of the CMO’s member services, including but not limited to member help-line telephone performance; member education; outreach programs; and member materials development, approval, and distribution
 - Serve as the primary interface with the State’s fiscal agent and enrollment broker regarding such issues as member enrollment and disenrollment, member PMP changes, member eligibility, and newborn enrollment activities
 - Provide orientation and ongoing training for member services help-line representatives, at a minimum, to support accurately informing members of how the CMO health plan operates, availability of covered services, benefit limitations, health needs assessment (HNA) screenings, emergency services, PMP assignment, specialty provider referrals, self-referral services, preventive and enhanced services, well-child services, and member grievances and appeals procedures
 - Coordinates with other key staff members for ensuring that all the CMO’s member services operations comply with the terms of the CMO’s contract with the State.
- Provider Network and Services Manager (Dedicated) – The CMO must employ a provider services manager who is dedicated full time to *Care Select*. This manager is responsible for the following:
 - Responsible for monitoring the performance of the provider services help line; monitoring provider recruitment, contracting, and credentialing; creating and updating provider manuals, education materials, and outreach programs
 - Provide information to the OMPP or its contractors regarding the CMO’s provider network
 - Facilitate the provider claims dispute process

- Coordinates with other key staff for ensuring that all the CMO's provider services operations comply with the terms of the CMO's contract with the State.
- Quality Management Manager (Dedicated) – The CMO must employ a quality management manager who is dedicated full time to *Care Select*. The Quality Management Manager must, at a minimum, be responsible for directing the activities of the CMO's quality management staff in monitoring and auditing the CMO's performance and healthcare delivery system, including but not limited to internal processes and procedures, provider networks, service quality, and clinical quality. This manager must assist the CMO's Compliance Officer in overseeing the activities of the CMO operations to meet the State's goal of providing healthcare services that improve the health status and health outcomes of Indiana *Care Select* members.
- Prior Authorization Manager (Dedicated) – The CMO must employ a prior authorization manager who is dedicated full time to *Care Select*. This individual is responsible for the following:
 - Coordination and achievement of the prior authorization (PA) business function and objectives
 - Setting PA goals and fulfilling the goals each year
 - Participate in and lead discussions with the OMPP
 - Interface with providers to refine procedures for PA submissions
 - Assist in the development and maintenance of review criteria
 - Develop and coordinate relevant PA activities with the State
 - Ensure good meeting attendance with the State
 - Submit reports on time are additional responsibilities of the PA Manager
 - Develop and maintain job descriptions, and for hiring and training PA staff.
- Case Managers (Dedicated) – The CMO must employ case managers who are dedicated full time to *Care Select*. The Care Management staff must include qualified case managers who are registered nurses and/or licensed practical nurses, social workers, therapists, physician assistants, or other appropriately qualified individuals.

The CMO must provide written notification of anticipated vacancies of key staff within five business days of receiving the key staff person's notice to terminate employment or five business days before the vacancy occurs, whichever occurs first. Notification should be directed to the OMPP policy analyst assigned to the CMO. At the time notification is given, the CMO must present the OMPP with an interim plan to cover the responsibilities created by the key staff vacancy as well as submit to the OMPP any resumes for candidates. Likewise, the CMO must notify the OMPP within five business days after a candidate's acceptance to fill a key staff position or five business days prior to the candidate's start date, whichever occurs first.

All key staff must be accessible to the OMPP and its other program subcontractors via voice mail and electronic mail systems. As part of its annual quality management and improvement plan, the CMO must submit to the OMPP an updated organizational chart including e-mail addresses and telephone numbers for key staff.

Drug Utilization Review Board

The Indiana DUR Board is appointed by the governor to serve in an advisory capacity to Indiana Medicaid with regard to the prescription and dispensing of drugs by Medicaid providers, and the use of prescribed drugs by Medicaid members. The DUR Board is composed of representatives of the pharmacy, medical, and scientific communities, and has a responsibility to establish criteria for review of current and future drug prescription, dispensing, and use for and by Medicaid members. Through the expert opinion of the DUR Board members, aided when appropriate by consultants, the DUR Board provides the OMPP with advice on matters of drug usage, allowing for the appropriate and cost-effective delivery of medical and pharmaceutical care. For more information about the DUR Board, refer to *IC 12-15-35-46*.

The MHQAC makes recommendations to the OMPP regarding access to behavioral health drugs through the Indiana Medicaid program. The office reports recommendations made by the committee to the DUR board. The OMPP has the ultimate responsibility for implementing any restrictions based on the advice of the MHQAC.

The CMO monitors pharmacy claims and provides input regarding suggested changes and improvements to the pharmacy preferred drug list (PDL), or policies and procedures to the State. The State, in turn, may present that input to the Therapy Committee and the DUR Board.

Financial Requirements

The CMO must comply with all applicable insurance laws of the State of Indiana and the Federal government throughout the term of the contract. No fewer than 90 calendar days prior to delivering services under this contract, the CMO must obtain from an insurance company duly authorized to do business in the State of Indiana, at least the minimum coverage levels listed below for the following types of insurance:

- Professional Liability (Malpractice) Insurance for the CMO and its Medical Director, as defined in *IC 34-18-4-1*
- Workers' Compensation Insurance
- Comprehensive Liability Insurance

No fewer than 30 calendar days before the policy renewal effective date, the CMO must submit its certificate of insurance to the OMPP for each renewal period for review and approval.

The CMO must maintain accounting records specifically for performance of the Indiana *Care Select* contract. The records must incorporate performance and financial data of subcontractors, as appropriate. The CMO must maintain accounting records that are specific to Indiana *Care Select* operations. The CMO must provide documentation that its accounting records are compliant with National Association of Insurance Commissioners (NAIC) standards.

In accordance with *42 CFR 455.100-104*, the CMO must notify the OMPP of any person or corporation with 5 percent or more ownership or controlling interest in the CMO, and must submit financial statements for these individuals or corporations.

Authorized representatives or agents of the State and Federal governments must have access to the CMO's accounting records and to the accounting records of its subcontractors, upon reasonable notice and at reasonable times during the performance or retention period of this contract, for purposes of review, analysis, inspection, audit, or reproduction.

Copies of any accounting records pertaining to the contract must be made available by the CMO within 10 calendar days of receiving a written request from the State for specified records. If such original documentation is not made available as requested, the CMO must provide transportation, lodging, and subsistence at no cost for all state or federal representatives to carry out their audit functions at the principal offices of the CMO or other locations of such records. The FSSA and other State and Federal agencies, and their respective authorized representatives or agents, must have access to all accounting and financial records of any individual, partnership, firm, or corporation, insofar as the records relate to transactions with any department, board, commission, institution, or other State or Federal agency connected with the contract.

The CMO must maintain financial records pertaining to the contract for three years following the end of the Federal fiscal year during which the contract is terminated, or when all State and Federal audits of the contract have been completed, whichever is later, in accordance with *45 CFR 74.53*. Financial records should address matters of ownership, organization, and operation of the CMO's financial,

medical, and other record-keeping systems. However, accounting records pertaining to the contract must be retained until final resolution of all pending audit questions and for one year following the termination of any litigation relating to the contract, if the litigation has not terminated within the three-year period.

In addition, the OMPP requires the CMO to produce the following financial information upon request:

- Externally audited annual fiscal information
- Appropriate insurance coverage for general liability, property, workers' compensation, medical malpractice, and fidelity bond
- Evidence of revenue sufficiency by line of business, group, and program
- Budgeted revenue and spent total revenues
- Corrective action plans and implementation records of corrective action taken to remedy noncompliance with any financial requirements, if applicable

Medicaid enrollees are not liable for the entity's debt if the entity becomes insolvent.

The CMO shall not perform any activities related to third-party liability (TPL).

Subcontractors

The term "subcontract(s)" includes contractual agreements between the CMO and any entity that performs delegated activities related to the State CMO contract and any administrative entities not involved in the actual delivery of medical care. For instance, CMOs may choose to subcontract with other companies for certain administrative functions, such as prior authorization.

Although the CMO is required to build a network of providers for the Indiana *Care Select* population, those providers are not subcontractors of the CMO. Those agreements shall be formalized using an Addendum to the Provider's Indiana Health Coverage Programs/Medicaid Provider Agreement. The addendum can be found in the Managed Care – Forms section at <http://www.indianamedicaid.com/ihcp/index.asp>. Any agreements with providers, whether subcontracts or not, must include adequate Health Insurance Portability and Accountability Act (HIPAA) language.

The OMPP shall review all subcontractors and any change in subcontractors or material change to subcontracting arrangements. All subcontracts shall be reviewed by the OMPP prior to being signed by the subcontractor and must include acceptable HIPAA language. The State encourages the CMO to subcontract with entities that are located in the State of Indiana.

The CMO is responsible for the performance of any obligations that may result from the CMO contract. Subcontractor agreements or signed addenda do not terminate the legal responsibility of the CMO to the State to ensure that all activities under the contract are carried out. The CMO must oversee subcontractor activities and submit an annual report on its subcontractors' compliance, corrective actions, and outcomes of the CMO's monitoring activities. The CMO must similarly monitor and report about the providers that have signed addenda to participate in *Care Select*. The CMO will be held accountable for any functions and responsibilities that it delegates.

At least annually, the CMO must obtain the following information from each subcontractor and use this information to monitor the subcontractor's performance: audited financial statements including statement of revenues and expenses, balance sheet, cash flows, and changes in equity/fund balance. The CMO shall make these documents available to the OMPP upon request, and the OMPP will regularly review these documents during CMO site visits, which are likely to occur monthly. The

CMO must comply with the following subcontracting requirements as delineated from the *Care Select* RFS Scope of Work:

- The CMO must obtain the OMPP's approval before subcontracting any portion of the project's requirements. This approval shall include detailed review of any subcontractor agreements. The CMO must submit a written request and a draft subcontract to the OMPP at least 60 calendar days prior to the use of a subcontractor. The CMO shall obtain the OMPP's approval of the subcontract before using it with any subcontractors. If the CMO makes subsequent changes to the duties included in its subcontracts, it must notify the OMPP 60 calendar days prior to the revised contract effective date and submit the amendment for review and approval. The OMPP must approve changes before the CMO modifies any previously approved subcontracts.
- The CMO must evaluate prospective subcontractors' abilities to perform delegated activities prior to contracting with the subcontractor to perform services associated with *Indiana Care Select*.
- The CMO must have a written agreement in place that specifies the subcontractor's responsibilities and provides an option for revoking delegation or imposing other sanctions if performance is inadequate. The written agreement must comply with all State of Indiana statutes and is subject to the provisions thereof. The subcontract cannot extend beyond the term of the State's contract with the CMO.
- The CMO must collect performance and financial data from its subcontractors and monitor delegated performance on an ongoing basis. It must also conduct formal, periodic, and random reviews, as directed by the OMPP. The CMO shall monitor subcontractor performance against the requirements of the False Claims Act. The CMO must incorporate all subcontractors' data into the CMO's performance and financial data. This provides a comprehensive evaluation of the CMO's performance compliance and identifies areas for its subcontractors' improvement, when appropriate. The CMO must take corrective action if deficiencies are identified during the review.
- All subcontractors must fulfill all State and Federal requirements appropriate to the services or activities delegated under the subcontract. In addition, all subcontractors must fulfill the requirements of the State's contract with the CMO (and any relevant amendments) that are appropriate to any service or activity delegated under the subcontract.
- The CMO must comply with all subcontract requirements specified in *42 CFR 438.230*. All subcontracts, provider contracts, agreements, or other arrangements, by which the CMO intends to deliver services required under this RFS, whether or not characterized as a subcontract under this RFS, are subject to review and approval by the OMPP and must be sufficient to assure the fulfillment of the requirements of *42 CFR 434.6*. The OMPP may waive its right to review subcontracts, provider contracts, agreements, or other arrangements. Such waiver shall not constitute a waiver of any subcontract requirement. In accordance with *IC 12-15-30-5(b)*, subcontract agreements for *Indiana Care Select* business terminate when the CMO's contract with the State terminates.
- The CMO must have policies and procedures addressing auditing and monitoring subcontractors' data, data submissions, and performance. The CMO must integrate subcontractors' financial and performance data (as appropriate) into the CMO's information system to accurately and completely report CMO performance and confirm contract compliance.
- The OMPP reserves the right to audit the CMO's subcontractors' self-reported data and change reporting requirements at any time with reasonable notice. The OMPP may require corrective actions and will assess liquidated damages, as specified in [Section 14: Quality Improvement Program and Performance Reporting](#), for noncompliance with reporting requirements and performance standards.
- If the CMO uses subcontractors to provide direct services to members, the subcontractors must meet the same requirements as the CMO, and the CMO must demonstrate its oversight and monitoring of the subcontractor's compliance with these requirements. The CMO must require

subcontractors providing direct services to have quality improvement goals and performance improvement activities specific to the types of services provided by the subcontractors.

Reporting Transactions with Parties of Interest

The CMO, if not federally qualified, must disclose to the OMPP information on certain types of transactions they have with a “party of interest” as defined in the *Public Health Service Act* (See §§1903(m)(2)(A)(viii) and 1903(m)(4) of the Act).

Definition of A Party of Interest – As defined in §1318(b) of the *Public Health Service Act*, a party of interest is:

- *Any director, officer, partner, or employee responsible for management or administration of an HMO and HIO; any person who is directly or indirectly the beneficial owner of more than 5% of the equity of the HMO; any person who is the beneficial owner of a mortgage, deed of trust, note, or other interest secured by, and valuing more than 5% of the HMO; or, in the case of an HMO organized as a nonprofit corporation, an incorporator or member of such corporation under applicable State corporation law;*
- *Any organization in which a staff member who is a director, officer or partner; has directly or indirectly a beneficial interest of more than 5% of the equity of the HMO; or has a mortgage, deed of trust, note, or other interest valuing more than 5% of the assets of the HMO;*
- *Any person directly or indirectly controlling, controlled by, or under common control with a HMO; or*
- *Any spouse, child, or parent of an individual described in the above bulleted subsections 1, 2, or 3.*

Types of Transactions Which Must Be Disclosed – Business transactions which must be disclosed include:

- *Any sale, exchange or lease of any property between the HMO and a party in interest;*
- *Any lending of money or other extension of credit between the HMO and a party in interest; and*
- *Any furnishing for consideration of goods, services (including management services) or facilities between the HMO and the party in interest. This does not include salaries paid to employees for services provided in the normal course of their employment.*

The information which must be disclosed in the transactions listed in subsection B between a CMO and a party in interest includes:

- *The name of the party of interest for each transaction;*
- *A description of each transaction and the quantity or units involved;*
- *The accrued dollar value of each transaction during the fiscal year; and*
- *Justification of the reasonableness of each transaction.*

The above information about business transactions must be accompanied by a consolidated financial statement for the CMO and the party of interest.

If the contract is an initial contract with the OMPP, but the CMO has operated previously in the commercial or Medicare markets, information on business transactions for the entire year preceding the initial contract period must be disclosed. If the contract is being renewed or extended, the CMO must disclose information on business transactions which occurred during the prior contract period. The business transactions that must be reported are not limited to transactions related to serving the Medicaid enrollment. All the CMO’s business transactions must be reported.

Debarred Individuals

In accordance with *42 CFR 438.610*, the CMO must not knowingly have a relationship with the following:

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

The relationships include directors, officers, or partners of the CMO, persons with beneficial ownership of 5 percent or more of the CMO's equity, or persons with an employment, consulting, or other arrangement with the CMO for the provision of items and services that are significant and material to the CMO's obligations under its contract with the State.

In accordance with *42 CFR 438.610*, if the OMPP finds that the CMO is in violation of this regulation, the OMPP notifies the secretary of noncompliance and determines whether the agreement is to continue.

Section 4: Care Management

Overview

The State created *Care Select* to improve the former *Medicaid Select* Primary Care Case Management (PCCM) and fee-for-service programs to better meet the needs of the target population. For example:

- Treatment regimens for chronic illnesses should better conform to evidence-based guidelines.
- Primary care providers should become more aware of and incorporate knowledge of functional assessments, behavioral changes, self-care strategies, and methods of addressing emotional or social distress into overall patient care.
- Care should be less fragmented and more holistic (for example, in addressing physical and behavioral healthcare needs and in considering medical as well as social needs), and there should be more communication across settings and providers.
- Consumers should have greater involvement in their care management.

The State's goals for the care management program are:

- To more effectively tailor benefits to the individual's and population's needs by using evidence-based medicine, best practices, and practice-based evidence to manage services by duration, scope, and severity
- To improve the quality of care and health outcomes for the Indiana *Care Select* population
- To manage the growth of healthcare costs for the Indiana *Care Select* population
- Appropriate utilization of community resources and reduce duplication of resources
- Accessible and safe home environments
- Appropriate and accessible healthcare
- Increase understanding regarding medical conditions, treatments, and medications
- Reduced emergency room (ER) visits and avoidable hospitalizations
- Effective and ongoing health promotion and disease prevention activities
- Integrate the member and his or her family within the community
- Increase cost savings

Quality-based outcomes of care coordination include indicators such as improved functional status, improved clinical status, enhanced quality of life, client satisfaction, adherence to the treatment plan, improved client safety, cost savings, and client autonomy.

The CMO provides care management for its membership under the leadership of its medical director. Through care management, the CMO identifies the needs and risks of its members, identifies services members are currently receiving, identifies members' unmet needs, stratifies members into care levels, serves as a coordinator to link members to services, ensures that members receive the appropriate care in the appropriate setting by the appropriate providers, and ensures that members receive holistic healthcare. The CMO provides care management services that work to maximize function and independence while also recognizing an individual's right to self-determination. More details about these steps follow.

Care Management Process Steps

The CMO develops and uses a multidisciplinary team to manage the care of the complex *Indiana Care Select* population. While care management may be performed by one qualified health professional (a nurse, social worker, physician, or other professional), the process must involve coordination of different types of healthcare provided by multiple providers in all care settings, including the home, clinic, hospital, and subacute and long-term care institutions.

The CMO applies systems, science, incentives, and information to improve medical practice and help members of care management programs manage physical and behavioral healthcare more effectively, with the goal of improving patient health status and reducing the need for expensive medical services.

The CMO designs and implements care management services that are dynamic and change as members' needs change. The CMO addresses the medical, psychological, functional, and social domains of healthcare for its membership. The CMO is responsible for linking the member to services that address these four domains and for coordinating care, as needed, between these services.

Care management is an umbrella term that encompasses the following four components:

- Care coordination, member/population risk assessment, and stratification
- Disease management
- Utilization management
- Monitoring case management services, which are not directly performed by the CMO

The program requirements for each of these four components are described below.

Care Coordination

Care coordination refers to coordination of health and other services provided to *Indiana Care Select* members. Through care coordination, the CMO proactively assists all members to improve their health outcomes and prioritizes members who are at risk for an acute or catastrophic episode in the future and, as such, provides care coordination services as a preventive measure. The CMO provides comprehensive care coordination services that are tailored to the individual, rely on sound medical practices, and include Medicaid-covered services.

Once a Medicaid member is identified as being eligible for *Indiana Care Select*, the State's enrollment broker or fiscal agent enrolls the member by assigning him or her to a PMP. Once the member is enrolled in *Indiana Care Select*, the CMO assesses the member's PMP assignment and healthcare needs, and develops, implements, reassesses, monitors, and evaluates the member's care plan. These steps are described below.

Member Assessment

Within 30 days of being notified of the member's enrollment, the CMO reviews the member's PMP assignment with the member and with relevant caregivers, and assists with a PMP change, if necessary. The CMO also conducts an initial screening to identify the member's immediate physical or behavioral healthcare needs, and the need for care management and care coordination. The initial screening is conducted in person, by telephone, or by mail. The initial screening is followed by stratification, a detailed assessment, and ongoing care coordination and management, as appropriate. These activities are summarized in Table 4.1.

Table 4.1 – Member Assessment

Activity	Description	Timing
Initial Assessment	<ul style="list-style-type: none"> • Identify immediate physical or behavioral health needs • Determine need for care coordination and management • Conduct comprehensive review of clinical history 	Within 30 days of new member enrollment
Stratification	Perform stratification based on initial assessment and historical claims data	Immediately following initial assessment and within 60 days of assignment
Detailed Assessment	<ul style="list-style-type: none"> • Determine clinical, psychosocial, functional, and financial needs • Gather information regarding level and type of existing care management • Review information to identify member’s care strengths, needs, and available resources 	As needed
Care Coordination and Management	<ul style="list-style-type: none"> • Utilize claims data, information gathered in screenings, medical records, and other sources to ensure care coordination and management • Identify gaps in members’ care and communicate them to PMPs 	Ongoing

During the initial screening, the CMO reviews the member’s claims history, and identifies any access or accommodation needs, language barriers, or other factors that might indicate that the member requires additional assistance. The initial screening also identifies members who have complex or serious medical conditions that require an expedited appointment with an appropriate provider. The initial screening ensures that members who are in ongoing treatment receive assistance in accessing appropriate care to avoid disruptions.

The initial assessment must include a comprehensive review of important, relevant clinical information, such as the provider’s assessment of condition and severity of illness, treatment history and outcomes, other diseases, illnesses, and health conditions, as well as the member’s psychosocial, support, and treatment needs. The CMO will use the OMPP-approved *Care Select* Health Risk Assessment, plus any other screening tool of the CMO’s choice, as long as the tool is approved by the OMPP. Based on the results of the initial screening and mining of historical claims data, the CMO stratifies its membership into various subpopulations and initial classifications of Level 1 through Level 4 care. Before the contract’s effective date, the CMO proposes to the OMPP a stratification methodology, which includes a “rush” designation for members with immediate needs. The stratification plan must be approved by the OMPP before any stratification begins.

Based on that initial stratification, the CMO determines a time frame and conducts a more detailed health-needs assessment for each member to further identify what care management services are appropriate. The assessment is comprehensive and identifies clinical, psychosocial, functional, and financial needs of the participant. The CMO gathers information about the level and type of existing care or case management services that the member may already be receiving, for example, through a waiver program or community mental health center (CMHC). The CMO will use an assessment tool, and the health-needs assessment will be conducted by a care manager employed by the CMO. The CMO collects and reviews medical and educational information, and family and caregiver input, to identify the member's care strengths, health needs, and available resources. A clinician on the CMO's care management team reviews the health-needs assessment and provides the findings to the member's PMP and behavioral healthcare provider, if appropriate.

The CMO uses claims data when available, data collected during the initial screenings, the follow-up health assessment, data from medical records when available, and other sources, to ensure that the care for Indiana *Care Select* members is adequately coordinated and appropriately managed. For example, through data analysis and predictive modeling, the CMO identifies members who are at the highest risk for hospitalization or relapse, high cost, or high utilization in the future. The CMO also identifies gaps in the member's current treatment and communicates those findings to the member's PMP.

The current CMO and/or any CMO to which the member might be reassigned could use the current member assessment for an entire rolling calendar year from the time that member became a member of the program, or when that member took his or her last annual assessment.

For example, if a member changes his or her CMO after completing the member assessment, and the last member assessment was completed within the last calendar year, the new CMO can request the member assessment completed by the previous CMO, and that will meet the outlined performance requirement. The CMO is responsible for creating procedures for appropriately sharing this information that are in compliance with HIPAA regulations. Furthermore, if a member decides to change back to the first CMO, the original member assessment can be used to meet the member assessment performance requirement if the original assessment is less than one calendar year old.

Care Plans and Levels of Care

After the initial assessment, the CMO assigns members to a care level, develops a care plan for each member, and facilitates and coordinates the holistic care of each member according to his or her needs. The CMO assists the member, the family, and the PMP to develop a care plan with specific objectives, goals, and action protocols to meet identified needs. The CMO initiates and facilitates specific activities, interventions, and protocols that lead to accomplishing the goals set forth in the care plan. The care plan includes at a minimum:

- Clinical history
- Diagnoses
- Functional or cognitive status
- Mental health status
- Level of care management (1 through 4)
- Clearly identified, member-centered, and measurable short-term goals and objectives
- Clearly identified, member-centered, and measurable long-term goals and objectives
- Key milestones toward meeting short-term and long-term goals and objectives
- Immediate service needs
- An assigned PMP

- Member self-management goals
- Use of services not covered by the IHCP
- Barriers to care
- Follow-up schedule
- Family member/caregiver/facilitator resources and contact information
- Assigned case manager and/or disease manager
- Psychosocial support resources
- Local community resources
- Assessment of progress, including input from family, if appropriate
- Accommodation needs (for example, special appointment times, alternative formats) and auxiliary aids and services
- An assigned care manager

When developing the care plan, in addition to working with a multidisciplinary team of qualified healthcare professionals, the CMO must ensure that there is a mechanism for members and their families and advocates to be actively involved in developing a care plan. If a member's PMP declines to participate in the care management team, the CMO must ensure that the care management plan is provided to the member's PMP. The CMO develops a process for reviewing and updating the care plans with members on an as-needed basis, but no less often than annually.

Services called for in the care plan are coordinated by the CMO's care management staff, in consultation with any other case managers already assigned to a member by another entity (for instance, by a waiver program, county, or treatment facility). The CMO's care coordinators must be licensed physician assistants, registered nurses, therapists, or social workers, and have training, expertise, and experience in providing case management and care coordination services for individuals represented in each of the subpopulations in Indiana *Care Select*, including individuals with behavioral health needs and developmental disabilities. The CMO's care coordinators work in partnership with PMPs and other caregivers to ensure that Indiana *Care Select* members' overall care is coordinated and well-managed. Each member will have an assigned care manager, and each of the CMO's care managers may be assigned to multiple members.

Care plans call for, and the CMO will use, a variety of "low-touch" and "high-touch" interventions and approaches, such as member education only, face-to-face visits, in-home visits, and telephonic outreach. Each CMO must submit a proposed care plan and indicate which interventions and approaches would be used for each case study.

Care plans shall indicate a member's current level of care (Level 1 through Level 4). Members may move between groups over time as their needs change, so the CMO should develop a protocol for re-evaluating members periodically to determine if their present care levels are adequate. The care management classification system below may be modified if the CMO receives written approval from the OMPP.

Level 1 Care Management Services

Level 1 service shall be provided to all Indiana *Care Select* members. Through Level 1 services, the CMO assists individuals in gaining access to and having a better understanding of available medical, social, educational, and community services. The CMO provides information, resources, and referrals as needed, to all members, their families, and healthcare providers, as requested. Level 1 services shall include policies and procedures that encourage all new members to have PMP visits within 60 calendar

days of the member's effective date of enrollment and ongoing member outreach as indicated for the entire population.

Level 1 services shall address each member's medical and health concerns, specific medical information, and available community resources. Level 1 service typically results in brief, short-term encounters. The CMO reaches out to members and providers during the initial assessment period, as well as on an ongoing basis, in person and through written notification, where appropriate.

Level 2 Care Management Services

Level 2 care management services include all services provided under Level 1. Additionally, the CMO provides members requiring Level 2 services with more guidance and support due to less self-efficacy, changes in status, or transitions (changes in location). Initially, until otherwise indicated by claims data or contact with the member and the member's caregivers and PMPs, the CMO provides Level 2 services to all people with developmental disabilities enrolled in the DD waiver, on the DD waiver waiting list (and enrolled in Medicaid), or in a nonstate-run ICF/MR. The CMO provides detailed needs and functional assessment of Level 2 members and approximately 12 in-person contacts per year.

The CMO uses a multidisciplinary team (including those skilled in nursing and social work, and mental health providers with knowledge of local community resources) to implement protocol-driven care modules for Level 2 members that include action steps to follow when needs are identified. This team is responsible for the initial assessment, and ongoing reassessment and evaluation of Level 2 enrollees. The CMO must evaluate all members determined to need Level 2 care management services during home visits where the CMO can assess the member's environment and available resources.

The CMO engages the member's PMP in care management through ongoing, direct interaction between the PMP and the multidisciplinary care management team. This involvement includes semi-annual care conferences based on the member's assessment and evaluation. The CMO offers to travel to the PMP's office to conduct the care conference or conduct it via teleconference, at the PMP's discretion.

One week prior to each care conference, the CMO sends the PMP a list of the PMP's members under care management. Each care management conference may cover only some of the members on the list and lasts as long as necessary for the care management team to discuss the member's progress and the care management plan. The State created care coordination codes through which PMPs may be reimbursed for their time at these care conferences. The State's care coordination rates are based on an expectation of two one-hour care conferences per year for each Indiana *Care Select* member. PMP participation in care conferences is billed to the State's fiscal agent.

Other standard protocols that the CMO assesses, plans, implements, re-assesses, and evaluates for members needing Level 2 services are:

- Pain
- Trouble sleeping
- Anxiety/depression
- Medications – poly-pharmacy and gaps in prescription refills
- Skin
- Bowel/bladder
- Transitions
- Health maintenance – preventive care

- Health maintenance – chronic disease management
- Mobility
- Nutrition
- Advance care planning
- Caregiver burden
- Oral health
- Avoiding unwanted pregnancy
- Preventing choking from inappropriate supervision with eating
- Appropriate gait evaluation and adaptive equipment use to prevent fractures

Level 3 Care Management Services

Level 3 care management services include all elements of Level 1 and Level 2 services. Additionally, the CMO provides high levels of support to members who require Level 3 care management services, defined by high-risk issues such as significant deterioration in health status or ongoing lack of self-management skills due to personal issues; cognitive impairment or other mental illness; lack of social supports; or multiple co-morbidities. The CMO has frequent contact with Level 3 members and involves additional expertise as needed through developmental disabilities specialists, pharmacologic experts, and other urgent management specialists. The CMO should be prepared for Level 3 members and their caregivers to have volatile healthcare needs, including a need for immediate respite, medical advice, or additional home healthcare.

The CMO provides care management through “curbside” consultation services that facilitate engaging PMPs, maximizing PMPs’ ability to manage disease, minimizing PMPs’ use of unnecessary referrals, and reducing the need for hospitalization and ER utilization.

Level 4 Care Management Services

Members with Level 4 needs receive the highest level of care management provided in Indiana *Care Select*. Level 4 services include all elements of Level 1, 2, and 3 care management, and are provided to members who require the most support and are generally in a crisis situation requiring immediate additional support to prevent hospitalizations, long-term care, or poor outcomes. Contact with these individuals is expected to be immediate, frequent, and intense.

Monitoring

Care managers must regularly and routinely consult with the member’s physical and behavioral health providers to share clinical information, and develop and maintain a coordinated physical health and behavioral health treatment plan for the member. The CMO will gather information about the care plan’s activities, interventions, and services to determine the plan’s effectiveness in reaching desired goals and outcomes, and provide feedback to the primary care physician, family, and others involved in the care. CMOs must explain how they will determine and communicate the plan’s effectiveness to individual members and overall to the OMPP.

Reassessment and Evaluation

The CMO reassesses a member’s risk factors and care level at least annually or when indicated by a claim from a new provider, a report from a provider or caregiver about a change in condition, and so forth. The CMO evaluates the overall effectiveness of each care management plan to achieve positive

outcomes for families and to improve the system of care for individuals in Indiana *Care Select*. The CMO conducts activities at regularly scheduled team reviews with members of the multidisciplinary care management team, and modifies care plans as necessary via feedback from protocols and other recommendations from members, families, PMPs, and other providers. On a regular basis (at least quarterly), the CMO reports the overall success of the care management program to the OMPP in a format approved by the OMPP.

The CMO must develop procedures to monitor and assess its effectiveness in delivering quality healthcare to its Indiana *Care Select* members. The CMO must submit performance data related to its quality of care management, medical necessity determinations, and utilization management in a manner consistent with the OMPP reporting templates. The State reserves the right, at any time, to add reporting requirements once the implementation rollout begins and to audit the CMO's quality of care coordination, utilization management, and process for determining medical necessity.

The next subsections provide case management information specific to some of the subpopulations enrolled in *Care Select*.

Care Management for Members with Behavioral Healthcare Needs

Many of the individuals in Indiana *Care Select* have significant behavioral healthcare challenges, such as mental health and substance abuse conditions. The CMO manages the behavioral healthcare needs of its membership. In doing so, the CMO will:

- Provide care that addresses the needs of Indiana *Care Select* members in a more holistic manner
- Increase communication between the PMP, the CMO, and the behavioral healthcare provider
- Better manage utilization of behavioral healthcare services

The CMO must employ or contract with care coordinators and case managers with training, expertise, and experience in providing case management services for members receiving behavioral health services.

The CMO manages behavioral health services provided to its membership through hospitals, offices, clinics, community mental health centers (CMHCs), in homes, at school, and at other locations, as appropriate. A continuum of services, as indicated by the behavioral healthcare needs of enrollees, shall be available to members. These services must include crisis intervention services. CMOs must explain how they will provide these services during and after business hours. For instance, will the CMO operate a 24-hour behavioral health crisis line? Will it combine this line with a 24-hour nurse triage line? Will other services be available instead?

The CMO must allow members to self-refer to any behavioral healthcare provider in the CMO's network without a referral from the PMP or a CMO authorization. In addition, members may self-refer to any IHCP-enrolled psychiatrist, as set forth in the self-referral section of this manual, although the CMO should encourage its members to use psychiatrists within its provider network.

The CMO also ensures that behavioral health crisis services are available to members within no more than a 45-minute drive of every member in rural areas, and within a 30-minute drive of members outside the rural areas. The CMO connects members to CMHCs, as appropriate.

At a minimum, the CMO must provide care management services for any member at risk for inpatient psychiatric or substance abuse hospitalization, and for members discharged from an inpatient psychiatric or substance abuse hospitalization, for no fewer than 180 days following that inpatient hospitalization. Care managers must contact members during an inpatient behavioral health hospitalization, or immediately upon receiving notification of a member's inpatient behavioral health

hospitalization, and must schedule an outpatient follow-up appointment to occur no later than seven days following the inpatient behavioral health hospitalization discharge.

Care management services beyond Level 1 (that is, Level 2, 3, or 4) must be provided to all members identified as having serious mental illness. The CMO is responsible for identifying these individuals using claims data and the diagnoses of behavioral healthcare providers, which in turn should be based on the most current version of the Diagnostic and Statistical Manual of Mental Disorders (DSM), currently revision IV. The CMO develops clinical definitions and assessment tools to identify members who are seriously mentally ill, and incorporates these tools into initial member assessments.

The CMO shall design a process to identify when a member seeks (or should seek) hospitalization or emergency treatment for behavioral health issues, including substance abuse. With the appropriate consent, case managers must notify the PMP and behavioral health providers when hospitalization or emergency behavioral health treatment occurs. Care managers must provide this notification within five days of the hospital admission or emergency treatment.

Care managers must also monitor members receiving behavioral health services to ensure that members are expediently linked to appropriate behavioral health providers, and that members' access to appropriate behavioral health drugs is not interrupted. The care manager must monitor whether the member is receiving appropriate services and whether the member is at risk of over- or underutilizing services.

Care managers must regularly and routinely consult with the member's physical and behavioral health providers to facilitate the sharing of clinical information, and the development and maintenance of a coordinated physical and behavioral health treatment plan for the member. The CMO shares member medical data with physical and behavioral health providers and coordinates care for all members receiving physical and behavioral health services, to the extent permitted by law and in accordance with the member's consent. The CMO must require every provider contracted with the CMO, including behavioral health providers, to ask and encourage members to sign consents that permit release of substance abuse treatment information to the CMO and to the PMP or behavioral health provider, if applicable.

The CMO must, on at least a quarterly basis, send a comprehensive behavioral health profile for members with behavioral health needs to the respective PMPs. The behavioral health profile lists the physical and behavioral health treatment received by that member during the previous reporting period.

Information sharing is especially important for effective care coordination for members with behavioral health needs. As such, the CMO must mandate that its behavioral healthcare network providers notify the CMO within five days of the member's visit, and submit information about the treatment plan, the member's diagnosis, medications, and so forth, to the CMO and to the member's PMP. Disclosure of mental health records by the provider to the CMO and to the PMP is permissible under HIPAA and State law *IC 16-39-2-6(a)* without consent of the patient because it is for treatment. However, consent from the patient is necessary for substance abuse records.

For each member receiving behavioral health treatment, the CMO contractually requires behavioral health providers (including CMHCs) to document and share the following information with the CMO and PMP initially and whenever there are any changes to the following items:

- A written summary of each member's treatment plan
- Primary and secondary diagnoses
- Findings from assessments
- Medication prescribed
- Any other relevant information

The CMO also works with behavioral healthcare providers to increase the rates at which individuals with serious mental illnesses are screened for chemical dependence. The CMO ensures that members discharged from inpatient hospitals for behavioral healthcare conditions receive follow-up visits with their behavioral healthcare providers within seven days of discharge.

Many of the CMO's members receive services through the community mental health centers (CMHCs) in the State of Indiana. The CMO coordinates with and includes in its network the CMHCs that meet its credentialing requirements and performance standards, so the CMO can better manage physical and behavioral healthcare, including the services being provided through these centers. The CMO establishes mechanisms to ensure that individuals seeking services through the CMHCs are also receiving the appropriate primary healthcare services from medical care providers.

At the time they are enrolled in Indiana *Care Select*, members may be receiving case management services through the CMHCs. The CMO must work with the member and the CMHC to determine where and how the member should continue to receive case management services. For example, the CMO may allow the member or the member's PMP to decide whether the member will receive care coordination and case management services from the CMO, from the CMHC, or both. In all cases, the CMHC and CMO should work closely together to ensure that the member receives appropriate services that are not duplicated.

Through the fiscal agent, the CMO has access to detailed claims data through Business Objects for services provided to members through CMHCs. The CMO uses this data to assess and compare services rendered among CMHCs and provides this information to the CMHCs.

The CMO works with CMHCs and other behavioral healthcare providers and members to use evidence-based guidelines that help members work towards recovery.

Care Management for the Developmentally Disabled

Medicaid members on a developmental disability waiver will be included in *Care Select*. In providing care management services for individuals with developmental disabilities, the CMO addresses the framework illustrated in Figure 4.1 below, which was developed by the World Health Organization. This framework encompasses the complexity of health conditions and contextual factors on healthy "functioning" (including bodily functions, activities, and participation), rather than on disability. This new framework shifts the focus beyond the historical model of pathology and limitations to achieving optimal functioning as a goal for everyone. In addition, this model recognizes the important tenets of family-centered, community-based care and planned care.

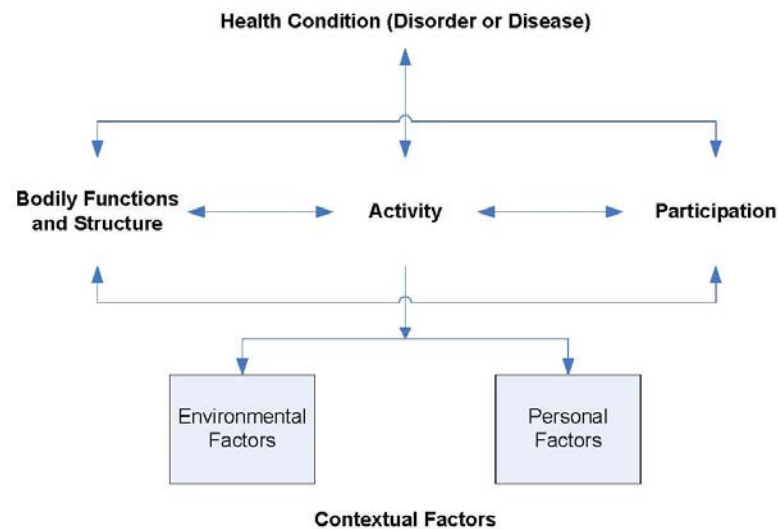


Figure 4.1 – Framework

The CMO empowers individuals with developmental disabilities to reach their optimum levels of wellness, self-management, and functional capability by:

- Prevention or early treatment of secondary conditions – For example, decubiti in people with cerebral palsy or urinary tract infections in people with spina bifida.
- Decreasing preventable chronic conditions – For example, adults with disabilities have an increased risk of inadequate emotional support and lack of regular physical activity. They have the same or greater risk than the general population for being overweight or obese and also for using tobacco. They have increased risk of cardiovascular disease, arthritis, and chronic pain.
- Improving clinical preventive services – For example, adults and children with disabilities have increased risk of lacking routine dental care and women’s health preventive services. People with disabilities often require additional preventive or guideline-recommended screenings and services (for example, thyroid screening for individuals with Down Syndrome or flu shots for individuals with chronic obstructive pulmonary disease).
- Planning beyond the physical needs of the person with disabilities to improve health and quality of life – For example, functioning, activities, and participation in work and school. People with disabilities not only need education about their conditions, but also *activities* to acquire life skills to manage their own care and opportunities to *participate* in their communities to foster healthy physical, mental, and social lifestyles.

In many cases, developmentally disabled members receive these services from the waiver provider. However, the CMO monitors and coordinates this care and provides care management services to individuals with developmental disabilities through four levels of services.

The State recognizes concerns from members, providers, and advocates regarding avoiding redundancy in case management services, especially for members with developmental disabilities. For persons with developmental disabilities, the CMO uses the results of its initial screening to determine the type of care management the developmentally disabled member should receive and shares this information with all necessary providers and case managers. If appropriate, the CMO may recommend that the member continue to work with existing waiver providers, and not directly with the CMO. However, the CMO monitors all members’ care and periodically reassesses the care plans.

Care Management for Members in Other Waiver Programs

The State of Indiana currently has seven waiver programs with approximately 13,000 total waiver members. The State is in the process of evaluating its waiver programs and considering options for restructuring its programs. As such, the State expects the CMO to work cooperatively with the State and its waiver programs as these programs continue to be assessed, revised, and possibly restructured.

Regardless, waiver members are enrolled in Indiana *Care Select*. Many of these members are already receiving case management services through their waiver programs. As such, the CMO is responsible for managing the nonwaiver services provided through the State plan and eliminating duplication of services between Indiana *Care Select* and the waiver programs.

Waiver case managers are typically social workers and are primarily responsible for brokering in-home services and developing a plan of care for waiver services. Waiver case managers also monitor the waiver service plan, and review and revise the plan, as appropriate. For members who already receive case management services through waiver programs, the member's waiver program case manager continues to provide case management services for the member. In this case, the CMO's role is one of assessment and care coordination, or care management at the level indicated.

When an Indiana *Care Select* member is also receiving case management services through a waiver program, the CMO and member assess whether or not waiver case management services are sufficiently meeting the member's needs. If not, the CMO may also provide care management services (for example, for more clinically focused services). The CMO also serves as a link between the waiver program and the member's healthcare providers to ensure that members are receiving holistic and coordinated healthcare services.

In addition to a waiver program for the developmentally disabled, the State has a waiver for the aging population that is primarily administered through 16 Area Agencies on Aging (AAAs), located throughout the State. The AAAs conduct assessments to determine whether an individual should be admitted to a long-term nursing facility, but as Indiana *Care Select* is implemented, the CMO is taking on this responsibility.

The CMO works closely with the AAAs in several areas and establishes business agreements (which must include HIPAA compliance language) with each of the 16 AAAs. The CMO works with the AAAs to ensure that each individual is placed in an appropriate care setting – whether a long-term nursing home or a community setting – and, if the latter, that the appropriate resources are available to support the member.

The CMO is required to work with and coordinate efforts, as necessary, with IndianaOPTIONS. IndianaOPTIONS is implemented through FSSA's Division of Aging, with direct services delivered through the Area Agencies on Aging. For more information about IndianaOPTIONS, please refer to <http://www.LTCOPTIONS.in.gov>.

The AAAs also provide case management to waiver participants. Again, the CMO must not duplicate services already provided to its members who are in waiver programs. Instead, the CMO works closely with AAAs to ensure that the various healthcare and waiver providers serving the member are sharing needed information about the member's physical and behavioral healthcare needs, available resources, care plan, and so forth.

The CMO also serves as a resource to the AAAs, providing information about the medical needs of waiver members and the medical services being rendered to waiver participants. The CMO develops a mechanism or process to keep all waiver members' medical care providers informed of the various waiver services members receive and the purposes of those services.

Section 5: Disease Management Call Center

Program Overview

The second component of the care management program is the disease management call center, an integral part of the Disease Management Program. The CMO provides disease management services that are population-based and target specific disease states via telephonic interventions, as designed by the OMPP under legislative mandate in *IC 12-15-12-19*.

As part of the initial member assessment, the CMO determines whether an Indiana *Care Select* member meets the specifications for inclusion in the disease management program. The CMO is required to incorporate and maintain the disease management call center structure, policies, and procedures. At a minimum, the CMO retains the following characteristics of the current disease management program:

- Working with the State to link Indiana *Care Select* with the disease management program
- Maintaining a disease management call center
- Using disease management selection and stratification models, as provided by the State
- Using disease management call scripts, as provided by the State
- Using disease management educational materials, as provided by the State

The CMO's staffing responsibility is to assign sufficient and knowledgeable staff capable of contacting members who are newly assigned to the disease management and educating members about the program. This may require several attempts and multiple outgoing calls per member.

The CMO must maintain the following disease management programs:

- Diabetes
- Pediatric asthma
- Congestive heart failure (CHF)
- Cardiovascular disease (CVD)
- The comorbidity of diabetes and hypertension
- The comorbidities or combinations of any of these disease states

All Indiana *Care Select* members are eligible for these disease management programs, and the CMO must report at least quarterly to the OMPP regarding the monitoring, workload, efficacy, and other performance-based measures for the call center disease management programs. The reporting format shall be approved by the OMPP. In addition, the OMPP reserves the right to require the CMO to assist in the development of disease management programs for additional conditions, such as chronic obstructive pulmonary disease, in the future. The OMPP will provide three months' advance notice to the CMO if the OMPP decides to add new diseases to the disease management program requirements. As the disease management program is a legislative mandate, other disease states may also be guided by changes in legislation.

If the CMO chooses to enhance or provide disease management programs in addition to the disease states above, the CMO may recommend such changes to the OMPP through the following steps:

- Substantiate the reasons for initiating such programs
- Secure the OMPP's approval for implementing the disease management programs

- Partner with the OMPP to develop the overall package of the disease management program
- Provide quarterly updates documenting the efficacy and results of those additional disease management programs

Any additional educational materials, changes to the call scripts, or other modifications to any aspect of the disease management program shall be approved by the OMPP before being implemented for members. The OMPP maintains the overall program administration for the disease management program, and thus, shall maintain the ability to modify the program and approve or deny the CMO's recommendations.

General Requirements for the Disease Management Call Center

The CMOs shall:

1. Obtain and maintain a disease management toll-free number to:
 - a) Serve as an information line, receiving inbound calls from members, providers, and care managers
 - b) Serve as a message center for members and care coordinators
2. Interact with members
 - a) Via inbound calls from members, answer questions, provide information about the program, and assist in communication between members and their care managers
 - b) Via outbound calls to members, according to daily task lists provided by a tool designed by the CMO, conduct assessments of program members using the screening survey provided in the CDMS tool
 - c) Assist members in care coordination, based on results of the assessment and other relevant information
3. Interact with doctor's offices to request medical records via inbound or outbound calls, and send or receive member updates
4. Train call center staff to use the CMO tool and to interact appropriately with members of the disease management program. Enter data in the CMO-designed tool in real time
5. Maintain call center performance
6. Maintain qualified call center staff sufficient to manage the expected call volume
7. Maintain the appropriate number of call center supervisors
8. Have a registered nurse available to handle medical-related questions from members and from doctor's offices
9. Prepare and deliver to the OMPP monthly monitoring reports, as directed by the OMPP, by the 15th of every month for the previous month's activities
10. Coordinate activities with disease management care management partners
11. Meet as needed with the OMPP, or as requested by the OMPP

Software and Data Requirements for the disease management Call Center

The CMO can:

1. Have appropriate and sufficient information technology to maintain the disease management program data and trained and dedicated to support the software program.
2. Coordinate with disease management program evaluation contractor regarding software and system compatibility
3. Accept data transfers from EDS
4. Produce monthly monitoring reports of enrollments, call center statistics, and performance standards
5. Provide Internet capability to disease management call center representatives to validate information, such as Medicaid enrollment status, and current address and telephone number

Physician and Member Outreach

The CMO shall develop and distribute to members written materials to provide information about the disease management services:

- Upon a member's agreement to participate in the disease management program
- Upon request by a member, provider, or care manager
- Upon request of the OMPP

The CMO shall reach out to IHCP physicians via site visits and mailings to inform them about the disease management program and encourage their participation.

Section 6: Care Select Services

Covered Services in Care Select

Services covered by CMOs and reimbursed by fee-for-service (FFS) payments for members enrolled in CMO health plans must be furnished in an amount, duration, and scope that is no less than the IHCP-covered services detailed in *405 IAC 5*, in accordance with *42 CFR 438.210*. Detailed explanations of Medicaid-covered services and limitations are cited in *405 IAC 5*, CHIP (Package C) in *407 IAC 3*.

The following lists broad categories of services provided by the CMO health plan in a CMO arrangement with the OMPP:

- Physician services
 - Primary care services
 - Preventive health services (including vaccinations added to the periodicity schedule but not yet available through the Vaccines for Children Program)
 - Therapeutic and rehabilitative services
 - Specialty care services
- Hospital services
 - Inpatient care
 - Outpatient services
 - Therapy services
 - Laboratory and X-ray services
 - Diagnostic studies
- Early and Periodic Screening, Diagnosis, and Treatment (EPSDT)
 - Initial and periodic screenings
 - Diagnosis and treatment
- Home health services
 - Physical, occupational, and respiratory therapy
 - Speech pathology
 - Renal dialysis
- Pharmacy services
 - Legend drugs
 - Nonlegend drugs (selected over-the-counter drugs), as identified in the OMPP over-the-counter formulary
 - Insulin, nutritional and food supplements, and infant formulas
- Medical supplies and equipment
 - Medical supplies and durable medical equipment
 - Braces and orthopedic shoes
 - Prosthetic devices
 - Hearing aids
- Transportation services
 - Emergency transportation
 - Nonemergency transportation
 - Transportation to and from services provided by the CMO
 - Transportation to and from services excluded from CMO capitation but covered by IHCP under fee-for-service (FFS), otherwise known as carved-out services

- Dental services
- Diabetes self-management services
- Pregnancy care coordination
- Case management services targeted for members with human immunodeficiency virus (HIV) and/or acquired immune deficiency syndrome (AIDS)
- Smoking cessation services
- Behavioral health services, such as mental health, substance abuse, and chemical dependency services
- Special provisions for specific types of service, coverage, and payment policies applying to some services and providers are discussed later in this section and include the following:
 - Emergency services
 - Out-of-plan services
 - Out-of-area services
 - Self-referral services
 - FQHC and RHC services
 - Hospital extended stay for children investigated by protective services
 - Services related to carved-out services
 - Short-term placements in long-term care facilities
 - Continuity of care
 - Women, Infants, and Children Program (WIC) infant formula

Emergency Services and Post-Stabilization Care Services

CMOs are responsible for providing 24-hour emergency care for *Care Select* members. The CMO must allow enrollees to obtain emergency services outside the CMO health plan, regardless of whether the CMO referred the enrollee to the provider that furnished the services.

CMOs must allow emergency services without requiring authorization for such services, in accordance with the federal *Balanced Budget Act of 1997 (BBA)*, Medicaid Managed Care rules (*42 CFR Part 438*), and *House Enrolled Act 1872 (IC 12-15-12)*. The fiscal agent is responsible for covering and reimbursing emergency services, including medically necessary screening services provided to members who present themselves to an emergency department with an emergency medical condition.

The CMO may not deny payment for treatment obtained when an enrollee had an emergency medical condition, even if the outcome, in the absence of immediate medical attention, would not have been those specified in the definition of an emergency medical condition.

The Indiana Code definition of “emergency medical condition,” and the one used in this chapter, is a medical condition manifesting itself by acute symptoms, including severe pain, of sufficient severity that a prudent lay person with an average knowledge of health and medicine could reasonably expect the absence of immediate medical attention to result in:

1. Serious jeopardy to the health of:
 - a) The individual
 - b) In the case of a pregnant woman, the woman or her unborn child
2. Serious impairment of bodily functions
3. Serious dysfunction of any bodily organ or part

Emergency services must be available 24 hours a day, seven days a week, subject to the “prudent layperson” standard of an emergency medical condition, as defined in *42 CFR 438.114* and *IC 12-15-12*.

Effective July 1, 2009, the IHCP will no longer reimburse hospitals and physicians for nonemergency services rendered in the emergency room. Hospitals and physicians will be reimbursed for a screen that is necessary to determine if the member had an emergency condition.

Services provided in the emergency room setting may be subject to prepayment and postpayment review. Documentation must support that the prudent layperson standard has been met for *Care Select* members when the PMP has not authorized the services. Billing guidelines are outlined in bulletin BT200913.

Out-of-State Services

The fiscal agent will pay for services rendered by out-of-state providers, such as urgent or emergent care while a member is traveling outside Indiana. Please review *Chapter 4 – Provider Enrollment, Eligibility, and Responsibilities* and *Section 6 – Out-of-State Provider Provisions* of the *IHCP Provider Manual* for additional information regarding out-of-state services.

Seeking Care Through Referrals through the PMP, Self Referral Services, and other IHCP Services

The CMO educates its members about the benefits of using their PMPs, such as enhanced care coordination and establishment of a medical home. When building its network, the CMO should advise PMPs that the State’s fiscal agent will pay claims for all authorized, routine care provided to its members by referral, for self-referral services, or other services from other providers, such as DME or home health providers as authorized. The fiscal agent reimburses any provider’s claim for authorized services provided to *Care Select* members at the lesser of the following:

- The usual and customary charge made to the general public by the provider; or
- The established IHCP reimbursement rates that exist for participating IHCP providers at the time the service was rendered.

In accordance with *42 CFR 438.206(b)(4)*, the CMO, in its role of approving PA requests, must authorize (and the fiscal agent must reimburse) care if the service is deemed medically necessary. Emergency care does not require PA, but claims for these services may be suspended for medical review. The CMO must authorize all services in a timely manner. The State’s fiscal agent makes all emergency room claims data available to the CMO. The CMO is responsible for incorporating the ER claims into its care management plans for members, including outreach to members about appropriate ER use and informing PMPs and behavioral health providers of emergency visits.

Self-Referral Services

Federal and state regulations allow members access to certain services outside the health plan in which they are enrolled without a referral. *Care Select* members can receive self-referral services from any IHCP-enrolled provider qualified to provide the service, whether or not the provider belongs to the same health plan as the member. The following self-referral services do not require a referral from the member’s PMP or authorization from the CMO:

- Members may access emergency services as defined in *42 CFR 438* and *IC 12-15-12* on a self-referral basis, as described under *Emergency Services* in this section. To be reimbursed by *Care Select*, the facility must be enrolled in the IHCP.

- Members may access dental services from any IHCP-enrolled dental provider qualified to render the service.
- Members may access pharmacy services from any IHCP-enrolled pharmacy provider.
- Members may access family planning services from any IHCP-enrolled provider qualified to render the service. Family planning services under Federal regulation *42 CFR 431.51(b)(2)* require freedom of choice of providers, and access to family planning services and supplies. Family planning services are services provided to individuals of childbearing age to temporarily or permanently prevent or delay pregnancy, including, but not limited to, birth control pills. Indiana *Care Select* members may not be restricted in their choice of family planning service providers.

The CMO must allow its members to obtain birth control pills and other family planning services and supplies on a self-referral basis. The OMPP recognizes the need for appropriate management of prescription medication in the interest of the member's health; however, the OMPP also recognizes the importance of removing barriers to family planning services. To reduce potential barriers to obtaining birth control pills and other family planning products, the State's PBM will, at a minimum, ensure that members can access up to a 90-calendar-day supply of birth control pills and other family planning products at one time per member, if prescribed. The CMO shall defer to this PBM requirement when coordinating with the PBM for pharmacy utilization management.

- Chiropractic services are IHCP-covered services rendered by an IHCP provider enrolled with specialty 150 (chiropractor) and practicing within the scope of the chiropractic license as defined in *IC 25-10-1-1* and *846 IAC 1-1*.
- Podiatric services are IHCP-covered services rendered by an IHCP provider enrolled with specialty 140 (podiatrist) and practicing within the scope the medical license as defined in *IC 25-22.5* (doctor of medicine or doctor of osteopathy) or *IC 25-29* (doctor of podiatric medicine).
- Psychiatric services are IHCP-covered services rendered by a provider enrolled with specialty 339 (psychiatrist) and practicing within the scope of the medical license as defined in *IC 25-22.5*.
- Behavioral health services, such as mental health, substance abuse, and chemical dependency services, are included in *Care Select*. The CMO mental health providers to which the member may self-refer within the health plan are:
 - Outpatient mental health clinics
 - Community mental health clinics
 - Psychiatrists
 - Psychologists
 - Certified psychologists
 - Health services providers in psychology
 - Certified social workers
 - Certified clinical social workers
 - Psychiatric nurses
 - Independent practice school psychologists
 - Advanced practice nurses under *IC 25-23-1-1(b)(3)*, credentialed in psychiatric or mental health nursing by the American Nurses Credentialing Center

As stated in *405 IAC 5-20-8*, reimbursement is available to the physician or health services provider in psychology (HSPP) who directs outpatient mental health services for group, family, and individual psychotherapy when services are provided by one of the following midlevel practitioners:

- Academy of Certified Social Workers (ACSW)
- Certified Clinical Social Worker (CCSW)
- Advanced practice nurses under *IC 25-23-1-1(b)(3)*, credentialed in psychiatric or mental health nursing by the American Nurses Credentialing Center
- Certified psychologist

- Licensed Clinical Social Worker (LCSW)
- Licensed independent practice school psychologists
- Licensed mental health counselor
- Licensed marriage and family therapist
- Licensed psychiatric and mental health clinical nurse specialist
- Psychologist with a basic certificate
- A person holding a master's degree in social work, marital and family therapy, or mental health counseling.
- RN with a master's degree in nursing with a major in psychiatric and mental health nursing from an accredited school of nursing

These midlevel practitioners may not be separately enrolled as individual providers to receive direct reimbursement. Midlevel practitioners can be employed by an outpatient mental health facility, clinic, physician, or HSPP enrolled in the IHCP. Reimbursement is available for services provided by midlevel practitioners in an outpatient mental health facility when services are supervised by a physician or HSPP. Services rendered by midlevel practitioners must be billed using the rendering provider number of the supervising practitioner and the billing provider number of the outpatient mental health clinic or facility. Please see the *IHCP Provider Manual – Chapter 8* for additional information about the claim billing policy for midlevel practitioners.

- CMO members can seek most vision care services on a self-referral basis from IHCP providers enrolled with vision care specialties 180 (optometrist), 190 (optician), or 330 (ophthalmologist) and practicing within the scope of their licenses. The following ranges of Current Procedural Terminology (CPT[®]) codes define vision-related surgeries:
 - 65091-65114 – *Removal of eye and related procedures*
 - 65125-65175 – *Ocular implants and related procedures*
 - 65205-65265 – *Removal of foreign body from eye (unless billed with an emergency diagnosis code)*
 - 65270-65290 – *Repair of laceration and related procedures*
 - 65400-66999 – *Procedures on anterior segment including cornea, anterior chamber, anterior sclera, iris, lens, and cataract removal*
 - 67005-67299 – *Procedures on posterior segment including vitreous, retina, sclera*
 - 67311-67999 – *Procedures on ocular adnexa including orbit, eyelids, brow, and related procedures*
 - 68020-68899 – *Conjunctiva and related procedures*
- HIV/AIDS-targeted case management services are limited to no more than 60 hours per quarter.
- HIV/AIDS Care Coordination services are billed using the primary diagnosis code 042 – *HIV/AIDS* and the national Healthcare Common Procedure Code System (HCPCS) procedure code G9012. The CMO is expected to work with the HIV/AIDS care coordinator to avoid duplication of services with any case management services provided by the CMO. HIV/AIDS care coordination claims are not subject to care management edits; therefore, there is no requirement for a PMP's certification code and provider number on the paper *CMS-1500* claim form or the 837P transaction. Additional information about this waiver program, authorized by *42 USC 1396n(g)* and administered by the Indiana State Department of Health (ISDH), is located in *Chapter 8* of the *IHCP Provider Manual*.

HIV and AIDS care coordination is a specialized form of case management for members with HIV infection. Care coordination consists of goal-oriented activities that locate or create, facilitate access to, coordinate, and monitor the full range of HIV-related health and human services. The purpose is to encourage the cost-effective use of medical and community resources, and to promote the well being of the individual while assuring the individual's freedom of choice. To assure freedom of choice, the individual signs a *Freedom of Choice/Intent to Participate Form*, acknowledging an understanding of the services provided and identifying the chosen care

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coordination provider. Care coordination services are those that assist Medicaid-eligible people in the targeted group to access needed medical, psychological, social, educational, and other services.

- Diabetes Self-Management Training Services are available to *Care Select* members on a self-referral basis from any chiropractor, podiatrist, optometrist, or psychiatrist who has had specialized training in the management of diabetes.

The CMO must include diabetes self-management services when the member obtains the services from IHCP self-referral providers. However, *IC 27-8-14.5-6* also provides that claims for diabetes self-management may be reimbursed when members seek diabetes self-management services from providers other than providers designated as IHCP self-referral providers. The statute also recognizes that eye care and podiatry, which may include diabetes self-management services, are self-referral services. The CMO shall ensure that any members identified as seeking diabetes self-management services obtain adequate diabetes care. The CMO must not restrict members to any IHCP-eligible diabetes self-management providers. Specific information about this benefit is provided in Indiana Medicaid Update *E98-05* and *405 IAC 5-36*.

- Immunizations are available on a self-referral basis from any IHCP-enrolled provider. Immunizations are covered regardless of where they are received. For example, members may receive immunizations at county health departments, and the health department may bill the fiscal agent for the immunization administration fee.

The following ancillary services are allowed as self-referral and do not require *Care Select* PMP referral:

Note: A complete list of provider types and specialties, including descriptions and enrollment criteria, is listed in [Chapter 4](#) of the [IHCP Provider Manual](#).

- Emergency Services as indicated by the primary diagnosis code on the claim
- Lab – provider specialties 280 and 281
- Radiology – provider specialties 290 and 291
- Anesthesia – provider specialty 311
- Transportation – provider specialties 260 through 266
- Durable Medical Equipment (DME) – provider specialty 250 and Home Medical Equipment (HME) providers – provider specialty 251
- Home health services – provider specialty 050

The following outpatient therapy services:

- Physical – provider specialty 170
- Occupational – provider specialty 171
- Respiratory – provider specialty 172
- Speech – provider specialty 173

The following provider types and IHCP programs are also considered self-referral services:

- School Corporations
- First Steps
- Medical Review Team (MRT)
- Pre-Admission Screening/Resident Review (PASRR)

Note: Although the two-digit PMP certification code is not required for nonemergency outpatient hospital services, the PMP National Provider Identifier (NPI) is required for claim reimbursement. These services include outpatient nonemergency ER visits, as well as radiology, pathology, and laboratory, when performed in an outpatient hospital setting. The PMP NPI should be provided on the UB-04 claim form when submitting claims for such services on behalf of Indiana Care Select Providers. Details regarding completion of the UB-04 claim form can be found in [Chapter 8](#) of the [IHCP Provider Manual](#).

Services Related to Self-Referral Services

The CMO must include self-referral providers in its health plan. The CMO and PMPs encourage members to seek the services of the self-referral providers contracted in the CMO's health plan, but the CMO cannot require that the members receive such services from health plan providers. When members choose to receive self-referred services from IHCP-enrolled self-referral providers who are not part of the CMO's health plan, the fiscal agent is still responsible for payment to these providers, up to the applicable benefit limits and at Medicaid rates. Members may not self-refer to providers who are not enrolled in the IHCP.

The CMO will have access to self-referral claims information, and should incorporate information about the use of these services into the care management program analysis and member assessments.

Federally Qualified Health Centers and Rural Health Clinics

The CMO contracts on behalf of the State with the federally qualified health centers (FQHCs) and rural health clinics (RHCs) to ensure that FQHCs and RHCs are reimbursed for services at a rate comparable to other providers and sufficient to operate economically viable and efficient facilities.

The OMPP provides a supplemental payment, at least quarterly, to the FQHC or RHC to bring reimbursement up to 100 percent of reasonable costs, based on data provided by the FQHC or RHC. To calculate the supplemental payment, the amount paid by the fiscal agent directly to the FQHC or RHC for services provided to CMO members is subtracted from 100 percent of their reasonable costs.

Annually, the fiscal agent must submit to the OMPP the amount paid to each FQHC or RHC for services provided to CMO members, so that the OMPP can perform the annual reconciliation. The results of the reconciliation determine whether additional payments are made to the clinic or whether recoupment is needed.

The CMO must identify for the State all the financial incentives offered to the FQHC. All incentives accrued during the contract period relating to the cost of providing FQHC- or RHC-covered services to CMO members must be included along with any FFS in the determination of the amount of direct reimbursement paid by the CMO to the FQHC or RHC. Specifics about the FQHC and RHC reports are in the *CMO Reporting Manual*.

Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) Services

Indiana's EPSDT program is called HealthWatch and includes all IHCP-covered preventive, diagnostic, and treatment services, as well as other prior-authorized treatment services that the EPSDT screening provider determines to be medically necessary. Through HealthWatch, the CMO ensures that children enrolled in Indiana *Care Select* receive age-appropriate comprehensive, preventive services. See the *IHCP HealthWatch EPSDT Provider Manual* for details regarding components and recommended frequency of HealthWatch screenings.

The CMO works with prenatal clinics and other providers to educate pregnant women about the importance of EPSDT screenings and encourages them to schedule preventive visits for their infants. The CMO's care management staff ensures that all children in *Indiana Care Select* between nine months and six years of age are tested for lead poisoning.

The CMO ensures that children with elevated lead levels are identified, their PMPs are notified, and the children receive the recommended follow-up treatment.

Transportation Services

The CMO is responsible for arranging transportation services for its membership. The CMO ensures that transportation services are provided through *Indiana Care Select* in the appropriate amount, duration, and scope. At present, the State does not use a transportation broker, so the CMO is responsible for developing and maintaining a transportation provider network and authorizing services; however, the State may decide to implement a transportation broker program over the course of its contract with the CMO. In this case, the CMO will no longer be responsible for maintaining a transportation provider network. Transportation vendors will continue to submit claims to the State's fiscal agent. However, the CMO works with transportation brokers to ensure that *Indiana Care Select* members have access to transportation.

The CMO coordinates these services with transportation services provided through waiver providers to ensure that transportation services are not duplicated or billed to the wrong program.

Pharmacy Services

The State's Pharmacy Benefit Manager (PBM) administers the pharmacy benefit (including conducting prior authorization and entering those decisions directly into *IndianaAIM*), and the State's fiscal agent pays pharmacy claims. The State's preferred drug list (PDL) is used for *Indiana Care Select* members and can be found at <http://www.indianapbm.com>. The CMO receives the PBM's data and analysis about the *Indiana Care Select* population's use or appropriateness for the Restricted Card Program (which controls access to certain pharmaceuticals by individuals with abnormal use patterns) and coordinates with the PBM as necessary to identify the appropriate PMP, hospital, and pharmacy to which a *Care Select* member should be restricted. At a minimum, information about a member's restricted card status shall be incorporated into the CMO's care plans.

The CMO monitors pharmacy claims, and provides input regarding suggested changes and improvements to the pharmacy PDL, policies, and procedures to the State; the State, in turn, may present that input to the Therapy Committee and the DUR Board.

The CMO is expected to generate savings from pharmacy services by accessing and analyzing pharmacy claims data. Using this data, the CMO coordinates with the State's PBM to reduce pharmacy costs through various strategies, such as examining and increasing the dispensing rate of generic medications or encouraging its provider network to prescribe a generic medication within a class before automatically prescribing a brand drug. The CMO also uses pharmacy data to ensure that members are refilling drugs appropriately and to provide outreach to members who are not in compliance. The CMO should target specific populations, such as members with mental health issues and with specific disease states. The CMO manages this benefit through monitoring actual pharmacy utilization, member compliance with taking prescribed medications, and assisting members with medication management.

IHCP-Covered Services Excluded from Care Select

Broad categories of service, covered by the IHCP but excluded from *Care Select*, are payable as FFS claims by the fiscal agent. If a care management member becomes eligible for any of these services, the member is disenrolled from care management. Services excluded from care management include:

- Long-term institutional care
- Hospice care
- Psychiatric treatment in a State hospital
- Members with dual eligibility

CMO members who qualify for long-term institutional care or hospice care services are disenrolled from their *Care Select* care management plan, according to the member disenrollment criteria outlined in [Section 9: Member Eligibility and Enrollment](#). CMOs must note that it is possible for a member's Indiana Pre-Admission Screening/Pre-Admission Screening and Resident Review (IPAS/PASRR) process to be under way (but not yet complete) when the member is linked to a CMO.

Short-Term Placements in Long-Term Care Facilities

A CMO may allow its enrolled members to receive services in a nursing or long-term-care (LTC) facility on a short-term basis (no more than 30 days), if this setting is more cost-effective than other options and if the member can obtain the care and services needed.

If the short-term stay is extended beyond 30 days, the screening must be completed within 25 days after the last day of the short-term stay (except as specified for Pre-Admission Screening and Resident Review cases). A member approved for long-term nursing facility placement is disenrolled from the *Care Select* care management plan and converted to FFS eligibility in the IHCP at the time the appropriate level of care (LOC) information is entered in IndianaAIM. The CMO plays a critical role in monitoring its members who are receiving care in a nursing facility and helping coordinate the transition to long-term care. See information about pending LOC under the subsection of this manual, [Care Select Members Pending Level of Care Determination](#).

An important responsibility of the nursing facility is to complete the *Physician Certification of Long Term Care Service, Form 450B*, indicating that the member has entered the nursing facility. Information regarding Long Term Care Services and how to access the 450B form can be found in *Chapter 14* of the *IHCP Provider Manual*.

Continuity of Care

Indiana *Care Select* is committed to providing continuity of care for members as they transition among various IHCP programs such as fee-for-service and Hoosier Healthwise. CMOs may receive member enrollments, through member selection or auto-assignment, for patients who have ongoing medical care provided by hospitals, specialists, or ancillary providers. The CMO must have mechanisms in place to ensure continuity of care and coordination of medically necessary healthcare services for its Indiana *Care Select* members.

For members newly enrolled with the CMO, the CMO must ensure that an ongoing course of treatment is not interrupted or delayed because of the change to new providers, and that medical records are transferred to new providers within 20 business days of the CMO's request. If the new member's previous provider decides not to participate in *Care Select*, the CMO must work with the nonnetwork providers to facilitate the transfer of medical record information to the member's new Indiana *Care Select* provider. The CMO will respect services that have already been authorized by the State or its PA vendor for up to 30 days after the member is enrolled in Indiana *Care Select*.

Transition of Care

To enhance the transition and ensure continuity of care, the *Care Select* CMOs place a priority on making care plan information available to a new provider who is seeing a member for the first time. Electronically, the CMO makes a member summary available to providers when a change in PMP or behavioral health provider occurs within *Care Select*. For members transferring to another CMO, the summary is sent electronically or faxed to the member's new PMP and/or CMO upon notification or request, after authority to receive such member-level information has been verified. Electronic transfer of care plan information is preferred.

Prior Authorization Process

As Indiana *Care Select* implementation begins, every effort is made to ensure a smooth transition for members and providers. The prior authorization (PA) process is a key process in this implementation and a focus for information sharing. While a PA request sent to the incorrect CMO is normally rejected and returned to the provider, MDwise and ADVANTAGE assist providers in this process as much as possible. For the first 60 days following the implementation date for each region, if a PA request is sent to the incorrect CMO, it will not be rejected. The receiving CMO contacts the provider and informs him or her of the error. Additionally, the CMO sends the request to the correct CMO for processing. No further action is required on the part of the provider. After this initial period, requests are reviewed to determine if the period should be extended due to processing volume.

Some examples of the need for special consideration include, but are not limited to, the following:

- Transitions from fee-for-service to *Care Select*
- Members hospitalized on the effective date of *Care Select*
- Members who have a prior authorization issued by another *Care Select* health plan that is still open on the effective date of the new *Care Select* health plan
- Transitions for members who become dually eligible for Medicare and the IHCP
- Members undergoing the Indiana Pre-Admission Screening/Pre-Admission Screening and Resident Review (IPAS/PASRR) process for long-term care placement
- Members receiving behavioral health services, especially members who have received prior authorization for behavioral health drugs from their previous CMO or through fee-for-service
- The CMO arranges for covered services provided to newborn children of CMO members from the newborn's date of birth. EDS cannot control when newborn eligibility is transmitted from the State's eligibility system, Indiana Client Eligibility System (ICES), to IndianaAIM. There may be delays of several weeks to several months before EDS can send newborn eligibility to CMOs because of delays in transmissions from ICES to IndianaAIM. Therefore, CMOs must be aware of pregnant mothers enrolled in their health plan.
- Hospital transfers, if the member changes health plans during an inpatient stay, are treated as new admissions
- Transitions and explanations of benefit changes for members recently disenrolled from Indiana *Care Select*

One of the CMO's last interactions with disenrolled members should be communicating basic information about the member's new healthcare options, including where to go for more information.

In situations such as PMP disenrollment, the CMO must facilitate continuity of care with other PMPs. When receiving members from Hoosier Healthwise or another IHCP program or private health plan, the CMO must honor previous PAs for a minimum of 30 calendar days.

The CMO is responsible for ensuring a smooth transition after the member has been disenrolled from Indiana *Care Select* whenever the member disenrollment occurs during an inpatient stay. The CMO coordinates discharge plans with the member's new medical provider, if known.

The State aims to ensure that no member is discharged from inpatient services and admitted to a nursing home or other treatment setting inappropriately when the individual would receive care in a less restrictive and more appropriate setting, such as home- and community-based services. To achieve the State's objective, the CMO must have a process in place to establish and coordinate a care plan before discharge for members who are ready to be discharged from an inpatient hospital or nursing home. The CMO must track the implementation of this care plan. The CMO is required to coordinate efforts, as necessary, with IndianaOPTIONS. IndianaOPTIONS is implemented through FSSA's Division of Aging, with direct services delivered through the Area Agencies on Aging. For more information about IndianaOPTIONS, please refer to <http://www.LTCOPTIONS.in.gov>.

Continuity of Care for Members Receiving Behavioral Healthcare

The following procedures and requirements apply specifically to those members receiving behavioral healthcare under Indiana *Care Select*. To ensure appropriate continuity of care, CMO staff must monitor the care of a member receiving behavioral health services to ensure that medical records, treatment plans, and other pertinent medical information follow members transitioning to different providers. The care manager must notify the PMP of the member's previous mental health treatment, and must offer to provide to the new provider the member's treatment plan, if available, and consultation with the member's previous treating provider. The CMO must coordinate information regarding prior authorized services for members in transition.

The CMO must require that members receiving inpatient psychiatric services are scheduled for outpatient follow-up and/or continuing treatment prior to discharge. This treatment must be provided within seven business days from the date of the member's discharge. If a member misses an outpatient follow-up or continuing treatment, the CMO must ensure that a behavioral healthcare provider or the CMO's behavioral healthcare manager contacts the member within three business days of the missed appointment.

Care Select Members Pending Level of Care Determination

The LTC facility, such as a nursing facility; the community residential facility for the developmentally disabled (CRF/DD); or the intermediate care facility for the mentally retarded (ICF/MR) where an IHCP member is treated must verify the patient's IHCP eligibility and healthcare program when the patient is admitted or screened to determine whether the individual is currently enrolled in a care management program.

If the eligibility information indicates that the patient is enrolled in *Care Select*, the LTC provider must contact the CMO identified by the Eligibility Verification System (EVS). The provider must verify the patient's IHCP eligibility, not only at admission and screening, but again on the first and 15th of every month thereafter, because the member may switch from FFS Medicaid to a care management health plan.

If a care management member is undergoing screening for admission to an IHCP-certified LTC facility, the facility must complete the LOC paperwork and submit it to the appropriate agency. During the time that the facility or agency is processing the paperwork, the member may be auto-assigned to a PMP in a care management plan. It is not until the LOC determination is entered into IndianaAIM that care management enrollment is blocked or care management disenrollment occurs. Additional information can be found in [Chapter 14, Section 12](#), of the [IHCP Provider Manual](#).

If the facility determines that a patient is enrolled in a *Care Select* CMO, the provider must notify the CMO within 72 hours. If the provider fails to verify an IHCP member's coverage or fails to contact the CMO within 72 hours of admission, the provider is responsible for any charges incurred until the *Care Select* member is disenrolled from the CMO. When the provider notifies the CMO within 72 hours of admission, the CMO is liable for charges up to 60 days. If the provider fails to complete the paperwork for the appropriate LOC determination and the member is still enrolled in *Care Select* after 60 days, the claims submitted to EDS are denied payment.

Provision of Enhanced Services

In conjunction with the provision of covered services, CMOs are strongly encouraged to provide programs and benefits intended to enhance the general health and well being of members and provide greater access to care. Wellness programs available to the CMO's commercial population must be made available to its *Care Select* enrollees. The CMO is encouraged to provide enhanced services, such as health education classes, that target the IHCP population. The CMO must inform the OMPP at least four weeks prior to implementation or provision of any enhanced services. The OMPP reviews these enhanced services, and the CMO must receive OMPP approval prior to implementation. The enhanced services must comply with the marketing and other relevant guidelines provided in this manual. Any type of incentives used to market an outreach or education program must be approved in advance by the State, and incentives cannot have retail values of more than \$10 individually. The annual maximum for member gifts or incentives is \$50 per member. Under no circumstances are monetary incentives to be offered or used.

Member Financial Responsibility

Co-payments

Certain services such as transportation, nonemergency use of the emergency room, and pharmacy may be subject to a member copayment. Pregnant women and children are not subject to copayment requirements and cannot be charged any copayments or other cost-sharing fees. Providers cannot refuse to see members based on the member's inability to pay the copayment.

Charging Care Select Members for Services Rendered

IHCP providers are prohibited from billing an IHCP member or the member's family for any amount billed but not paid by IHCP for a covered service. Providers must accept IHCP reimbursement as payment in full for services rendered.

There are limited instances in which a provider can charge an IHCP member for services. Services not covered by the IHCP, such as cosmetic procedures or services that have been denied through the prior authorization process, can be billed to the member if the provider receives and retains the member's signed statement accepting financial responsibility for the services. This statement must be specific about the services to be billed; must be signed by the member prior to receiving the services; and must be retained as documentation in the patient's medical record. [Section 8: CMO and Provider Enrollment](#) gives additional information about member billing.

[Chapter 4, Section 5](#), of the [IHCP Provider Manual](#) contains additional information about member billing.

Section 7: Member Services

Restricted Card Program

Member utilization review identifies members who use IHCP services more extensively than their peers. The Restricted Card Program (RCP) is designed to monitor member utilization and, when appropriate, implement restrictions for members who would benefit from increased care coordination. Because there will be multiple vendors performing RCP, providers must verify member eligibility to determine to which CMO the member belongs. The Eligibility Verification Systems (EVS) that are available to the provider community provide specific information regarding the member's CMO and PMP assignment.

Providers should continue the same process for RCP care and referrals. Information regarding the RCP can be found in the [IHCP Provider Manual, Chapter 13, Member Utilization Review Process](#).

Member Information Materials

The CMO must establish policies and procedures to ensure that materials are accurate in content and in translation, relevant to language or alternate formats, and do not defraud, mislead, or confuse the member. The CMO must develop and include a CMO-designated inventory control number on all member promotional, education, or outreach materials with a date issued or date revised clearly marked. The purpose of this inventory control number is to facilitate the OMPP's review and approval of member materials, and to document its receipt and approval of original and revised documents. The CMO must keep a log of all member materials used during the year. The CMO must also submit its member handbook to the OMPP for review annually. The *CMO Reporting Manual* details the member materials reporting requirements. The OMPP maintains and distributes the CMO Reporting Manual.

The CMO must submit all marketing, promotional, educational, and outreach materials to the OMPP for review and approval at least 30 calendar days prior to expected use and distribution. The CMO must receive approval from the OMPP before distributing or using materials. The CMO must receive the OMPP's approval to use or display the *Care Select* logo each time the CMO wishes to do so (that is, the CMO should not assume the OMPP's approval for use of the logo based on previous approvals). The OMPP reserves the right to assess liquidated damages or other remedies for the CMO's noncompliance in the use or distribution of any nonapproved member materials.

The CMO must produce member materials and may distribute only member materials approved by the OMPP and compliant with *42 CFR 438.10*. The CMO must provide information for use in member education and enrollment, upon request by the State or the State's designee. This information may include, but is not limited to, the following:

- A provider directory listing the CMO's providers in its network and identifying each provider's specialty, service locations, hours of operation, telephone numbers, public transportation access, and other demographic information, in accordance with *42 CFR 438.10(f)(6)(i)*
- CMO member bulletins or newsletters issued not fewer than four times a year that provide updates related to covered services or access to providers
- Updated policies and procedures specific to the *Care Select* population
- CMO telephone system scripts and commercials-on-hold
- CMO-distributed literature about all health or wellness programs the CMO offers

- The CMO's marketing and promotional brochures and posters
- A member handbook that describes the terms and nature of services offered by the CMO and contact information including the CMO's Web site address

General Information Requirements

The CMO must make written information available in English and Spanish and other prevalent non-English language, as identified by the OMPP, upon the member's request. The CMO must identify additional languages that are prevalent among members. The CMO must inform members that information is available upon request in alternative formats and how to obtain alternative formats. The OMPP defines alternative formats as Braille, large font letters, audiotape, prevalent languages, and verbal explanation of written materials.

To the extent possible, written materials must not exceed a fifth-grade reading level. The CMO must provide notification to its members of the *Care Select*-covered services that the CMO does not elect to cover on the basis of moral or religious grounds, and guidelines for how and where to obtain those services, in accordance with 42 CFR 438.102. The CMO must provide this information to the member before and during enrollment, and within 90 calendar days after adopting the policy with respect to any particular service. The CMO must inform members that, upon a member's request, the CMO provides information on the structure and operation of the CMO and, in accordance with 42 CFR 438.6(h), provides information on the CMO's provider incentive plans.

The CMO is responsible for developing and maintaining member education programs designed to provide members with clear, concise, and accurate information about the CMO's program, the CMO's network, and *Care Select*. The State encourages the CMO to incorporate community advocates, support agencies, health departments, other governmental agencies, and public health associations in its outreach and member education programs. The State encourages the CMO to develop community partnerships with these types of organizations to promote health and wellness within its *Care Select* membership.

The CMO's educational activities and services should also address the special needs of specific *Care Select* subpopulations (such as pregnant women, newborns, early childhood, at-risk members, and children with special needs) and its general membership. The CMO must demonstrate how these educational interventions reduce barriers to healthcare for members. The CMO must review its education and outreach program activities in the annual *Quality Management and Improvement Plan Summary Report*, as delineated in the *CMO Reporting Manual*.

Web Site

The CMO must provide a user-friendly Web site to members, providers and the community within six months of the effective date of the CMO's contract with the State. The Web site must be in an OMPP-approved format to ensure compliance with existing accessibility guidelines. The OMPP must preapprove the CMO's Web site information and graphics. The Web site information must be accurate and current, culturally appropriate, written at a fifth-grade reading level, and available in English and Spanish. The CMO must inform members that information is available upon request in alternative formats and how to obtain alternative formats. To minimize download and wait times, the Web site must avoid techniques or tools that require significant memory or disk resources, or ones that require special intervention on the user side, such as installing plug-ins or additional software. The CMO must date each Web page, change the date with each revision, and allow users the ability to print the information. Such Web site information should include, but not be limited to, the following:

- The CMO's provider network identifying each provider's specialty, service locations, hours of operation, telephone numbers, public transportation access, and other demographic information. The CMO must update the online provider network information monthly at a minimum.

- The CMO's contact information for member inquiries, member grievances, or appeals
- The CMO's member services telephone number, telecommunications device for the deaf (TDD) number, hours of operation, and after-hours access numbers
- The CMO's wellness and prevention programs or prenatal services (particularly if these are enhanced beyond standard *Care Select* coverage)
- Information about the CMO's nurse care hotline (if applicable)
- A description of the CMO's care management program, including case management services and chronic disease management programs
- The member's rights and responsibilities
- The member handbook
- The HIPAA privacy statement
- A list and brief description of each of the CMO's member and provider outreach and education materials
- The executive summary from the CMO's *Annual Quality Management and Improvement Program Plan Summary Report*

Member Handbook

Upon enrollment in the CMO program, the CMO must provide members with a handbook containing written policies and which includes information on the following:

- Rights and responsibilities of the members
- Benefits and services included and excluded for members of the CMO program and how to obtain services
- Special benefit provisions (for example, copayments, deductibles, limits, or rejection of claims) that may apply to services
- Procedures for accessing in-network services
- Procedures for obtaining out-of-area services
- Provisions for 24-hour access to care, including emergency care
- Standards and expectations to receive preventive health services
- CMO policy on referrals to specialty care
- Procedures for notifying members affected by termination or change in any benefits, services, or service delivery sites
- Procedures for appealing decisions adversely affecting members' coverage, benefits, or relationship with the CMO
- Procedures for changing PMPs
- Procedures for changing plans within *Care Select*
- Procedures for making complaints, filing grievances, or recommending changes in policies and services
- Information about advance directives

Education, Outreach, and Marketing Materials

All education, outreach, and marketing materials must meet the following guidelines:

- The State must approve all education and outreach materials, including materials written by CMO subcontractors, prior to distribution.
- All materials must be on health and wellness issues pertaining to *Care Select*.
- The OMPP must review and approve any materials that use the *Care Select* logo prior to distribution for each material use. The CMO must cooperate with the OMPP to identify which materials require the program logo. The OMPP's decision on use of the logo is final.
- All brochures, presentation materials, and information packets must follow the standards established by the OMPP. All materials must be written at a fifth-grade reading level or lower and be culturally appropriate. Materials submitted to the State for approval must indicate the measurement used to assess the reading level (such as SMOG, Fog, or other method) and must have the reading level indicated.
- Any educational, outreach, or marketing materials must be distributed within the entire service area specified by the CMO and approved by the OMPP.
- Marketing materials cannot contain any false or misleading information and must be approved by the OMPP before distribution.
- Literature about health and wellness promotion programs offered by the CMO is encouraged.

The OMPP does not approve materials if it determines that the content is inaccurate, misleading, or otherwise misrepresents the program. It does not approve materials if they do not directly deal with healthcare issues. The materials must be culturally sensitive to the population groups served by the CMO.

The contents of education, outreach, and marketing materials must not refer to or identify the addressee as a *Care Select* or Medicaid enrollee and must include, at a minimum:

- Information about how the individual can receive additional information or contact a CMO representative with questions
- Information about who to call if a member is hearing impaired or needs an interpreter

The CMO must provide the OMPP with written notification immediately upon discovery of an alleged or suspected marketing violation by marketing representatives. Upon notification, the OMPP investigates with the CMO's cooperation. The CMO must take appropriate action and is subject to loss or restriction of enrollment, marketing privileges, or other suitable remedies.

The CMO must submit to the OMPP a member materials distribution plan quarterly. All member outreach, marketing, and education materials, as well as any form letters that are sent to members (for example, notification or welcome letters, annual notices, and so forth) must be submitted to the OMPP for approval prior to distribution and in accordance with the OMPP policy. In addition, the CMO must notify the OMPP of any changes to that work plan that occur throughout the year.

Member Education

Pre-enrollment

In accordance with *42 CFR 438.10 (e)*, the enrollment broker must provide the following CMO information, at a minimum, to the member prior to the selection of the PMP and the enrollment in the CMO network:

- List of PMPs, specialists, and hospitals within the *Care Select* network produced and distributed by the enrollment broker. This list must include general information, including area of specialty, telephone number, practice limitations, whether new patients are currently being accepted, and any restrictions on the scope of practice (for example, non-English language spoken)
- CMO-specific information such as service area, cost sharing, enhanced services, wellness programs, and so forth

Post-enrollment

The CMO is responsible for the development and maintenance of member education and outreach programs. These programs are designed to provide the member with information about the CMO's services. CMO member bulletins or newsletters specific to the *Care Select* population are to be issued not fewer than four times a year. These publications must provide updates related to covered services, access to providers, and updated policies and procedures. The CMO is encouraged to provide literature about health and wellness programs offered by the CMO. The OMPP must review and approve newsletters prior to distribution, as it does other education and outreach materials.

A CMO's educational activities and services must focus on the special needs of its *Care Select* population. CMOs must demonstrate how these educational interventions would reduce barriers to healthcare for members.

CMOs must make post-enrollment information available to members. This information includes, but is not limited to, the following:

- Summary of IHCP-included and -excluded benefits and services, and any enhanced services available in the CMO network
- Statement that most necessary healthcare services, except long-term institutional care and hospice care, are provided through the CMO and must be obtained through CMO facilities or providers
- Statement that all self-referral services can be obtained either in or out of the CMO network. [Section 6: Care Select Services](#) contains additional information about self-referral services.
- Description of the CMO's 24-hour access to emergency care procedures
- Information about member's rights and responsibilities under the CMO's plan, including participation in member satisfaction surveys
- Information about grievance procedures and the rights of a member with respect to the filing of a grievance
- Information about the member's right to change PMPs and the procedures for disenrollment from the CMO
- Information about preventive health programs or enhanced services offered by the CMO

Member Appeal and Hearing Procedures

Prior authorization (PA) administrative review and appeal procedures are outlined in the following sections of the Indiana Administrative Code (IAC):

- 405 IAC 5-7
- 470 IAC 1-4

Members receive a *Notice of Appeal Rights* along with the PA decision form which outlines the definitions and process .

Appeals on PA issues are conducted in accordance with *470 IAC 1-4*. Hearings and appeals, and administrative reviews, will be completed by the PA vendor who denied the request. In the event that the hearing, appeal, or administrative review is submitted to the incorrect CMO or FFS organization, the request will be returned to the provider for submission to the appropriate organization for review. If the member has been assigned to a different program since the request for PA was denied, providers can either appeal to the PA vendor that denied the request *or* submit a new PA request for review to the current CMO or FFS PA vendor.

Additional information regarding this process can be found in *Section 7: Prior Authorization Administrative Review and Appeal Procedures* and *Chapter 6: Prior Authorization of the IHCP Provider Manual*.

CMO Member Helpline

The CMO must maintain a statewide toll-free telephone help line for members with questions, concerns, or complaints. The CMO must staff the member services help line to provide sufficient live voice access to its members during (at a minimum) a 10-hour business day in the Eastern time zone, Monday through Friday. The member services help line must offer language translation services for members whose primary language is not English and must offer telephone-automated messaging in English and Spanish. A member services messaging option must be available after business hours in English and Spanish, and member services staff must respond to all member messages by the end of the next business day.

The CMO must provide 24-hour oral interpreter services, either through interpreters or telephone services. For example, the CMO must provide Telecommunications Device for the Deaf (TDD) services for hearing impaired members, oral interpreters, and signers.

The CMO must maintain a system for tracking and reporting the number and type of members' calls, and inquiries it receives during business hours and non-business hours. The CMO must monitor its member services help line service and report its telephone service performance to the OMPP each month, as described in the *CMO Reporting Manual*.

The CMO's member services help-line staff must be prepared to respond to member concerns or issues including, but not limited to, the following:

- Access to healthcare services
- Identification or explanation of covered services
- Special healthcare needs
- Disease management services
- Behavioral health

- Care management
- Procedures for submitting a member grievance or appeal
- Potential fraud or abuse
- Changing PMPs
- Quality of care

Upon a member's enrollment in the CMO, the CMO must inform the member about the member services help line. The CMO should encourage its members to call the CMO member services help line as the first resource for answers to questions or concerns about *Care Select*, PMP issues, benefits, CMO policies, and so forth.

Nurse Care Hotline

The CMO may have a nurse triage telephone service for members to receive medical advice 24 hours a day, seven days a week, from trained medical professionals. If the CMO implements one, members would be strongly encouraged by the CMO to contact the nurse care line before going to the ER. This resource will be a primary source of averting inappropriate ER use. The CMO will inform its members of this available resource and will encourage its members to use it to promote appropriate care in the appropriate setting at the appropriate time.

Member-to-Provider Communications

The CMO must not prohibit or restrict a healthcare professional from advising a member about his or her health status, medical care, or treatment options, regardless of whether benefits for such care are provided under *Care Select*, as long as the professional is acting within his or her lawful scope of practice. This provision does not require the CMO to provide coverage for a counseling or referral service if the CMO objects to the service on moral or religious grounds.

In accordance with *42 CFR 438.102(a)*, the CMO must allow health professionals to advise the member on alternative treatments that may be self-administered and provide the member with any information needed to decide among relevant treatment options. Health professionals are free to advise members on the risks, benefits, and consequences of treatment or non-treatment.

The CMO must not prohibit health professionals from advising members of their right to participate in decisions regarding their health, including the right to refuse treatment and express preferences for future treatment methods. The CMO may not take punitive action against a provider who requests an expedited resolution or supports a member's appeal.

Marketing

Marketing Activities

The OMPP permits and encourages the CMO and its subcontractors to promote their services to the general community, but forbids direct outreach or direct marketing to potential *Care Select* care management members and *Care Select* enrollees who are not the CMO's members. In accordance with *42 CFR 438.104*, the CMO cannot conduct, directly or indirectly, door-to-door, telephone, or other cold-call marketing enrollment practices. The CMO may not directly outreach or market to a *Care Select* enrollee prior to the enrollee becoming a member in the CMO's program.

The prohibition on CMO outreach to *Care Select* care management members applies equally to enrollees who apply for the program at a Division of Family Resources (DFR) office or at any other outstation location. The CMO may not offer gifts, incentives, or other financial or nonfinancial inducements greater than \$10 for each individual and \$50 per year, per individual. The CMO is subject to penalties under the *Social Security Act Section 1128A(a)(5)* about inducements, remunerations, and gifts to Medicaid and Package C members. The CMO must comply with all marketing provisions in *42 CFR 438.104* and with federal and state regulations about inducements, and must itemize its marketing gifts, incentives, and other financial inducements annually in the *Quality Management and Improvement Plan Summary Report*.

The CMO must submit a member materials distribution plan to the OMPP quarterly. All member outreach, marketing, and education materials must be submitted to the OMPP for approval prior to distribution and in accordance with the OMPP policy. Any outreach and marketing activities (written and oral) must be presented and conducted in an easily understood manner and format, at a fifth grade reading level, and must not be misleading or designed to confuse or defraud members or potential members. Examples of false or misleading statements include, but are not limited to:

- Any assertion or statement that the member or potential member must enroll in the CMO to obtain benefits or to avoid losing benefits
- Any assertion or statement that the CMO is endorsed by the Centers for Medicare & Medicaid Services (CMS), the federal or state government, or a similar entity

The CMO cannot entice a potential member to join the CMO by offering the sale of any other type of insurance as a bonus for enrollment, and the CMO must ensure that a potential member can make his or her own decision as to whether to enroll.

The CMO may provide (at its own cost, including any costs related to mailing) an informational brochure or flyer to the State's enrollment broker for distribution to potential *Care Select* enrollees at the time of PMP selection. The CMO may submit poster-sized (11" X 17") promotional materials to the OMPP for approval. Upon the OMPP's approval, the CMO can make these posters available to the local county office of the Division of Family Resources (DFR) and enrollment centers for display in an area where *Care Select* application or member enrollment occurs. Each local county Office of Family Resources (OFR) and enrollment center may display these promotional materials at its discretion. The CMO may display these same promotional materials at community health fairs or other outreach activities. The OMPP must pre-approve all promotional and informational brochures or flyers and all graphics prior to display or distribution.

If the CMO wishes to use the *Care Select* logo, the CMO must request approval from the OMPP for each desired use. Any approval given for logo use is specific to the use requested, and shall not be interpreted as a blanket approval.

Section 8: CMO and Provider Enrollment

Overview

All CMOs must have an executed contract on file with the IFSSA and must submit completed CMO enrollment information to the fiscal agent. The CMO is required to provide education and enrollment services for its healthcare provider network. The CMO must obtain approval from the OMPP prior to distribution of all provider materials.

All providers, including out-of-state providers, which render services to *Care Select* members in a care management organization (CMO) health plan must be enrolled in the IHCP. Providers must also agree to comply with all IHCP regulations and State standards for access to care and quality of services. On behalf of the State, the CMO must request providers to sign the *Care Select* addendum to the IHCP Provider Agreement in order to participate in *Care Select*. The addendum can be found in the Managed Care Forms Section at <http://www.indianamedicaid.com/ihcp/index.asp>.

CMO Enrollment

After the execution of a contract between IFSSA and the CMO, the IFSSA submits a written request to the fiscal agent (EDS) to enroll the CMO in *IndianaAIM*.

The CMOs are required to complete the *CMO Care Select Enrollment Form* and *CMO Supplemental Contact Information Enrollment Form*. These forms are submitted to the fiscal agent's care management manager. The *CMO Care Select Enrollment Form* includes the CMO name, address, contact name, telephone number, CMO regions, electronic funds transfer (EFT) information, update authorizations contact information, CMO contact information, financial contact information, and tax information. The *CMO Supplemental Contact Information Enrollment Form* informs the fiscal agent of additional addresses and telephone numbers for supplemental functions not included in the *Care Select* CMO Enrollment Form. If changes occur to the above enrollment information, the CMO must complete the *CMO Care Select Enrollment Update Form* and submit it to the fiscal agent.

The *CMO Care Select Enrollment Form*, *CMO Supplemental Contact Information Enrollment Form*, and the *CMO Care Select Enrollment Update Form* can be found in the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>.

On verification of the required information, EDS enrolls the CMO in *IndianaAIM* and sends confirmation letters to the IFSSA and the CMO. The letters contain the CMO's unique identification number comprised of 10 digits, for example, 9999999999. The 10th digit denotes the region of the state in which the CMO is enrolled. If the CMO is enrolled in more than one region, the ID number remains the same, with only the 10th digit changing for each service region. For example, if the CMO is enrolled in regions 1 and 2, the ID numbers would be 9999999991 and 9999999992. The numeric region identifiers are listed in Table 8.1.

Table 8.1 – CMO IDs and Region Identifiers

CMO IDs	
ADVANTAGE 800238220	MDwise 800680500
Region Identifier	Region Name
1	Northwest

CMO IDs	
ADVANTAGE 800238220	MDwise 800680500
Region Identifier	Region Name
2	North Central
3	Northeast
4	West Central
5	Central
6	East Central
7	Southwest
8	Southeast
9	Out of State/IFSSA

Provider Education and Outreach Activities

The CMO must educate its contracted providers, including behavioral health providers, about provider requirements and responsibilities, the CMO's prior authorization policies and procedures, clinical protocols, member's rights and responsibilities, claim dispute resolution process, pay-for-performance programs, and any other information relevant to improving the services provided to the CMO's *Care Select* members.

The CMO is responsible for ensuring that its provider network is trained about and is aware of the cultural diversity of Indiana *Care Select* population and competent in respectfully and effectively interacting with individuals with racial, ethnic, and linguistic differences.

The CMO will educate its provider network about the following items:

- The care management process
- The various types of chronic conditions and disabilities prevalent among Indiana *Care Select* members
- The various screening and assessment tools used in Indiana *Care Select*
- Awareness of personal prejudices
- Legal obligations to comply with the Americans with Disabilities Act (ADA)
- Scope of benefits
- Definitions and concepts such as communication access, medical equipment access, physical access, and access to programs
- The types of barriers that adults with physical, sensory, communications disabilities, developmental, or mental health needs face in the healthcare industry, and the resulting access and accommodation needs

The CMO must submit all promotional, training, educational, and outreach materials to the OMPP for review and approval at least 30 calendar days prior to use and distribution. The CMO must develop and include a CMO-designated inventory control number on all provider material with a date issued or date revised clearly marked to facilitate the OMPP's review and approval process. Upon the OMPP's approval, the CMO may distribute provider materials to the provider community.

Provider Credentialing and Recredentialing Policies and Procedures

The following subsections dealing with credentialing and recredentialing are a summary of current National Committee for Quality Assurance (NCQA) standards. CMOs must refer to the National Committee for Quality Assurance (NCQA) standards for further detail.

Credentialing

The CMO must have credentialing procedures to determine whether physicians and other healthcare professionals under contract with the CMO are licensed by the State and are qualified to deliver healthcare services.

The CMO must have written policies and procedures for credentialing healthcare professionals it employs and with whom it contracts. The CMO must have documented plans to periodically review and revise policies and procedures. If the CMO contracts with a hospital that conducts the CMO's credentialing activity, the CMO must have access to the hospital credentialing files. At minimum, the CMO must obtain and review verification of the following:

- A current valid license to practice
- Status of clinical privileges at the hospital designated by the practitioner as the primary admitting facility
- Current and valid Drug Enforcement Administration (DEA) or controlled substance registration (CSR) certificate, as applicable (DEA certificates are not applicable to chiropractic settings)
- Proof of graduation from medical school and completion of a residency, or board certification for medical doctors (MDs) and doctors in osteopathy (DOs), as applicable, since the last time the provider was credentialed or recredentialled
- Proof of graduation from chiropractic college for doctors of chiropractic medicine (DC)
- Proof of graduation from podiatry school and completion of residency program for doctors in podiatric medicine (DPMs)
- Work history that includes a minimum of five years on the *curriculum vitae* (the CMO is not required to verify work histories)
- Current, adequate malpractice insurance, according to the CMO's policies
- History detailing any pending professional liability claims, and claims resulting in settlements or judgments paid by or on behalf of the practitioner
- Proof of board certification if the practitioner states being board certified
- Verification of IHCP enrollment. If it is a group enrollment, verify that the provider is linked appropriately to the group, and verify that the provider is enrolled at the appropriate service locations.

The credentialing policies and procedures must specify the professional criteria required to participate in the CMO. Each practitioner file must contain sufficient documentation to demonstrate that these criteria are evaluated. Primary sources used by the CMO to verify credentialing information must be included in its policies and can include use of external agencies, such as county medical societies, hospital associations, or private verification services.

Mechanisms for Credentialing and Recredentialing

The CMO must document the mechanism for credentialing and recredentialing MDs, DOs, DPMs, and DCs that fall under the CMO's scope of authority and action, and with whom it contracts or employs to treat members outside the inpatient setting. This documentation includes, but is not limited to, the following:

- The scope of practitioners covered
- The criteria and the primary source verification of information used to meet these criteria
- The process used to make decisions
- The extent of any delegated credentialing or recredentialing arrangements

Policies and procedures must specify the requirements and the process used to evaluate practitioners. Selection decisions must be based on the network needs of the CMO and practitioners' qualifications. Selection decisions cannot be based solely on a practitioner's membership in another organization, such as a hospital or medical group.

Policies and procedures must include physicians and other licensed independent practitioners who are subject to these policies, and criteria to reach a decision.

The CMO must have a process in place for receiving advice from participating practitioners in credentialing and recredentialing to ensure that procedures are followed consistently. CMOs must seek practitioner expertise on current practice in the medical community and advice on modifying the criteria, as appropriate. This expertise can be obtained from a committee with participating practitioner representation or from consultation with participating practitioners.

Participating practitioners must complete an application for membership on such a committee. Through the application process, the practitioner discloses information about health status and any history of issues with licensure or privileges that may require additional follow-up. A signed attestation statement on the application ensures that the practitioner has completed it in good faith.

Before making a credentialing decision, the CMO must have the following information on the practitioner:

- Information from the National Practitioner Data Bank (NPDB). NPDB is not applicable to chiropractors or podiatrists.
- Information about sanctions or limitations on licensure from the State Board of Medical Examiners, Federation of State Medical Boards, or the Department of Professional Regulations, if available
- Information from the State Board of Chiropractic Examiners or the Federation of Chiropractic Licensing Boards
- Information from the State Board of Podiatric Examiners
- Previous sanction activity by Medicare and the IHCP

Evidence indicating that the CMO has obtained information from the previously designated organizations must be included in the credentialing file.

Credentialing – Initial Visit

The CMO credentialing process must include an initial visit to the offices of all potential primary medical providers, including all obstetricians and gynecologists (OB/GYNs). There must be a structured review that evaluates the site against the CMO standards. The initial site visit must also include documentation of the evaluation of the medical record-keeping practices at each site to ensure

conformity with the maintenance of medical records. [Section 7: Member Services](#) outlines this documentation.

Recredentialing

The CMO must have a formal recredentialing process that verifies the credentialing information subject to change over time. The recredentialing process must be organized to verify the information through a primary source on the current standing of items listed in this section, such as member complaints, quality reviews, utilization management, and member satisfaction. The description of the recredentialing process must include data from at least three of the following six sources:

- Member complaints
- Quality reviews (practice-specific)
- Utilization management (profile of utilization)
- Member satisfaction (practice-specific)
- Medical record review
- Practice site reviews

The recredentialing evaluation process must use these data as objective evidence in the reappraisal of professional performance, judgment, and clinical competence. There must be evidence that the CMO has taken action based on the data. Examples of actions taken include continuation in the CMO, required participation in continuing education, required supervision, a clear plan for improvement with the practitioner, evidence of changes in the scope of practice, or termination of the practitioner from the CMO.

Recredentialing Practice Site Visit

The CMO must conduct an on-site visit at the time of recredentialing to determine if there have been any changes in the facility, equipment, staffing, or medical record-keeping practices that would affect the quality of care or services provided to members of the CMO. Primary medical providers, OB/GYNs, and other high-volume specialists must be included in this site visit. The CMO is responsible for determining which high-volume specialists are subject to this visit, based on its own experience with the specialist.

Altering Conditions of Provider Participation

CMOs must have plans for developing and implementing policies and procedures for altering conditions of a provider's participation with the CMO due to issues of quality of care and service. These policies and procedures need to specify actions the CMO may take before terminating the provider's participation with the CMO. Policies and procedures must have mechanisms in place for reporting serious quality deficiencies to the OMPP that could result in a provider's suspension or termination. These policies and procedures must specify how reporting occurs and the individual staff members responsible for reporting deficiencies.

The policies and procedures must include a well-defined appeals process for instances in which the CMO decides to alter the provider's condition of participation because of quality of care or service issues. The CMO must ensure that providers are aware of the appeals process. Policies and procedures must include mechanisms to ensure that providers are treated fairly and uniformly.

Credentialing Provider Healthcare Delivery Organizations

The CMO must have policies and procedures for credentialing healthcare delivery organizations, including, but not limited to, hospitals, home health agencies, freestanding surgical centers, laboratories, and subcontracted networks of providers.

Every three years after the initial contract, the CMO must confirm the following:

- That the organizations are in good standing with state and federal regulatory bodies
- That the organizations have been reviewed and approved by an accreditation body
- That the organizations conform to the previously mentioned requirements

The CMO must also develop standards of participation and assess these providers accordingly, if the provider has not received accreditation.

Clinical Laboratory Improvement Amendments

CMOs must arrange for laboratory services only through laboratories with Clinical Laboratory Improvement Amendments (CLIA) certificates.

Provider Service Locations

PMPs can designate any number of service locations that accept *Care Select* assignments.

Note: Physicians must be enrolled with the IHCP at these service locations before they can designate the locations as PMP service locations.

Physicians can download IHCP applications from the IHCP Web site at <http://www.indianamedicaid.com/ihcp/index.asp>. CMOs must verify that the physician is IHCP enrolled prior to submitting a PMP enrollment to the EDS Managed Care enrollment specialist. PMPs can treat *Care Select* members at any enrolled service location. PMPs participating in a CMO can have service locations in any Indiana county that the CMO's state contract allows.

Out-of-State Providers

To enhance access to primary care in areas with an inadequate number of PMPs, the OMPP permits out-of-state PMPs to enroll in the program in areas where limited access has been identified. PMPs with out-of-state service locations are available for voluntary selection by members.

Out-of-state providers are allowed to be PMPs; however, auto-assignments occur only to those with IFSSA out-of-state designations. Other out-of-state PMPs receive only self-selections. The IFSSA out-of-state designations are defined in 405 IAC 5-5-2 and are delineated as cities that reside outside the state of Indiana, that are excluded from out-of-state prior authorization (PA) requirements, and that are required to follow in-state PA requirements. The cities defined as IFSSA out-of-state designations are as follows:

- Danville, Illinois
- Watseka, Illinois
- Louisville, Kentucky
- Owensboro, Kentucky

- Sturgis, Michigan
- Cincinnati, Ohio
- Hamilton, Ohio
- Harrison, Ohio
- Oxford, Ohio
- Chicago, Illinois (effective July 1, 2006)

Residency Programs

To promote long-term relationships for *Care Select* members, physicians practicing in group residency programs are not eligible to enroll as PMPs in *Care Select*. The frequent turnover of physicians in a residency program disrupts the continuity of care essential to a care management program. Residents can provide care to *Care Select* members only if the residency program's faculty physicians are participating PMPs and are enrolled in IndianaAIM in the same billing group as the resident physicians. The PMP or faculty physician retains responsibility for the care provided to *Care Select* patients and must provide oversight to the resident physician consistent with the residency program's stated procedures.

Care Select members are linked to the supervising physician as the PMP of record, and the IHCP eligibility systems provide that doctor's name as the PMP on the Eligibility Verification System (EVS).

School-based Clinics

Some *Care Select* members are eligible for and receive medical services in a school-based clinic. These clinics typically have funding sources other than IHCP and do not bill the IHCP for the services they provide. For school-based clinics to bill for services provided to *Care Select* enrollees, the clinics must be IHCP-enrolled providers. Clinics that expect reimbursement must obtain CMO authorization prior to providing services. Services provided in a school-based clinic are usually limited to EPSDT, immunizations, or other primary care and preventive services.

School corporations can also provide IHCP-covered services to students as part of an individualized education plan (IEP). All claims for services provided to *Care Select* members as part of an IEP that are billed by provider specialty 120 – school corporation are billed to the fiscal agent. The OMPP strongly encourages CMOs to collaborate with school-based programs in the delivery of care to their members and to encourage their PMPs to assist in the coordination of medical services.

Pre-enrollment Provider Education

The CMOs can educate physicians interested in becoming PMPs about *Care Select* through face-to-face training sessions, brochures, and videos. The OMPP must approve prior to distribution all education and outreach materials designed for distribution to physicians interested in becoming PMPs.

Prior to enrolling PMPs in the CMO program, CMOs are encouraged to educate providers about the following:

- *Care Select* goals
- Member PMP selection and PMP change processes
- Practice requirements of a PMP, including the following:
 - Panel size limits

- On-site availability requirements
- 24-hour access standards
- Provider disenrollment
- Preventive health standards and requirements
- Referral standards (for example, referrals for continuity of care)
- Quality improvement requirements, including EPSDT
- Self-referral services
- Billing and reimbursement practices
- Covered and excluded services and referral practices
- Other relevant CMO-specific information

Note: All prospective PMPs must first be enrolled in the IHCP at the service location at which they want to be enrolled as PMPs. CMOs must verify IHCP enrollment with prospective PMPs prior to submitting PMP enrollment through Web interChange. If the prospective PMP is not IHCP-enrolled, the CMO must tell the physician to contact EDS for an enrollment application, or the physician (or physician's group) can download the appropriate application from the Web site at <http://www.indianamedicaid.com/ihcp/index.asp>.

Post-Enrollment Provider Education

As part of the enrollment process for network PMPs, the CMO must educate PMPs about the following:

- *How PMPs are notified about panels* – EDS provides member enrollment roster information to the member's contracted health plan PMPs. The CMO can retrieve a complete list of enrolled members (Enrollment Roster 834) with PMP assignments from EDS. Enrollment rosters are described in [Section 9: Member Eligibility and Enrollment](#).
- *Universally accepted standards of preventive and other care* – These standards are determined by the CMO. CMOs are strongly encouraged to employ the practice standards provided later in this section. *Care Select* updates these practice standards as needed.
- *Medical records retention and availability* – This information is described in this section.
- *PMP authorization requirements* – This information is described in this section.
- *IHCP-covered services* – This information is described in [Section 6: Care Select Services](#).
- *Provider claims dispute* – These procedures are developed by the CMO. Minimum requirements are described later in this section.
- *Provider help line* – CMOs must offer a telephone help line to providers. The CMO must report provider help-line performance statistics, as described in the *CMO Reporting Manual*. The CMO help-line staff must be prepared to respond to provider concerns including, but not limited to, the following:
 - Enrollment and disenrollment from the CMO
 - Covered services
 - Self-referral services
 - Provider network development, as described in [Section 10: Network Development, Services and Data](#) of this manual
 - Quality improvement requirements, as described in [Section 14: Quality Improvement Program and Performance Reporting](#) of this manual

- Billing requirements
- Eligibility issues
- Preventive health standards and requirements (including EPSDT)
- *Reassignment of a member to another PMP* – This process, as initiated by the provider, is described in [Section 9: Member Eligibility and Enrollment](#).

Provider Enrollment

The CMO components of *Care Select* are subprograms of the IHCP. As such, participating providers must be IHCP-enrolled. The CMO is responsible for ensuring that all its providers are IHCP-enrolled at the service location where they wish to participate as PMPs. The CMO is also responsible for ensuring that there are sufficient providers to adequately serve the enrolled members.

Provider enrollment activities are governed by the following criteria:

- CMO provider outreach personnel assume responsibility for education of providers enrolled in the CMO. State-contracted provider personnel from the enrollment broker or the fiscal agent can also provide general information about *Care Select* and all its health plans.
- Once enrolled in the IHCP, PMPs contract with the CMOs for their health plans. PMPs are allowed to enroll with multiple CMOs and maintain member enrollment in each CMO.
- PMPs determine the maximum panel limits of *Care Select* members for each CMO. The OMPP monitors each CMO's PMP network to evaluate its member-to-PMP ratio on at least a quarterly basis.
- If a PMP disenrolls from *Care Select* or disenrolls as an IHCP provider entirely, CMOs must ensure that members continue to receive care until another PMP is chosen or assigned. Further information about PMP disenrollment is contained in this section.

Indiana Health Coverage Programs Provider Enrollment Processing

To participate as a PMP or specialist in *Care Select*, a provider must be enrolled as an IHCP provider. A provider is enrolled in the IHCP when all the following conditions have been met:

- The provider is duly licensed, registered, or certified by the appropriate professional regulatory agency pursuant to State or federal law, or otherwise authorized by the IFSSA.
- The provider has completed, signed, and returned an IHCP Provider Agreement and any other forms required by the IHCP.
- The provider has been assigned an IHCP provider number and reported its National Provider Identifier (NPI) in accordance with the mandatory NPI reporting requirements.
- Physicians must be actively enrolled at the service location where they wish to practice as a PMP prior to enrolling as a PMP at that location.

There are two types of IHCP providers:

- Billing providers (sole proprietorship or group)
 - A *sole proprietorship* is a provider who owns a practice location where he or she is the sole practitioner performing services with an unshared tax ID number.
 - A *group* is a business entity that owns one or more service locations where providers are employed or contracted to perform professional services on behalf of the business entity.
- Group members (rendering providers)

- A *group member* is a rendering provider who is employed or contracted to render services to IHCP members. Group members cannot have a billing service location in IndianaAIM. All services are billed using the group's ID number.

The IHCP provider enrollment procedures are designed to ensure timely, accurate, and efficient processing of provider enrollment applications. This procedural base is the focus of provider participation and is critical for accurate claims processing. It is the CMO's responsibility to ensure that any health plan providers delivering services to members in *Care Select* are enrolled as IHCP providers. Providers complete the initial enrollment by completing the *Indiana Health Coverage Programs Provider Agreement* and submitting it by mail to:

EDS Provider Enrollment Unit
P.O. Box 7263
Indianapolis, IN 46207-7263

Detailed information about compiling the provider enrollment application and agreement is found in the *IHCP Provider Manual* on the Web site at <http://www.indianamedicaid.com/>. Providers may download enrollment applications from this Web site. Providers may also contact Customer Assistance by telephone at 1-877-707-5750 to request enrollment applications and to obtain answers to questions about provider enrollment in the IHCP.

After completing IHCP enrollment, PMPs enroll with the CMO to participate in a CMO health plan.

CMO PMP Enrollments and Updates

The CMOs can submit individual PMP enrollments for their health plans through **Web interChange > PMP Enrollment**.

The CMOs can also update the existing PMP's scope-of-practice, panel-hold status, and panel-size information. Panel-size and network updates require effective dates that are future dates – in other words, at least one day after the date of entry. Updates to the panel size are viewable the day after data entry or when the change becomes effective. Updates to the panel-hold and scope-of-practice information are processed the day the update is completed in PMP Update using Web interChange. They are viewable in **Web interChange > Provider Profile**.

Access Web interChange from the Indiana Health Coverage Programs Web site at <https://interchange.indianamedicaid.com/Administrative/logon.aspx>. All CMOs must enroll in Web interChange as group administrators and establish Web interChange user IDs and passwords. The CMO group administrator has the ability to assign users and to assign users appropriate access. For information on how to enroll, review the Help section of the Web interChange Logon page or the *IHCP Provider Manual, Chapter 3*.

After logging into Web interChange, you must click the **Provider Profile** link. You have the option to view the provider profile, enroll a PMP, update PMP information, view a list of EDS provider field consultants, and download program forms, such as the PMP Enrollment and Update forms. Only users who are assigned access to the PMP Enrollment Membership task will see the *Enroll a PMP, Update PMP*, or the *PMP Enrollment and Update Forms* section on the provider profile menu. You also have access to Help text to assist with the processes for PMP enrollment and update.

The CMO must complete the PMP election process by entering the NPI or group or billing ID, selecting a service location and, if a group provider, selecting the applicable rendering provider. After the selection of the PMP, the CMO must enter the 24-hour telephone number, scope-of-practice information, and panel size. Once the CMO data entry is complete and has passed the system cross editing, the CMO must click **Submit**. A confirmation Web page appears with the statement that the PMP enrollment has been successfully processed. The window also includes the submission date, enrollment date, CMO name, provider number, group number, and alpha service location ID. To

confirm that the enrollment has been accepted, the CMO can view the PMP enrollment information in the Provider Profile.

The following paragraphs outline the paper enrollment process that can be used if system issues prevent PMP enrollment through Web interChange.

Paper File Submission

The form for enrolling a PMP in the CMO health plan may be found on Web interChange-PMP Enrollment page, and the IHCP Web site at the *Care Select* CMO Question and Answer Web page at <http://www.indianamedicaid.com/ihcp/CMO/qa/>.

CMOs submit enrollment forms to the EDS Managed Care Unit as indicated on the enrollment form or fax them to the attention of Managed Care enrollment at (317) 488-5020. The following procedure has been implemented to allow the EDS Managed Care Unit to readily identify a submission as belonging to a CMO, and to provide the CMO with a means of confirmation that the enrollments have been processed:

- On receipt of the CMO's PMP enrollment forms, the EDS PMP enrollment coordinator enters the data into IndianaAIM, verifying the following information:
 - Valid provider numbers
 - IHCP eligibility
 - Valid PMP provider type and specialty
 - Valid IHCP service location
 - Valid group and individual relationships
 - Number of PMP service locations
 - Acceptable panel size
- The EDS PMP enrollment coordinator confirms the disposition of the enrollments by sending an e-mail confirmation to the submitter.

Because PMP enrollment in the CMO health plan is a manual process, no exception reports are generated.

Care Select Provider Addendums

On behalf of the State, CMOs are required to obtain a signed *Care Select* provider addendum for each provider enrolled in *Care Select*. The addendums should include the provider's original signature. The original signature page of the addendum must be forwarded to the fiscal agent for storage and future auditing inquiries. A copy of the addendum can be found in the Forms section of the IHCP Web site at http://www.indianamedicaid.com/ihcp/CareSelect/cs_index.asp and in the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>.

The CMO should submit a batched packet of addendums weekly by mail to the following address:

EDS
950 N. Meridian Street, #1150
Indianapolis, IN 46204-4288
Attention: EDS Provider Enrollment

The packet should include an attention line that states **Attention: EDS Provider Enrollment**. Each addendum should include the provider's name and the NPI provider number used in the Web PMP enrollment or ancillary provider file process. The provider numbers assist in the correct identification of the *Care Select* provider.

The managed care unit conducts monthly audits to ensure that the addendums have been received for each provider enrolled in *Care Select*.

Changes to PMP Scope of Practice

PMPs may request changes to their scope-of-practice information by contacting their affiliated CMOs. The scope-of-practice information includes the following:

- Admit Privileges – Options: Relationship or Privileges
- Delivery Privileges – Options: Yes or No
- Age Restrictions – Options: None, 0-2 years of age, 0-12 years of age, 0-17 years of age, 0-20 years of age, 13-17 years of age, 13-20 years of age, 21 years of age and older, 3 years of age and older, 17 years of age and older, 13 years of age and older
- 24-Hour Telephone Number and Extension
- Accept Obstetrics – Options: Yes or No
- Accepts All Women – Options: Yes or No
- Panel Size
- Panel Size Hold
- Panel Size Hold Removal
- Gender – Options: Male, Female, Male/Female

On receipt of a change request from a PMP, the CMO can perform a change through **Web interChange > Provider Profile > Update a PMP**. If Web interChange is not available, the CMO can submit the *Managed Care PMP Panel Size/Panel Hold Request Form* to the fiscal agent PMP enrollment specialist who updates the PMP's record in IndianaAIM to reflect the change.

Panel Size

A PMP designates the desired panel size as part of the PMP enrollment process. The panel size is the number of *Care Select* members a PMP agrees to accept. The individual PMP determines the maximum.

PMPs who request an increase to their panel sizes must maintain acceptable quality and access standards, such as the following: 24-hour availability, appointment access times, quality and timely healthcare provision consistent with established community standards of care, minimal number of member complaints, and so forth.

The panel size includes only *Care Select* enrollees and does not include IHCP enrollees in other programs. Physicians treating children with special healthcare needs are subject to the same panel size requirements as other PMPs. The program requires that only individual physicians, and not physician groups, enroll as PMPs. The panel size is applicable to the PMP and not to the individual service locations at which a PMP may practice. The panel of a PMP enrolled with two *Care Select* service locations is a combination of the patients assigned to each location. For example, if a PMP is enrolled with a panel size of 500 and has two active service locations, the members assigned to the PMP are spread across the two locations.

The panel size applies to an individual PMP and may not be shared among a group of PMPs. Because *Care Select* members are assigned to a specific PMP and not to a group, a group practice cannot opt to

share a panel of 600 members assigned to the group. A billing group of four PMPs could each enroll with a panel of 150 members and provide services to members assigned to other group members.

Changes to Panel Sizes for Currently Enrolled PMPs

Currently, enrolled **PMPs can increase their panel sizes** at any time by submitting written requests to the CMO. After receiving a PMP's request for a panel-size increase, the CMO should submit the panel-size update with the effective date of the new panel size through the PMP Update process located in **Web interChange> Provider Profile > Update**. If Web interChange is not available, the CMO can submit the *Managed Care PMP Panel Size/Panel Hold Request Form* to the fiscal agent's provider enrollment specialist, who updates the PMP's record in *IndianaAIM* to reflect the change. This form is located in the *Care Select CMO Question and Answer Web site* at <http://www.indianamedicaid.com/ihcp/cmo/qa>.

PMPs can also request decreases in their panel sizes at any time by making written requests to the CMO. However, the number of members assigned to the PMP's panel does not immediately drop. When a PMP submits a request to reduce panel size, members are not removed from the PMP's panel. CMOs must understand this and communicate this to PMPs who request panel-size decreases. On receipt of a panel-size reduction request from a PMP, the CMO submits the panel-size update with the effective date of the new panel size through the PMP Update process in **Web interChange>Provider Profile>Update a PMP**. The panel size updates are processed immediately and are viewable in the Web Provider Profile.

If Web interChange is not available, the CMO can submit the *Managed Care Network PMP Panel Size/Panel Hold Request Form* to the fiscal agent PMP enrollment specialist, who updates the PMP's record in *IndianaAIM* to reflect the change.

Panel Full Updates

The maximum increment can be relaxed at the request of the PMP, allowing a PMP with a full panel to add members as follows:

- The member has a previously established relationship with the PMP, as determined by the enrollment broker's established criteria.
- The family member of a current panel member (identified by a common case number) selects the PMP.
- The member and the PMP are in agreement with the request.

The enrollment broker controls requests to add to full panels. After the enrollment broker confirms that a request meets the criteria outlined, the broker coordinates the request with the fiscal agent's PMP enrollment coordinator. When the enrollment has been entered in *IndianaAIM*, the enrollment broker notifies the CMO of the addition to the PMP's panel.

Panel-hold Requests

A PMP can request a panel hold to prevent new assignments to the practice. The panel hold applies to assignments by selection or default auto-assignments. CMOs must educate their PMPs that panel holds do not stop assignments of members with the same case IDs or members who have had previous relationships with a PMP (auto-assignment's case ID and previous PMP logic). Panel hold requests are usually granted in situations expected to be temporary and are not to be used to manipulate a PMP's panel with regard to a specific member assignment. The reasons for panel hold requests are documented and monitored to maintain the program's integrity for access reporting and to ensure

adequate openings to accommodate new *Care Select* enrollees who self-select or are auto-assigned to PMPs within the program.

On receipt of a request to place a PMP's panel on hold, the CMO submits the panel-hold update through the PMP Update process located in **Web interChange> Provider Profile > Update a PMP**. The panel hold update is effective the day the submission is completed. If Web interChange is not available, the CMO can submit the *Managed Care PMP Panel Size/Panel Hold Request Form* to the fiscal agent's provider enrollment specialist, who updates the PMP's record in IndianaAIM to reflect the change.

Reasons for Granting a PMP Panel Hold Request

The following are examples of acceptable reasons for granting PMP panel-hold requests:

- The PMP has a personal situation such as maternity leave or short-term disability.
- The PMP is temporarily unable to accept new assignments for professional reasons, such as moving practice location.
- The PMP is taking a temporary leave of absence from the practice.
- The CMO is researching contractual issues with the PMP, such as quality-of-care issues or other concerns identified by the program.

Temporary Removal of an Approved Panel Hold

PMPs with an approved panel hold can request to have the hold temporarily removed to have a family member of a current patient added to the PMP's panel. Implementation of this procedure is time-sensitive to prevent auto-assignments while the panel hold is temporarily removed. Because this requires a manual intervention of the panel hold, the CMO must be aware of the following processing requirements:

1. The CMO forwards the member's request to enroll with a PMP with a panel hold to the enrollment broker for special processing.
2. The enrollment broker receives a member enrollment request with notification from a PMP that the member is being added to its panel.
3. The enrollment broker updates the PMP's panel to *No hold*.
4. The enrollment broker enrolls the approved *Care Select* member to the PMP as requested, updates the panel to *Panel Hold*, and immediately notifies the CMO when the enrollment is complete.

This process must be completed in one day to avoid the possibility of unintended assignments to the PMP during the time the panel hold was removed.

Exceptions to the Panel Hold Request

CMOs and PMPs must understand that panel-hold requests prevent self-selection and most auto-assignments of new members. PMPs with panel holds continue to appear on provider lists from which potential *Care Select* members make PMP selections. Except for members with previous relationships with *Care Select* PMPs or with family members (identified by a common case number) of current panel members, new members are not assigned during the temporary panel hold period. Again, it is important for CMOs to communicate this to their PMPs.

Provider Disenrollment

A PMP can be disenrolled from *Care Select* for various reasons. The PMP disenrollment process was designed to provide continuing care for *Care Select* members whose PMPs leave *Care Select* and are no longer available to its members. A timing guide for this process is contained in [Appendix B : PMP Disenrollment Time Line](#).

Overview of PMP Disenrollment Reasons

Disenrollment processes are designed to accommodate *Care Select* members when the PMP becomes unavailable because of immediate, unforeseen reasons such as death or loss of license. When a PMP disenrolls for such a reason, members assigned to that PMP are auto-assigned to another PMP to allow continuous access to healthcare in *Care Select*.

Other disenrollment processes are designed to allow an orderly transition of care for *Care Select* members assigned to PMPs who become unavailable due to retirement, a move to a different health plan, or other circumstances that are known in advance. When a member is linked to a PMP who disenrolls for such reasons, the CMO may notify the members of the pending disenrollment and encourage them to select another PMP prior to the date the current PMP becomes unavailable. The new assignment is processed as a PMP change and is submitted to the enrollment broker for entry into *IndianaAIM*.

PMP disenrollments fall into two general categories:

- Disenrollment without re-enrollment occurs in circumstances where the PMP disenrolls (or is disenrolled) from his or her current *Care Select* health plan and is not available to members in a different *Care Select* health plan. Examples include the PMP's death, loss of license, retirement, relocation out of a *Care Select* service area, disenrollment from *Care Select* for any other reason, or IHCP provider enrollment termination. Members linked to a PMP that is disenrolled without re-enrollment are usually notified to self-select a new PMP within the CMO and are linked through a systematic batch assignment process by the enrollment broker.
- Disenrollment with re-enrollment allows an orderly transition of *Care Select* members assigned to a PMP from one *Care Select* health plan or service location to the same PMP in a different *Care Select* health plan or service location. When a PMP disenrolls and re-enrolls, members linked to that PMP are usually auto-assigned to the same PMP in a different health plan or service location.

Submitting the PMP Disenrollment Request

CMOs are responsible for submitting PMP disenrollments to EDS for processing in *IndianaAIM*. The disenrollment request includes the following information submitted on the transmittal forms in the *Care Select* CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa>:

- CMO name
- PMP name, individual and group provider numbers, and service locations (alpha code)
- Signed letter from the PMP or PMP's representative stating the intent to disenroll and the reason for the disenrollment. The signed letter from the PMP should contain a requested effective date. If the PMP declines to provide the disenrollment reason in writing, the PMP is unavailable to sign (for example, the PMP moved and did not leave contact information, or has died), the CMO can provide the disenrollment reason in a cover letter requesting the disenrollment.
- Contact information of the authorized CMO representative
- Notification of whether disenrollment notification letters must be suppressed

The detailed PMP disenrollment processes indicate whether or not letters are automatically generated due to the disenrollment reason. There may be instances in which EDS determines that a letter to a *Care Select* member should be suppressed – for example, if a PMP disenrolls from one service location, but is available to *Care Select* members at a different location with the same address as a result of change in ownership of a group practice.

A CMO can decide to use the automated PMP disenrollment process for a circumstance that differs from the intention of the original design. Some instances can require immediate reassignment of the members to another PMP. For example, a PMP may fail to meet the health plan standards during recertification or other review processes. If the CMO does not have sufficient time to notify the PMP's members of disenrollment, the CMO can submit a disenrollment request, causing the members to be immediately auto-assigned to available PMPs in his or her health plan.

It is incumbent upon the CMOs to fully understand the PMP disenrollment process and to use it within *Care Select*'s stated policies and philosophy of providing access, continuity, and quality care to its membership. The following pages provide detailed information about the PMP disenrollment reasons and the result of each. The designations described here illustrate how the Managed Care Unit and IndianaAIM process PMP disenrollments. CMOs and the enrollment broker need only identify the disenrollment scenario. EDS assigns the appropriate disenrollment reason code based on the scenario provided.

PMP Disenrollment without Re-enrollment from the CMO

A PMP can disenroll from a *Care Select* CMO, or from *Care Select* entirely. Examples of disenrollment without re-enrollment include the following:

- The PMP's individual or group IHCP eligibility is terminated due to death, loss of license, or disability.
- The PMP's specialty changes to a nonprimary care specialty.
- The PMP's enrollment within a group is terminated.
- The PMP's service location is no longer active.
- The provider is moving the practice out of the CMO service area.
- The provider closes the practice due to retirement or other reason.

In these situations, the PMP gives some prior notice to the CMO, allowing for transition of the patient panel to another PMP within the CMO's health plan. After the CMO becomes aware of a PMP's intent to disenroll from the CMO health plan or from *Care Select*, the CMO does the following:

- Immediately notifies EDS in writing of the PMP's intent to disenroll
- Facilitates member assignments to other PMPs within the health plan
- Forwards member PMP changes to the enrollment broker for systematic processing in IndianaAIM
- **Must provide** EDS written notice specifying the projected end date at least five working days prior to the 24th of the month before the month in which the disenrollment is effective. The disenrollment notice, submitted on the disenrollment request form, includes the following:
 - CMO name
 - PMP name
 - Provider individual and group ID numbers
 - Service locations
 - Signed letter from the PMP stating the intent to disenroll, including the disenrollment reason and effective date
 - Contact information of the authorized CMO representative

- CMO cover letter with disenrollment reason (While a signed letter from the PMP is required, except in the case of death, the CMO can provide the disenrollment reason in a cover letter with the disenrollment request if the PMP declines to specify the reasons for disenrollment in the signed letter.)

CMOs can write a customized letter to the members of a disenrolling PMP to provide information about the PMP's departure from the health plan, and information about the selection and transition to a new PMP. The OMPP must approve all customized letters. On receipt of notification from the CMO of the PMP's intent to disenroll, EDS does the following:

- Enters disenrollment pending on the IndianaAIM provider file. This begins the disenrollment process, prevents the PMP from receiving any new member assignments, and suppresses the provider's name from future PMP listings.
- Confirms that the disenrollment has been processed with the requestor
- Initiates the systematic entry of the PMP disenrollment date in IndianaAIM
- Generates confirmation letters to members who have chosen a new PMP, as shown in Member and PMP Correspondence of the *Care Select* CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa>
- Sends a PMP disenrollment confirmation letter to the PMP, as shown in Member and PMP Correspondence of the *Care Select* CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa>
- Sends the PMP disenrollment confirmation letter to the CMO, as shown in Member and PMP Correspondence of the *Care Select* CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa>
- The disenrollment without re-enrollment of a PMP from a CMO health plan requires the CMO to facilitate the assignment of the PMP's patients to other health plan PMPs if the PMP is not otherwise available in the *Care Select* health plan. The CMO is responsible for all members assigned to a disenrolling PMP until another PMP selection has been made.

PMP Disenrollment with Re-enrollment from the CMO

Disenrollment with re-enrollment of a PMP from *Care Select* may be required. PMP disenrollments with re-enrollment are processed if the disenrolling PMP is available to members in a different *Care Select* health plan. Some reasons for a PMP disenrollment with re-enrollment include:

- PMP disenrolls from a group location to open an individual practice location or disenrolls from an individual practice location to join a group
- PMP disenrolls from one group and enrolls with another group
- PMP disenrolls from one CMO health plan and enrolls with another CMO health plan

The CMO initiates the disenrollment process for PMP disenrollments, as described previously. Physicians requiring disenrollment are identified by the CMO with a letter from the PMP stating intent to disenroll from the CMO health plan. CMOs submit the request for PMP disenrollments to the fiscal agent (EDS) using the appropriate *Managed Care Disenrollment Request Form* provided in *Care Select* CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa>.

On notification of a disenrollment, EDS immediately does the following:

- Verifies the disenrollment reason and, if appropriate, enters a disenrollment pending status in the provider file in IndianaAIM to suppress the PMP's name from PMP listings and prevent further member assignments

- Approves the disenrollment effective the last day of the month if notice is received at least five working days before the 24th of the month. Disenrollments approved after the 24th of a month are effective the last day of the following month, with the CMO maintaining responsibility for the PMP's panel until all members are reassigned
- Reenrolls PMP to the new relationship, as noted above
- Notifies members with a letter of the update to their PMP. This letter may also instruct members to call the CMO member services hotline to select another PMP. The Member and PMP Correspondence letters can be found in the *Care Select* CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa>.
- Notifies the PMP with a letter outlining the change
- If the disenrolled PMP is not available to members in *Care Select*, EDS auto-assigns members who have not been reassigned by the 25th day of the month in which the disenrollment occurs to new PMPs within the CMO's health plan (if possible)
- Auto-assigns members to the same PMP at the new service location or new health plan, if applicable
- Generates PMP confirmation letters to members who have been auto-assigned or have made a PMP change

IHCP Disenrollment and PMP Disenrollment

If EDS Provider Enrollment receives an IHCP disenrollment request from an individual provider (a billing provider or dual provider) or from a group requesting disenrollment for one of its members (a service provider), and the provider is a PMP, Provider Enrollment does not process the disenrollment until the PMP disenrolls from care management.

PMP Panel Transfer Requests

Policy

It is the OMPP's policy to allow a *Care Select* PMP or the CMO to request the transfer of the PMP panel to another PMP in the event that the current PMP is unable or unwilling to continue providing service to members assigned to him or her.

The OMPP approves these requests if the current PMP requests the panel transfer, and the members are better served by establishing a new PMP at the same location or one within the CMO health plan. These requests are approved if the request comes from the CMO only if the PMP is not available to make the request on his or her own behalf (for example, due to death or relocation).

These requests must be submitted to the enrollment broker for review and approval before the PMP changes are processed into IndianaAIM. The enrollment broker confirms that the PMP is no longer available to members at a new location or health plan. When the review is complete and approval granted, the enrollment broker notifies the requesting CMO and EDS that the request has been approved. EDS suppresses the member notification letters about the PMP disenrollment, and the member receives the proper IndianaAIM-generated letter advising of the PMP change. If the request is not granted, the enrollment broker notifies the CMO of the denial and the reasons for it.

The CMO submits the PMP changes to the enrollment broker using the appropriate form and the proper change reason code.

Procedure

All parties understand that members may make other selections if they are not satisfied with the selection made by the current PMP or CMO.

The following are the circumstances under which a panel transfer can be requested and the procedures to be followed.

PMP Request

- The PMP signs a letter to request a panel transfer. This letter includes the reason why he or she is no longer willing or able to serve as a PMP. The letter should also name a specific PMP or PMPs who should receive assignment of the current PMP's members.

Note: The PMP must sign the letter. An office staff member should not sign because of the potential for conflict of interest. For example, the PMP may be leaving a group practice and opening a solo practice. The PMP and the group may want to keep the members. However, because members are linked to a PMP and not to a group, members should follow the PMP to the new location. In some cases, the PMP may choose to transfer his or her members because the new practice location is a considerable distance from the current location.

- The CMO must send the enrollment broker the CMO's PMP letter and a Panel Transfer Request Form no later than the 15th of the month for a disenrollment to be effective at the end of that month.
- The enrollment broker reviews the documentation and either approves or denies the request. The enrollment broker generally completes and approves or denies the request, and communicates the decision within 48 hours. However, if it receives insufficient or questionable documentation, it may take longer to process the request, because the enrollment broker must attempt to confirm the request and the fact that the PMP wishes for his or her panel to be transferred.
- When the request is approved, the enrollment broker sends an e-mail notification of the approval to the requesting CMO and EDS.
- When the request is denied, the enrollment broker sends an e-mail notification to the requesting CMO. This e-mail outlines the reasons for the denial.
- The enrollment broker submits a written notification of approval or denial to the CMO.
- The approval document **must** accompany the disenrollment paperwork the CMO sends EDS. This approval form confirms that EDS should suppress the member notification letters of the PMP's disenrollment.
- Upon receiving approval, the CMO should submit the PMP changes to the enrollment broker on the appropriate form with the appropriate change reason code for processing into IndianaAIM.
- Members receive system-generated letters informing them of their new PMP assignments.

Plan Request

- The CMO signs a letter to request a panel transfer. This letter should include the reason the PMP is no longer willing or able to serve as a PMP and why the PMP is not making the request. Appropriate reasons could include death, serious illness, or relocation with no forwarding address or telephone number. The letter should also name a specific PMP or PMPs who should receive assignment of the current PMP's members. The CMO forwards the PMP letter and a CMO's Panel Transfer Request Form to the enrollment broker no later than the 15th of the month for a disenrollment to be effective at the end of that month.
- The enrollment broker reviews the documentation and either approves or denies the request. The enrollment broker generally completes and approves or denies the request, and communicates the

decision within 48 hours. However, if the enrollment broker receives insufficient or questionable documentation, it may take longer to process the request because the enrollment broker must attempt to confirm the request and the fact that the PMP wishes his or her panel to be transferred.

- The enrollment broker submits a written notification of approval or denial to the CMO. The approval document *must* accompany the disenrollment paperwork that the CMO sends to EDS. This approval form confirms whether EDS should suppress the member notification letters of the PMP's disenrollment.
- Upon receiving approval, the CMO should submit the PMP changes to the enrollment broker on the appropriate form with the appropriate change reason code for systematic processing into IndianaAIM.
- As determined by the approval process, members will receive system-generated letters informing them of the new PMP assignment.

Maintenance of Medical Records

The CMO must ensure that its participating providers maintain medical and other records of all medical services provided to enrollees by the CMO and its providers for seven years, in accordance with *Indiana Code (IC) 16-39-7-1*. The CMO medical records standards must be consistent to the extent feasible, with NCQA accreditation standards for medical records. The records must at least be legible and must include the following:

- Patient identification information (patient name or identification number) on each written page or electronic file record
- Personal biographical data
- Entry date
- Provider identification
- Allergies
- Medical history
- Immunizations
- Consultations
- Referrals
- Medical conditions and health maintenance concerns
- Written instructions for a living will or durable power of attorney for healthcare when the patient is incapacitated and has such a document
- A record of outpatient and emergency care
- Specialist referrals
- Ancillary care
- Diagnostic tests and findings
- Prescriptions for medications
- Inpatient discharge summaries
- Histories and physicals, including a list of smoking and chemical dependencies
- EPSDT services

Providers must maintain medical records in a detailed and comprehensive manner that conforms to good professional medical practice, permits effective professional medical review and medical audit processes, and facilitates an adequate system for follow-up treatment. Health records must be legible, signed, dated, and maintained for at least seven years, as required by *IC 16-39-7-1*. Confidentiality of protected health information (PHI) must be maintained in accordance with HIPAA.

The State (or its contractor) must have access to medical records for medical record reviews. In accordance with *Indiana Administrative Code (IAC) 405 IAC 1-5-1*, the PMP must retain all records relating to the provision of CMO services for at least seven years from the date of record creation. The PMP must transfer, at the request of the OMPP or the CMO, a summary or copy of the member's medical records to another PMP if the member is reassigned.

Any physician receiving payments from the IHCP for rendered services may not charge an IHCP member for medical record copying or transfer. Federal regulation *42 C.F.R. 447.15* states that providers participating in Medicaid must accept the State's reimbursement as payment in full (except that providers may charge for deductibles, co-insurance, and copayments).

CMO Communications with Providers

The CMO must establish policies and procedures to maintain frequent communications and provide information to its provider network. As required by the *Code of Federal Regulations (CFR) 42 CFR 438.207(c)*, the CMO must notify the State of significant changes that may affect a procedure at least 30 calendar days prior to notifying its provider network of the changes. The OMPP must give providers 45 calendar days' advance notice (per *IC 12-15-13-6*) of significant changes that may affect the providers' procedures, such as changes in subcontractors. The CMO must post a notice of the changes on its Web site to inform network and out-of-network providers, and make payment policies available to noncontracted providers upon request.

In accordance with *42 CFR 438.102*, the CMO must not prohibit, or otherwise restrict, a healthcare professional acting within the lawful scope of practice from advising or advocating on behalf of a member. The CMO must develop and maintain a user-friendly Web site for network and out-of-network providers within three months of the effective date of the CMO's contract with the State. The OMPP must preapprove the CMO's Web site information and graphic presentations. The CMO may choose to develop a separate provider Web site or incorporate it into the home page of the member Web site. The provider Web site may have secured information available to network providers but must, at a minimum, have the following information available to all providers:

- CMO's contact information
- *CMO Provider Manual* and forms
- CMO bulletins or newsletters issued not fewer than four times a year that provide updates related to provider services, and updated policies and procedures specific to the *Care Select* population
- The State's preferred drug list
- Claim submission information such as the State's submission and processing requirements, paper and electronic submission procedures, emergency room auto-pay lists, and frequently asked questions
- Prior authorization procedures
- Appeal procedures
- PMP and specialty network listings
- Links to the State's Web site for general IHCP or *Care Select* information
- HIPAA privacy policy and procedures

- Must refer questions regarding claims payment or denial to the State's fiscal agent

The CMO must maintain a toll-free telephone help line for all providers with questions, concerns, or complaints. The CMO must staff the telephone provider help line with personnel trained to accurately address provider issues during (at a minimum) a 10-hour business day, Monday through Friday. The CMO must maintain a system for tracking and reporting the number and type of providers' calls and inquiries. The CMO must monitor its provider help line and report its telephone service performance to the OMPP, as described in the *CMO Reporting Manual*.

The fiscal agent sponsors quarterly workshops throughout the state and an annual seminar for all IHCP providers. The CMO must participate in the quarterly regional workshops in its service areas and in the annual provider seminar.

An appropriate representative must be available to make formal presentations and respond to questions during the scheduled times. The OMPP also encourages CMOs to set up an information booth with a representative available during the annual seminar.

Practice Standards

Universally Accepted Practice Standards

There must be evidence that the CMO further enhances quality of service to its *Care Select* members by requiring PMPs to adhere to nationally accepted standards or guidelines for preventive care for pregnant women, infants, children, adolescents, and adults.

The CMO must use or develop preventive health guidelines based on reasonable medical evidence and national guidelines. Guidelines adopted by the CMO must include those endorsed by the American Academy of Pediatrics (AAP), the American Academy of Family Physicians (AAFP), the American Society of Internal Medicine (ASIM), the American College of Physicians (ACP), the American College of Obstetrics and Gynecology (ACOG), the U.S. Preventive Services Task Force, the American College of Surgeons, the National Cancer Institute (NCI), and the American Cancer Society. The CMO must provide evidence that it reviews the guidelines and scientific literature to be incorporated into the CMO preventive health guidelines. Guidelines must be shared with the CMO's Quality Improvement Committee (QIC) and subcommittees, if any, and must include provider participation. The QIC and subcommittees must have an opportunity to review, comment on, and make modifications reasonable for local practices.

The guidelines must include the full spectrum of the *Care Select* population enrolled in the CMO. Primary and secondary prevention must be addressed for populations identified as high risk. Practice guidelines must include areas of study, methodology, indicators, analysis, plans for corrective action, follow-up, and assessment of effectiveness.

The CMO must provide evidence that supports how it shares preventive health guidelines with CMO providers, including new and existing providers. There must also be evidence that the CMO has plans for sharing new guidelines and revisions to guidelines. Communications can include provider newsletters, mailings, and provider manuals.

The CMO must establish mechanisms to monitor and review provider compliance and consistency in following preventive care guidelines. Barriers must be identified.

CMOs must publicize to members the availability of preventive health services, guidelines for these services, and the recommended frequency or conditions under which prevention activities are required.

CMOs may inform members through member newsletters, member orientation packets, member handbooks, and targeted mailings.

[Appendix E: OMPP Recommendations for Access Audit Process Update](#) outlines details of performing an access audit for the *Care Select* PMPs that ensures that the participating PMPs provide timely and appropriate access to health services for established and new patients within a PMP's practice.

Note: Additional evidence-based clinical practice guideline information is available at the National Guidelines Clearinghouse Web site at <http://www.guidelines.gov/>.

Early and Periodic Screening, Diagnosis, and Treatment Program

The federally established EPSDT program, known as HealthWatch in Indiana, is part of the IHCP and was established in 1967. The HealthWatch program is a children's preventive healthcare program providing initial and periodic examinations and medically necessary follow-up care. The program objectives are to improve the overall health of infants, children, and adolescents through early detection and treatment of medical conditions. These efforts can reduce the risk of more costly treatment or hospitalization that can occur when detection of a medical problem is delayed.

This program is available to eligible children from birth through 20 years of age on a voluntary basis. Any medical provider enrolled in the IHCP is eligible to offer HealthWatch screenings for IHCP-enrolled infants, children, and adolescents. Medical providers can offer EPSDT services to new and existing IHCP patients. If the provider participates in the *Care Select* care management program as a PMP, the provider **must** participate in HealthWatch and offer or arrange for the full range of EPSDT screenings, recommended immunizations, and follow-up care for members in the applicable age ranges.

To meet standards for preventive child healthcare, the State requires adherence to guidelines developed by the American Academy of Pediatrics (AAP). The AAP publishes a schedule of recommendations for screening components, frequency for screenings, and immunizations started in infancy. There is also an accelerated screening and immunization schedule for children older than 2 years old who have not already received the recommended screenings or immunizations. For additional information, refer to the HealthWatch Recommended Screening Techniques and Referral Standards in the *IHCP Provider Manual* and the *HealthWatch/EPSDT Provider Manual*.

CMOs are responsible for ensuring that members receive EPSDT services. The OMPP conducts ongoing studies for this designated focus area to measure results and monitor CMO compliance with this area of critical importance to *Care Select* members.

Prenatal and Pregnancy-Related Care

The OMPP has implemented pregnancy-related standards of care that are applied to all members in the IHCP. CMOs must consider these as minimum standards for their *Care Select* enrollees. These standards of care are based on the American College of Obstetricians and Gynecologists (ACOG)-recommended policies that include prenatal, delivery, and postpartum care. In general, the IHCP provides coverage for 14 prenatal and two postpartum care visits, which ideally occur throughout a low-risk pregnancy as follows:

- First trimester – three visits
- Second trimester – three visits
- Third trimester – eight visits

- Postpartum – two visits within eight weeks of delivery

The program does not place limits on the number of prenatal visits reimbursed for a member identified with a complicating condition that causes her to be a medically high-risk patient. The IHCP reimburses for appropriate laboratory tests and screenings during the pregnancy and two postpartum visits.

These standards, including diagnoses designated as high-risk and recommended laboratory tests and screenings, are described in detail in *Chapter 8* of the *IHCP Provider Manual*.

Members who enroll with a CMO, either voluntarily or by auto-assignment, in the third trimester of pregnancy must be given particular attention about continuity of prenatal care. CMOs must make a financial arrangement with an out-of-network provider to continue care through the pregnancy if the member does not wish to change doctors in the late stages of a pregnancy. [Section 4: Care Select Services](#) lists CMO requirements for continuity of prenatal care.

Future Standards

CMOs are expected to add detailed practice standards for other patient conditions including the following:

- Breast cancer and mammography
- Cervical cancer and Pap smears
- HIV/AIDS
- Asthma
- Diabetes
- Hypertension
- Sexually transmitted diseases
- Cholesterol screening
- Prevention of influenza
- Smoking prevention and cessation
- Immunizations
- Domestic violence

These standards are developed by the OMPP's Quality Improvement Committee (QIC), based on consultation with and recommendations from the following:

- IHCP physician providers
- Indiana medical community at large
- External Quality Review Organization (EQRO) and the Health Plan Employer Data and Information Set (HEDIS)
- Federal Agency of Health Care Policy and Research (AHCPR)
- Centers for Disease Control and Prevention (CDC)
- IHCP Coordinated Care Technical Assistance Group (TAG)
- Other Department of Health and Human Services (DHHS) collaborative TAG committees

A medical director and one other person knowledgeable about care management, quality improvement, and data analysis processes represents CMOs on the QIC committee. CMOs must have practice

standards in place for any of the previously listed or other conditions, and must make these standards available to *Care Select* enrollees after review and approval by the OMPP.

Reimbursement Overview

The reimbursement methodology and process for *Care Select* includes the following:

- *Care Select* continues to reimburse providers directly, based on the standard IHCP fee-for-service schedule. The CMO should reference *Chapter 8* of the *IHCP Provider Manual* for all requirements for *Care Select* claims processing.
- PMPs receive a monthly \$15 case management fee for each *Care Select* member enrolled with the PMP, in addition to the fee-for-service reimbursement.
- The PMPs are eligible to be reimbursed for the CMO care coordination conferences. The CMOs coordinate with *Care Select* PMPs to perform care coordination conferences to review a member's progress and care management plan.

Reimbursement for PMPs

Providers who are providing services to *Care Select* members should continue to bill *Care Select* via EDS. Reimbursement for these services is based on the standard IHCP fee-for-service schedule.

The care management conferences are intended to be used to review the member's plan of care with the member's assigned PMP and care manager, and to initiate any appropriate changes to that plan of care.

Reimbursement for the *Care Select* Care Coordination Conference service requires the service be performed by the PMP assigned to the member, physician assistant, or a nurse practitioner in the same group as the *Care Select* PMP. If a provider other than the member's *Care Select* PMP, physician assistant, or nurse practitioner in the same group as the *Care Select* PMP bills for the service, the claim will be denied for Explanation of Benefit code 1050 – *The member is enrolled in Care Select. Care Management service must be billed by the member's assigned Care Select PMP, physician assistant, or nurse practitioner in the same group as the Care Select PMP.*

Each *Care Select* PMP, physician assistant and nurse practitioner is limited to two one-hour care coordination conferences per 12 rolling month period, for each *Care Select* member.

Services must be billed using HCPCS 99211 SC – *Office or other outpatient visit for the evaluation and management of an established patient. Care Select* PMPs are reimbursed \$40 for each encounter. The *Care Select* PMP may allow a nurse practitioner in the same group to perform the *Care Select* Care Coordination Conference service. When billing, the nurse practitioner must use his or her unique rendering provider number that is associated with the *Care Select* PMP's group number. If the nurse practitioner is not enrolled in the IHCP with a provider number, the service is billed using the PMP's provider number, and the SA modifier must be appended to the service. Providers should bill physician assistant services with the *HN, bachelors degree* or *HO, masters degree* modifier applicable to the level of education of the physician assistant.

For example, the nurse practitioner in the same group as the *Care Select* PMP performs the *Care Select* Care Coordination Conference service. The nurse practitioner is not enrolled in the IHCP with his or her provider number. The claim is billed with the *Care Select* PMP's provider number as the rendering provider, and the service is billed as 99211 SC SA.

Claims billed by a nurse practitioner enrolled with his or her own IHCP provider number, but with a provider number not associated with the *Care Select* PMP's group billing number, will be denied for edit 1050 – *Care Select Care Coordination Service must be billed by a Care Select PMP or a Nurse Practitioner in the same group as the Care Select PMP.*

Claims for *Care Select* Care Coordination Conference services that exceed the program limitation will be denied with Explanation of Benefit code 6925 – *Care Select Care Coordination service is limited to 2 units of service per member, per rolling 12 months.*

Claims Processing

EDS processes claims for *Care Select* members. However, the CMO to which the member is assigned is responsible for reviewing claims that suspend for medical policy audits directly related to *Care Select*. ADVANTAGE Health SolutionsSM – FFS is responsible for reviewing claims that suspend for medical policy-related audits for services rendered to members in FFS. *Care Select* claims submitted with missing or invalid certification codes that require PMP referral will be subject to the following *Care Select* Edits and will systematically deny:

1047 – *The Certification Code is Missing-Care Select. Please verify and resubmit.*

1048 – *The Certification Code is Invalid-Care Select. Please verify and resubmit.*

1049 – *The member is enrolled in Care Select. Claim must have member's primary medical provider information. Please provide information and resubmit.*

Care Management Fee

PMPs enrolled in the *Care Select* health plan, not receiving cost-based reimbursement (that is, not in a Federally Qualified Health Center, or FQHC), will receive a \$15 per member monthly administration fee. Reimbursement is sent automatically the Tuesday following the third Wednesday of each month. The administration fee is not a separate payment. The administration fee is included on the physician's Remittance Advice (RA) for all active members assigned to the PMP's member panel when the administration fee job runs for the month, along with other claims payment the provider may receive. The RA includes a reference line for the total amount paid for administrative fees.

Administrative management fees are not prorated for members who are effective with the PMP for only half the month. FQHCs and other providers receiving cost reimbursement do not receive the \$15 case management fee.

The fiscal agent creates an administrative fee listing report for each PMP that is mailed to the PMP or group provider's mailing address. [Appendix G : Administration Fee Listing Layout](#) provides a sample administration fee report layout.

Stop-Payment Administration Fee

The CMOs have the mechanism through IndianaAIM to place a stop payment on the administration fee paid to a PMP for a specific member due to noncompliance of the care management of a member. The OMPP, with the coordination of the CMOs, is creating business rules that outline the creation and approval of the stop-payment administration fee process.

The CMOs can access the IndianaAIM Stop Payment window through the member's PMP assignment history window (see Figure 8.1). The CMOs can view, create, or modify only the current and historical information of their assigned members. The CMOs must assign users access to the Admin Fee Stop Payment Maintenance window, so they can perform the data entry. To assign users to the window,

complete the IndianaAIM Access Security form found on the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa>. All users accessing IndianaAIM must complete the State's HIPAA training requirements.

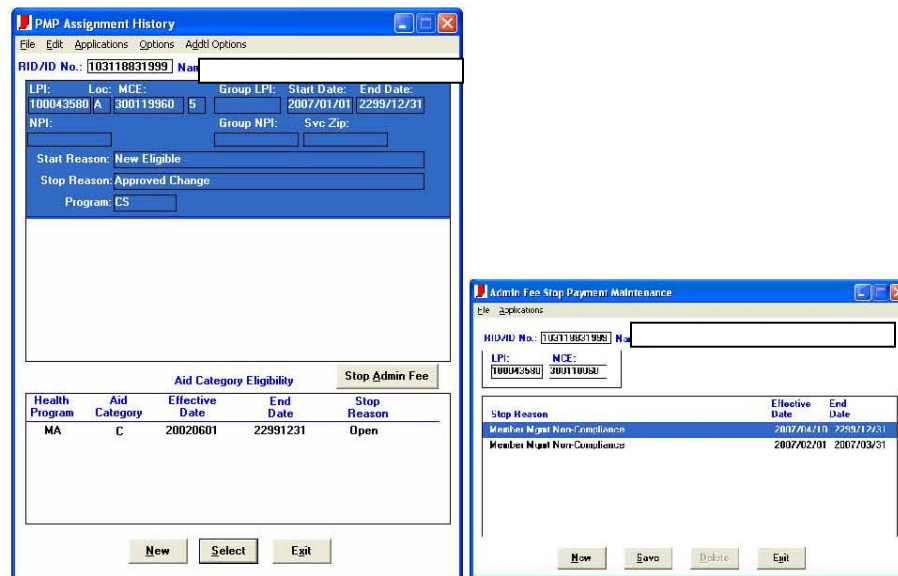


Figure 8.1 Stop Administration Fee Payment Windows

Upon entry of a stop-payment record for a member, the administration fee is discontinued for the PMP until the stop-payment record has expired. The administration fee listing records the member with a zero in the amount paid and includes the effective date of the stop payment until the stop-payment record is no longer effective.

Appropriate Claim Forms

Consistent with *Care Select* policy, all *Care Select* providers are required to submit claims to the OMPP's fiscal agent (EDS) using the appropriate claim-filing methodology when requesting reimbursement for medical services rendered to *Care Select* members. For specific detail, please refer to *Chapter 8* of the *IHCP Provider Manual*.

Non-PMP Billing

All medical providers, other than the member's PMP, who are rendering services to *Care Select* members must contact the member's PMP prior to providing any services, unless the member is accessing a self-referral provider. Medical providers other than the PMP must obtain authorization from the member's PMP to submit claims to *Care Select*.

If the provider rendering care to a *Care Select* member is not the member's PMP, all submitted claims must indicate the referring PMP's NPI provider number and two-digit certification code. Without this information, the claim will not be paid. This requirement does not apply to PMP-enrolled physicians within a group practice or clinic enrolled under the same billing number.

Reimbursement for care provided to a *Care Select* member follows the same procedures whether the rendering provider is a resident, a midlevel practitioner, or another physician who is not the member's PMP. Providers rendering services to *Care Select* members are reimbursed under the existing IHCP

Fee Schedule. See the current IHCP Fee Schedule on the Web at http://www.indianamedicaid.com/ihcp/Publications/MaxFee/fee_schedule.asp.

Providers of ancillary services should submit claims for reimbursement to IHCP. All providers must verify *Care Select* eligibility and care management enrollment through the various member eligibility verification systems, and submit claims for reimbursement accordingly.

For *Care Select* members, pharmacy, home health, and transportation providers should submit claims directly to EDS. Providers of these types of service must continue to complete and submit Prior Authorization requests to the PA vendor for members in *Care Select*, as directed in the *IHCP Provider Manual*.

Billing and Balance Billing IHCP Enrollees

The IHCP and federal regulations specifically prohibit providers from charging IHCP enrollees for covered services, except in specific, limited circumstances. IHCP-enrolled providers are required to accept the IHCP's determination of payment for covered services as payment in full, except for copayments and any other patient liability payment, as authorized by law.

The *IHCP Provider Manual* contains detailed information about billing IHCP members. Generally, IHCP-enrolled providers can bill members only under the following conditions:

- The service is not covered under the IHCP (for example, cosmetic procedures)
- The member has exceeded the program limitation for a particular service
- The member understands that IHCP does not cover the service and accepts financial responsibility prior to receiving a service that is not covered by the program. The provider must maintain documentation that the member voluntarily chose to receive the service, knowing that it is not covered by the program.
- The services provided are covered or noncovered embellishments or enhancements to covered services. These services can be considered and billed separately from the basic service only if a separate procedure, revenue, or National Drug Code (NDC) exists for the enhancement. Otherwise, a service in its entirety is considered covered or noncovered
- The provider has taken appropriate action to identify a responsible payer, and the enrollee has failed to inform the provider of IHCP eligibility before the one-year claim filing limitation

CMO contracted providers are subject to the same policy outlined above for IHCP-enrolled providers. While the OMPP and Centers for Medicare & Medicaid Services (CMS) recognize that there may be circumstances unique to the care management environment in which billing a member may be appropriate, the OMPP discourages this practice. If a CMO elects to permit its contracted providers to bill members under any circumstance, the CMO must do all the following:

- Develop sufficient safeguards to ensure that members are able to access medically necessary services
- Ensure that members are not subject to any coercive practices
- Ensure that members are informed of their right to file a grievance

The CMO can permit a provider to bill a member for services that require authorization, but for which authorization is denied, if certain safeguards are in place and followed by the provider. CMOs must establish, communicate, and monitor compliance with procedures that must include at least the following:

1. The provider must establish that authorization has been requested and denied prior to rendering the service.

2. The provider can request CMO review of the authorization decision. The CMO must inform providers of the contact person, the means for contact, the information required to complete the review, and procedures for expedited review, if necessary.
3. If the CMO maintains the decision to deny authorization, the provider must inform the member that the service requires authorization, and that the authorization has been denied. Covered services may be available without cost in the CMO health plan if authorization is provided.
4. The member must be informed of the right to contact the CMO to file an appeal if the member disagrees with the decision to deny authorization.
5. The providers must inform the member of the member's responsibility for payment if the member chooses to or insists on receiving the service without authorization.
6. If the provider chooses to use a waiver to establish member responsibility for payment, use of such a waiver must meet the following requirements:
 - The waiver is signed only after the member receives the appropriate notification stated in requirements 3, 4, and 5.
 - The waiver does not contain any language or condition to the effect that if authorization is denied, the member is responsible for payment.
 - Providers must not use nonspecific patient waivers. A waiver must be obtained for each encounter or patient visit that falls under the scenario of noncovered services.
 - The waiver must specify the date the services are provided and the services that fall under the waiver's application.
7. The provider must have the right to appeal any denial of payment by the CMO for denial of authorization.

Physician Pay for Performance

The CMO will develop a pay-for-performance program that focuses on rewarding physicians' efforts to improve health outcomes for Indiana *Care Select* members.

Pay-for-performance programs are performance-based payment systems that offer financial and nonfinancial incentives to health plans, providers, and members for meeting quality performance targets. The CMO must establish a performance-based incentive system, at a minimum, for high volume providers and for members. The OMPP will define high-volume providers, and will identify the priority areas to be addressed by the provider and member incentive system. These priority areas may change from time to time, and the OMPP will determine these priority areas based on state and federal priorities, and with input from the CMO.

With State approval, the CMO will determine its own methodology for incenting providers and members. Incentives may be financial or nonfinancial. However, if the CMO offers financial incentives to providers, these payments must be above and beyond the standard Medicaid fee-for-service fee schedule. At least 50 percent of any performance-related delayed payments the CMO receives from the State must be passed on to providers and/or members.

Section 9: Member Eligibility and Enrollment

General Eligibility Information

The eligibility process begins at the Division of Family Resources (DFR) office or the member enrollment center. Prior to October 28, 2007, all counties in Indiana used local DFR offices where individuals applied for Medicaid. The modernization effort began after October 28, 2007. See <http://www.in.gov/fssa/2343.htm> for additional information regarding the regions and the applicable project time frames. The modernization plan eliminates caseworkers and caseworker identification codes (IDs) from being associated with individual member cases. Potential members in converted counties can enroll by contacting the centralized call center/enrollment center by telephone at 1-800-403-0864, providing information at the enrollment center, which then submits documentation to the centralized call center/enrollment center; or by completing the application online. The call center/enrollment center continues to use Indiana Client Eligibility System (ICES) to determine eligibility. Potential members may also call the *Care Select* helpline at 1-877-963-7383 or visit the Indiana Family and Social Services Administration (IFSSA) Web site at www.ifcem.com to apply online or request a mail-in application. A list of enrollment centers can be found at <http://www.in.gov/fssa/ompp/3030.htm>.

The DFR or the eligibility call center/enrollment center is also responsible for updating member eligibility and personal data for continuing members (such as changes in household, including births, deaths, and so forth) at periodic eligibility redeterminations. The data is entered into ICES.

EDS, as the OMPP fiscal agent, receives member eligibility updates daily through an interface between ICES and IndianaAIM. Member data in IndianaAIM is used to confirm eligibility for various IHCP programs, including *Care Select*, during claims processing. Providers may view enrollee eligibility data through IndianaAIM using the Eligibility Verification Systems (EVS). A member does not appear as *eligible* for the IHCP in IndianaAIM until EDS receives the member's ICES record.

The enrollment broker enrolls potential members in *Care Select* care management by establishing a link between enrollees and their selected *Care Select* primary medical provider (PMP) and health plan in IndianaAIM. The State retains sole responsibility for the maintenance of general IHCP eligibility and the assignment of the member's aid category.

The following IHCP members are covered by *Care Select*:

- Aged
- Blind
- Physically and mentally disabled
- Members receiving adoption assistance
- Members in the Waiver Program
- M. E. D. Works participants
- Foster children and wards of the court

The State requires the CMO to accept as enrolled all individuals appearing on the enrollment rosters. The CMO and rendering provider are responsible for verifying the member's eligibility. In accordance with 42 CFR 438.56, Sections (c), (d) and (e), the CMO must have policies and procedures that allow members to change their PMPs.

IHCP Enrollees Not Eligible for Care Select

There are some categories of IHCP enrollees not eligible for the *Care Select* care management program, even though the enrollees are in an otherwise eligible aid category. Some examples of these groups are the following:

- *Care Select* members who move out of Indiana, even though they may retain IHCP eligibility while residing outside the state
- Illegal aliens who are eligible for limited benefits in the IHCP (Package E)
- Members eligible for Medicare
- Members who have been State-approved for long-term care, and the level of care has been entered into *IndianaAIM*
- Members who receive IHCP hospice care
- Members eligible for spend-down
- Other members and potential members determined by the OMPP

Members in these subgroups are disenrolled from the care management program when they are identified. *Member Disenrollment*, covered later in this section, provides additional information.

The State has sole authority to determine if families or individuals meet the eligibility criteria and are eligible to enroll in the care management programs.

Hoosier Health Identification Cards

Each newly enrolled member in any IHCP benefit package receives a Hoosier Health identification card. This card identifies IHCP members and provides current benefit information to their providers. New members are assigned a member identification number (RID) on initial entry in ICES. The RID is unique to each member and is a randomly generated identification number assigned for life. The fiscal agent, EDS, produces and mails identification cards to new members within three days of eligibility after the information transfers from ICES to *IndianaAIM*. Eligibility information on the plastic ID card is contained in a magnetic strip and is updated systematically, as necessary, to reflect changes in eligibility status. The identification card is meant to be a permanent card and is not reissued for members who become eligible after a period of ineligibility, unless the card has been lost or stolen. Members who require replacement Hoosier Health Cards must contact the enrollment service center, the local county office of the DFR, or call the *Care Select* Helpline at 1-866-963-7383.

The front of the Hoosier Health Card, shown in Figure 9.1, contains the following information:

- Member's name and gender
- A 12-digit recipient identification (RID) number identifying the member
- Birth date



Figure 9.1 – Hoosier Health Card

The member, or the member's parent or guardian if the member is a child, must sign the identification card.

Even when a member presents a Hoosier Health Card, the provider is responsible for verifying eligibility prior to rendering services. Additional information about eligibility verification can be found later in this section. *Chapter 2 of the IHCP Provider Manual* provides detailed information about the Hoosier Health Card.

Note: Possession of a Hoosier Health Card does not guarantee current eligibility. Before rendering services, providers must verify eligibility each time they see IHCP members.

Occasionally, ICES or a CMO identifies a member who has been issued more than one RID in error. CMO personnel who identify a member with multiple active RIDs must contact EDS Managed Care with the information.

CMOs may present and distribute their own health plan ID cards for *Care Select* members enrolled in their health plans. However, CMOs may **not** require *Care Select* members to produce a health plan card to receive services within the health plan. CMO ID cards do not replace the IHCP Hoosier Health card.

Retroactive Eligibility

Retroactive eligibility is not applicable in *Care Select*. The newborn whose mother is enrolled in a CMO will be eligible for Hoosier Healthwise, and therefore will be automatically assigned to an MCO in RBMC. The newborn's effective date with the MCO is prospective, since the mother-to-be belonged to a CMO versus an MCO at the time of birth.

Care Select Enrollment

After IHCP eligibility has been determined or redetermined, members in eligible aid categories must enroll in *Care Select*. Potential *Care Select* members receive program information and education from the enrollment center or another authorized site. In addition, a potential member can seek enrollment assistance or program information from a benefit advocate (BA) by calling the *Care Select* Helpline at 1-866-963-7383.

The enrollment broker help line representative asks the caller to confirm that the education process has been completed prior to entering the PMP and CMO selection in *IndianaAIM*. If the potential member has not received education about *Care Select*, the representative provides the necessary education before taking the selection information.

Care Select-eligible members are given 30 days from initial eligibility to complete the education process and make a voluntary PMP and CMO selection. Eligible members whose PMP and CMO selection is not entered into *IndianaAIM* within the first 30 days of eligibility are enrolled by the system's auto-assignment process described later in this section. During this 30-day enrollment period, *Care Select* enrollees can access medical care in the IHCP fee-for-service (FFS) program. The exception to the 30-day FFS period is for newborn children whose mothers were enrolled in a CMO health plan on the date of delivery. Additional information about newborn enrollment is included later in this section.

Enrollment becomes effective after a potential enrollee is linked to a PMP and CMO in *IndianaAIM*. Enrollments entered in *IndianaAIM* between the 11th and 25th days of the month are effective on the first day of the following month. Enrollments entered between the 26th day of a month and the 10th day of the following month are effective on the 15th day of the following month. The member's PMP and

CMO selection is verified by the *Care Select Welcome Letter* that contains the PMP's name, address, telephone number, and the CMO health plan, name, and telephone number, which is generated by *IndianaAIM* and sent to the member.

A pregnant woman can select a PMP for her unborn child. The CMO must encourage preselection and have procedures to facilitate that selection. The procedure for preselection of a PMP to care for the newborn child from the date of birth is included later in this section.

Members with Third-Party Liability

Medicaid is intended to be the insurer of last resort for any past, present, or future member. To that end, if a current member of a Medicaid program (including *Care Select*) is also enrolled with a private insurer, the private insurance should be used. If the private insurance ends or if the resources are exhausted, the Medicaid program should take over.

Care Select requires a PMP link for each member. If a member has private insurance and their current PMP is not enrolled in *Care Select*, the PMP should be encouraged to enroll the member in *Care Select*. If that PMP decides not to participate, the member must select another PMP that is currently enrolled in *Care Select*. The *Care Select*-enrolled PMP could provide a referral to the PMP covered by the private insurance or any other provider not enrolled in *Care Select*.

Members with Special Healthcare Needs

The CMO must have plans to provide care for special-needs populations and to provide medically necessary, specialty care through direct access to specialists. The *Care Select* care management program uses the definition and reference for children with special healthcare needs that was adopted by the Maternal and Child Health Bureau (MCHB) and published by the American Academy of Pediatrics (AAP):

“Children with special health care needs are those who have or are at increased risk for a chronic physical, development, behavioral, or emotional condition and who also require health and related services of a type or amount beyond that required by children generally.”

Auto-Assignment

Occasionally, an IHCP member eligible for *Care Select* does not receive the initial program education or for some other reason fails to self-select a PMP and CMO within the first 30 days of eligibility. Because enrollment in the program is mandatory, after the first 30 days of program eligibility, enrollment is accomplished in the auto-assignment process logic contained in *IndianaAIM*. Auto-assignments are subject to the following geographical and regional requirements:

- Auto-assignments do not occur when a PMP's service location is greater than 30 miles from the member's address. Only self-selections are allowed to override the 30-mile geographic limits.
- Out-of-state providers are allowed to be PMPs; however, auto-assignments occur only to those with the IFSSA out-of-state designations. Other out-of-state PMPs receive only self-selections. IFSSA out-of-state designations are defined in *405 IAC 5-5-2* and delineated as cities that reside outside the state of Indiana, excluded from out-of-state prior authorization (PA) requirements, and required to follow in-state PA requirements. The cities defined as IFSSA out-of-state designations are as follows:
 - Danville, Illinois
 - Watseka, Illinois
 - Louisville, Kentucky
 - Owensboro, Kentucky

- Sturgis, Michigan
- Cincinnati, Ohio
- Hamilton, Ohio
- Harrison, Ohio
- Oxford, Ohio
- Chicago, Illinois

Auto-assignment is designed to consider several factors in linking members to an appropriate PMP. Figure 9.2, Auto-Assignment Process, provides a high-level flow of the logic used in the Auto-Assignment Process. The Auto-Assignment Process diagram can also be found in the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>.

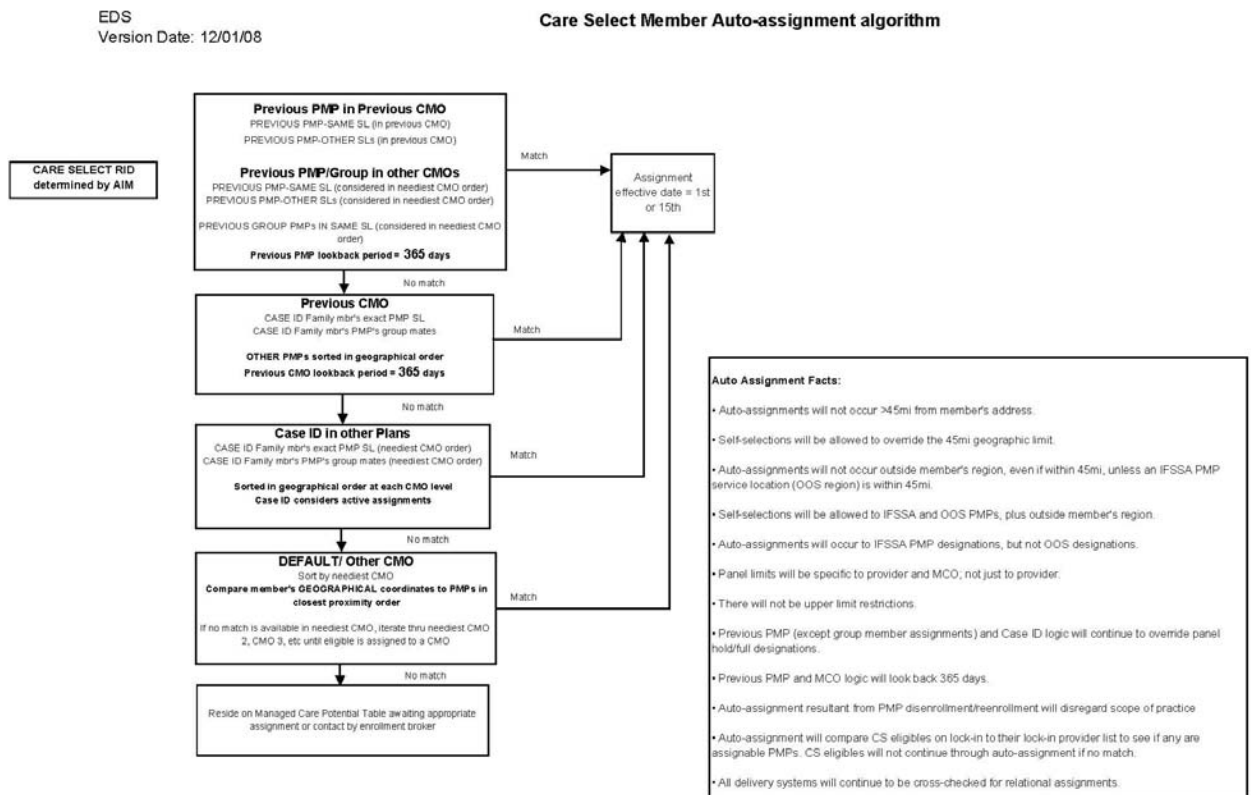


Figure 9.2 – Auto-Assignment Process

General Auto-Assignment

- a. *Previous PMP in Previous CMO* – A *Care Select* member, who had previously been assigned to a PMP that is currently enrolled in the program, is reassigned to that PMP if the appropriate scope of practice and restrictions apply. Because continuity of care is one of the cornerstones of *Care Select*, the reassignment of members to their previous PMPs takes precedence over other auto-assignment logic in IndianaAIM. The previous PMP auto-assignment logic considers the following when making an assignment:
 1. *Previous PMP with Same Service Location* – If the member's previous PMP is found at the same service location where the member was previously assigned, the assignment is made.

2. *Previous PMP with Other Service Locations* – If the member’s previous PMP is found at a different service location, the assignment is made.
- b. *Previous PMP/Group in Other Plans* – A *Care Select* member who had been assigned to a PMP currently enrolled in other plans is reassigned to that PMP if the appropriate scope of practice and restrictions apply. The auto-assignment process looks for the neediest CMO, and if the neediest CMO is not found, auto-assignment looks to the next-neediest CMO. The previous PMP look-back period is 365 days. The previous PMP auto-assignment logic considers the following when making an assignment:
1. *Previous PMP with Same Service Location* – If the member’s previous PMP is found at the same service location where the member was previously assigned, the assignment is made.
 2. *Previous PMP with Other Service Locations* – If the member’s previous PMP is found at a different service location, the assignment is made.
 3. *Previous Group PMP with Same Service Location* – If there is an appropriate PMP in the member’s previous group at the member’s previous PMP’s service location, the assignment is made.
- c. *Previous CMO/Previous Health Plan* – If there is not a previous PMP relationship, the auto-assignment logic looks for a previous relationship with a CMO. The system then attempts to assign the member to an appropriate PMP in the health plan by geographical order at each hierarchical level for a look-back period of 365 days.
1. *Case ID – Family member’s exact PMP Service Location* – If the family member’s active assignment PMP is found at the same service location, the assignment is made.
 2. *Case ID – Family member’s PMP Group Mates* – If the family member’s active PMP Group Mates are found sorted in geographical order at each hierarchical level, the assignment is made.
 3. *Previous Health plan* – If a PMP is found based on geographical order in the previous health plan, the assignment is made.
 4. *Other PMP* – If other PMPs are found based on geographical order, the assignment is made.
- d. *Case ID in other Plans* – If there is not a previous CMO relationship, the auto-assignment logic looks in the neediest CMO for the case ID that identifies PMPs for family members with the same case ID. The previous PMP auto-assignment logic considers the following when making an assignment determination:
1. *Case ID – Family member’s exact PMP Service Location* – If the family member’s PMP is found at the same service location, the assignment is made.
 2. *Case ID – Family member’s PMP Group Mates* – If the family member’s PMP Group Mates are found sorted in geographical order at each hierarchical level, the assignment is made.
- e. *Default* – In the event the search for a previous PMP, CMO, and case ID fails to make an appropriate PMP assignment, the default level of the auto-assignment logic looks for the neediest CMO and compares the member’s geographical coordinates to PMPs in the neediest CMO in order of proximity. If no match is available in the neediest CMO, the logic continues to the next-neediest CMO. When the auto-assignment logic has searched all available CMOs and has not found an appropriate PMP match, the member’s name appears on a *BA Assistance Required* report to the enrollment broker. Members who cannot be matched to an appropriate PMP in the auto-assignment process must be manually assigned to an appropriate PMP. Members who are not manually assigned to a PMP remain enrolled in Traditional Medicaid (FFS). The members also

remain on the potential assignment table in IndianaAIM and are auto-assigned when an appropriate PMP becomes available in any plan.

Special Characteristics of Auto-Assignment

The rule for determining the auto-assignment start date is as follows: If the day that the auto-assignment is processed falls between the first and the 10th of the month, the PMP assignment start date is the 15th of the current month. If the day that auto-assignment is processed falls between the 11th and the 25th, the PMP assignment start date is the first of the next month. If the day that the auto-assignment is processed falls on or between the 26th and the end of the month, the PMP assignment start date is the 15th of the next month.

Auto-assignment nuances are listed below:

1. Previous PMP

- A PMP will have its *panel full* status overridden.
- A PMP will have its *panel hold* status overridden.
- A female member previously linked to an obstetrician/gynecologist (OB/GYN) physician is relinked to the same physician if the all-women indicator is on, and she is not in a pregnancy-aid category.
- A member must remain within the PMP's scope of practice.
- A member who lost *Care Select* eligibility and is re-entering the program after a gap in coverage is auto-assigned to the previous PMP if the assignment is still appropriate within the PMP's scope of practice. For example, the member has not reached an age outside the scope of practice during the gap in coverage. If the gap in coverage is less than four months in duration, the member will be immediately subjected to auto-assignment. If the gap in coverage is greater than four months, the member is provided 30 days to self-select a PMP/CMO.
- If the assignment remains appropriate for the PMP's scope of practice, a member who is auto-assigned to the previous PMP at the time of redetermination (with no lapse in coverage) remains in the same CMO, unless the PMP has disenrolled from the CMO.
- The auto-assignment previous PMP logic does not consider a member and physician relationship that may have existed outside the member and PMP assignment in the *Care Select* care management program.
- If a PMP disenrolls from a CMO or service location, and has an active service location in the same or different CMO, members who were linked to the PMP are auto-assigned to the same PMP in the new CMO or service location, if the assignment is appropriate for the PMP's scope-of-practice criteria at the new service location.

2. Previous CMO

- All date logic looks at the current date instead of the auto-assignment start date.
- The panel size limit must be greater than actual panel size for a provider to be considered.
- The panel-hold indicator must not be active for a provider to be considered.

3. Newborns

- If the mother does not have an assignment, preselection is allowed.
- Newborns are assigned retroactive to the date of birth (DOB) only in the instance where the mother was enrolled in a CMO at the time of the newborn's birth, and there is an appropriate PMP available in the health plan.
- The newborn is assigned to the same CMO in which the mother was enrolled at the time of birth, if possible.

4. Case Logic

- Uses the same program to check PMPs as previous PMP logic; therefore, the rules are the same.
- Overrides full and hold panels but checks for active assignment, not previous

5. Default

- CMOs targeted for auto-assignment are viewed in target percent order, neediest being furthest from the target.
- The panel-size limit must be greater than actual panel size for a provider to be considered.
- A panel hold must not be active for a provider to be considered.

For members requesting a physician not currently participating as a PMP in *Care Select*, the State has authorized special handling to allow the CMO to enroll the provider as a PMP and place “Z” stopper to the member to prevent auto-assignment. The specific procedure is outlined in the Indiana *Care Select* CMO Policy and Procedure Manual found on the State’s SharePoint site at:

https://myshare.in.gov/FSSA/ompp/managed_care/cs

Eligibility Redetermination

Eligibility redetermination occurs at intervals determined by the DFR. Members whose IHCP eligibility is continuous and who do not change from a care management aid category to a noncare management aid category maintain the PMP relationship.

Members who have had a gap in IHCP eligibility or care management eligibility are processed as new members for auto-assignment purposes – that is, they are given 30 days to choose a PMP. If a PMP selection is not made at that time, the member is auto-assigned according to the criteria outlined. A previously enrolled *Care Select* member who does not make a PMP change is auto-assigned to the previous PMP, if appropriate, to maintain that relationship.

Member Request to Change PMP

Members may request a PMP change at any time. The enrollment broker tracks reasons for requesting a PMP change. Examples are:

- Access to care
 - The member moved out of the area.
 - The PMP’s office is not accessible on public transportation, or an IHCP-reimbursable transportation provider is not available in the service area.
 - The member waits in the office for one hour or more for a scheduled appointment on two occasions.
 - The member experiences excessive delay between request for appointment and scheduled appointment.
 - The member experiences difficulty contacting the PMP for care after normal business hours.
- Continuity of care
 - The member has an ongoing relationship with a PMP other than the PMP to whom the member is currently assigned.
 - The member’s current PMP disenrolls from *Care Select*.
 - The member is in the late stages of pregnancy and wishes to continue care with the current doctor through the pregnancy.
- Quality of care or service
 - The member expresses dissatisfaction with treatment from the doctor or staff.
 - The member requires specialty services because of language, cultural, or other communication barriers with current PMP.
 - Ongoing, unresolved provider or member conflict exists.
 - The member no longer fits into provider’s scope of practice.
- The member was auto-assigned to a PMP.
- Other

The enrollment broker maintains responsibility for approving and processing PMP change requests through the *Care Select* Helpline at 1-866-963-7383. The enrollment broker monitors and addresses participants who have frequent PMP changes or who alternate frequently between CMO providers.

CMOs are responsible for approving PMP changes within their own health plan. The CMOs must forward these changes to the enrollment broker using the CMO-customized PMP form that was developed from the base enrollment broker PMP form template. The enrollment broker enters the change into *IndianaAIM*. PMP changes within the CMO may be effective any day of the month.

To ensure the accuracy of the PMP enrollment rosters and CMO administration fee payments, PMP changes between plans are effective only on the first day of a month. PMP changes entered into *IndianaAIM* by the 25th day of the previous month are effective the first day of the next month. Changes entered into the system after the 25th day of the month are not effective until the first day of the second month.

Provider-Initiated Requests for Member Reassignment

The goal of *Care Select* is to encourage a positive and continuous relationship between a member and PMP. In rare instances, a PMP may request reassignment of a member to another PMP within the CMO's health plan. The CMO must approve and document these situations. The documentation must be sent to the enrollment broker for processing into *IndianaAIM*. The reasons for these situations include:

- Missed appointments (with appropriate documentation and criteria)
- Member fraud (upper-level review required)
- Uncooperative or disruptive behavior resulting from the member or member's family (upper-level review required)
- Medical needs could be better met by a different PMP (upper-level review required)
- Breakdown in physician and patient relationship (upper-level review required)
- Member accesses care from providers other than the selected or assigned PMP (upper-level review required)
- Previously approved termination
- Member insists on medically unnecessary medication

The CMO's medical director or a committee appointed by the medical director performs an *upper-level review*. It is a thorough review of the individual case to determine whether the cause and documentation are sufficient to approve a reassignment request. The upper-level review includes monitoring to ensure that the CMO's guidelines and policies are consistent with *Care Select* and to improve the overall program quality.

The following, developed and finalized by the *Care Select* QIC, provides guidelines for the situations outlined previously:

- *Missed appointments* – A member may miss at least three scheduled appointments without defensible reasons prior to a PMP request for member reassignment. The PMP or staff is responsible for educating the member about the problems and consequences associated with missed appointments on the first occurrence. *Care Select* members are not penalized for inability to leave work, for lack of transportation, or for other defensible reasons. Missed appointments must be documented in the member's chart, which is accessible to the PMP and staff. On documentation of the third missed appointment for nondefensible reasons, the CMO may approve the PMP's request for the member's reassignment within the CMO health plan.

CMOs are encouraged to have procedures in place to assist members and PMPs with missed appointment problems, and are expected to intervene as required to resolve issues while supporting the overall goals of *Care Select*.

- *Member fraud* – This reason for member reassignment must be restricted to those cases referred to the Indiana Bureau of Investigation or the Office of the Inspector General (OIG).
- *Threatening, abusive, or hostile actions by members* – The PMP can request a member's reassignment when the member or the member's family becomes threatening, abusive, or hostile to the PMP or to the office staff after attempts at conflict resolution have failed. The request must be consistent with the PMP's office policies and criteria used to request reassignment of commercial patients. The CMO must have conflict resolution procedures designed to address these concerns.
- *Member's medical needs may be better met by another PMP* – A PMP request for member reassignment because the PMP believes a member's medical needs are better met by a different PMP must be documented as to the severity of the condition and reviewed by the CMO's medical director. The CMO medical director must review the request based on the specific condition or severity of the condition as a PMP scope-of-practice matter, not based on a bias against an individual member.
- *Breakdown of physician and patient relationship* – The CMO must conduct an upper-level review, as defined previously, to ensure that the breakdown in the relationship is mutual between the PMP and the member.
- *Member accessing care from other than the selected or assigned PMP* – The CMO must conduct member education about the health plan and the PMP selection process. If the member does not initiate a PMP change and continues to access primary care services from a provider other than the PMP, the PMP may request the member's reassignment. Misuse of the emergency room is not a valid reason for requesting a member's reassignment.
- *Previously approved termination* – The PMP may request a member's reassignment if the member was previously reassigned for an approved reason and became relinked through the auto-assignment process.

Most of these situations can be resolved by facilitating the member's selection of another PMP within the health plan. Members who require services of a provider not available within the health plan generally are not disenrolled, but remain in the CMO, with the CMO managing and reimbursing for out-of-network services.

Note: The enrollment broker must review provider- or CMO-initiated PMP change requests that would result in a member's disenrollment from the health plan for compliance with program policy before processing is allowed.

CMOs must use PMP-initiated requests for member reassignments to identify issues and concerns documented in quality improvement processes. Each CMO must develop an internal policy for approval of PMP-initiated member reassignments, based on the criteria outlined previously. Unacceptable reasons for PMP-initiated member reassignment requests include the following:

- *For good cause* – This term is used for member-initiated PMP change requests.
- *Noncompliance with mutually agreed-to treatment* – Members are not reassigned for being noncompliant or refusing treatment. A patient has the right to refuse treatment.
- *Demand for unnecessary care* – A PMP-initiated request for member reassignment is not approved for this reason, unless there is documentation of threatening, abusive, or hostile behavior, as described above.

- *Language and cultural barriers* – PMPs who have difficulty with a member's language or other cultural barriers must request assistance from the CMO health plan resources to address the problem.
- *Unpaid bills incurred prior to Care Select enrollment* – PMPs may not initiate member transfer requests because of unpaid medical bills incurred prior to *Care Select* enrollment. PMPs can pursue charges outstanding prior to *Care Select* enrollment through the normal collection process.

Member Disenrollment from *Care Select*

The following are causes for which a *Care Select* member can be disenrolled from IHCP and *Care Select*:

- Member was enrolled in error or due to a data entry error.
- Member loses eligibility in IHCP.

A CMO enrollee may disenroll from a CMO while retaining eligibility in *Care Select*. Member disenrollment from a CMO with enrollment into another CMO occurs under any of the following circumstances:

- The member selects a PMP in another CMO.
- The member's PMP disenrolls from the CMO and is available to *Care Select* members in another CMO.
- The disenrollment is approved by the OMPP due to circumstances which, in the judgment of the OMPP, are documented and justified.

Some instances may warrant a member's disenrollment from the *Care Select* care management program while eligibility is maintained in another IHCP component. It is important to program integrity that criteria used to make this determination are valid reasons for disenrollment and are applied consistently for all program enrollees. The enrollment broker monitors, tracks, and approves all member disenrollment activity, based on program policy for quality improvement purposes. The OMPP has ultimate authority for allowing eligible members to disenroll from the program.

Examples of acceptable reasons for member disenrollment from the *Care Select* care management program to participate in another IHCP program include but are not limited to the following:

- A member is determined to be ineligible for care management under the terms of the State of Indiana 1915(b) waiver.
- A change in aid category causes the enrolled member to become ineligible for care management.
- A residency change causes an enrolled member to become ineligible for care management. *Care Select* members who have out-of-state addresses are systematically identified and disenrolled by EDS. The former *Care Select* members can retain IHCP eligibility during a defined notification period, as required in the Indiana Administrative Code (IAC). Disenrollment from *Care Select* prevents further payment of capitation during this notification period.
- An enrolled member meets long-term care criteria, as determined by the Indiana Pre-Admission Screening and the Federal Pre-Admission Screening (IPAS/PASRR) processes. *Care Select* members who are in an LTC facility for more than 60 days can be disenrolled from the program. After a member has met IPAS/PASRR, the appropriate level of care is entered into IndianaAIM, and the member is disenrolled from *Care Select*. LTC facilities must notify the CMO immediately after becoming aware of a CMO enrollee who is undergoing the screening process for long-term admission. The IHCP FFS is financially responsible for all long-term care charges, excluding ancillary services, if the member meets the criteria for long-term level of care (LOC). CMOs must

monitor the care of members who are potential candidates for long-term care, so the CMOs can help facilitate disenrollment from care management. The CMO must work with the facility to ensure that the level-of-care process is completed (for example, submit the *Form 450B*). Otherwise the member may be re-enrolled into care management due to incomplete documentation for LOC. Once the LOC is entered into *IndianaAIM*, the member is automatically disenrolled. The LOC also prevents enrollment into care management.

- The enrolled member becomes eligible for and enrolls in the IHCP Hospice Program. To receive hospice benefits, a member must elect hospice services, the attending physician must make a certification of terminal illness, and a plan of care must be in place. At the time a *Care Select* member elects to enroll in the IHCP Hospice Program, the member must be disenrolled from *Care Select* so the appropriate level of care can be entered in *IndianaAIM*. The hospice analyst at ADVANTAGE Health SolutionsSM, Inc. requests that the enrollment broker immediately disenroll the *Care Select* member. The member becomes eligible for hospice care on the care management disenrollment effective date. This process ensures that the CMO and the hospice providers have an accurate effective date on which to end or begin services. Hospice benefit begins the day after care management disenrollment.
- An enrolled member who becomes eligible for Medicare is no longer eligible to participate in *Care Select*.
- A member who has other medical coverage in a care management plan may be required to select a PMP in that plan. If the PMP in the commercial network is not in a *Care Select* health plan and coordination of benefits is not appropriate because of a documented reason or circumstance, the member can be disenrolled from *Care Select* and placed in the IHCP FFS program.
- An enrolled member who is determined to be an undocumented person is limited to emergency services under IHCP Package E.
- Other enrolled members, as determined by the OMPP.

Restricting Disenrollment

Federal regulation *42 CFR 438.56* allows Medicaid programs the option of CMO lock-in periods up to 12 months. At the current time, *Care Select* does not have a plan lock-in requirement. Members are encouraged to stay with the PMP to establish a relationship, but they may change PMPs or health plans at any time without cause.

However, if a state elects to implement a 12-month lock-in, certain other requirements apply as follows: Members must be allowed to change CMOs without cause at any time within the first 90 days of enrollment, and the members must be notified at least 60 days prior to the end of the enrollment year of their opportunity to change at 12 months.

Member Enrollment Rosters

On behalf of the OMPP, EDS notifies each PMP and CMO of all members enrolled in its plan by region. Using information obtained from the State's ICES transmissions and PMP assignments entered in *IndianaAIM* by self-selections and auto-assignment, EDS generates HIPAA 834 CMO benefit enrollment and maintenance transactions, also known as the enrollment roster, three times a month. Refer to *Companion Guide – 834 MCE Benefit Enrollment and Maintenance Transaction* for more information about this transaction.

The CMO member enrollment roster provides the CMO with a detailed list of members for whom the CMO is responsible. Change files are created twice a month, indicating new, terminated, or deleted

members, or changes to continuing member records that have occurred since the previous change file was created. Audit files are created near the end of each month listing all members effective with the CMO and region as of the first of the following month. An additional change file runs on the last day of each month to capture and report last-minute eligibility changes affecting the following reporting period. The member enrollment roster's segments are categorized as follows in the Companion Guide 834 change files:

- Continuing enrollees
- New enrollees
- Terminated enrollees
- Deleted enrollees who appeared as eligible members on the previous roster, but whose eligibility terminated before the actual effective date with the CMO
- Unpassed eligibility due to timing of the PMP change
- Worksheet summarizing the categories listed above

In addition to the eligibility status and demographic information, the CMO member enrollment roster includes auto-assignment and level of care. The auto-assignment indicator is used to identify members who were auto-assigned regardless of the auto-assignment reason (previous PMP, case ID, default). This indicator assists the CMO in identifying members who were auto-assigned and who may not have participated in the enrollment broker's education program provided to new *Care Select* members. CMOs can use this indicator to identify a target population for new member orientation or additional program education. The level of care indicator provides the mechanism of identifying the member's waiver type.

Member's benefit package is also included on the *834 MCE Benefit Enrollment and Maintenance Transaction Companion Guide*.

Monthly member enrollments are provided to the CMO in the following two segments:

- Care management enrollments entered into IndianaAIM from the 11th through the 25th days of the month are processed on the 26th and available to the CMO in the early morning hours on the 27th of the month, listing members with effective dates on the first day of the following month.
- Care management enrollments entered in IndianaAIM from the 26th day of the month through the 10th day of the following month are processed on the 11th and available to the CMO in the early morning hours on the 12th day of the month for members with effective dates on the 15th day of the current month.

Electronic Transmission of the CMO Member Eligibility Rosters

The CMO 834 benefit enrollment and maintenance transactions are available three times a month to CMOs on File Exchange. To exchange data with the IHCP using File Exchange, trading partners are required to have an Internet service provider and secure file transfer protocol (SFTP) client software. Users may access File Exchange 24 hours a day, seven days a week.

The jobs that create the enrollment rosters always run on the evening of the 11th (Change File), 26th (Change and Audit Files), and the last day of the month (Change File) for every month. Files and summary reports are available for download from the File Exchange during the early morning hours of the 12th, 27th, and the first day of the following month.

PMP Enrollment Rosters

PMP member enrollment rosters are printed the 11th and 26th of every month and mailed to the PMP's **pay to** address. The roster includes any new, continuing, or terminated panel members by CMO ID linked to each PMP's individual or group PMP affiliation. The new enrollee column includes new and redetermined members. The redetermined members are identified by their start dates. The start date for redetermined members is the first date the member was assigned to that PMP with new members having more recent dates. Groups receive rosters under their group names and provider numbers. The roster is sorted by the provider number of participating PMPs.

Discrepancies in Eligibility Reporting

Deleted Eligibility

Member data on enrollment rosters is current as of the day the rosters are produced. Because the enrollment rosters are produced three times a month, while IndianaAIM is updated with daily ICES transmissions, changes in enrollment may occur during the period between the production of the roster and the effective date. The end-of-the-month change files will help providers with more timely updates. Some scenarios that cause eligibility reporting discrepancies follow.

Member Information Changes

A member may become ineligible before the effective date of enrollment with a CMO. For example, a member auto-assigned to the CMO on the 20th day of the month with an effective date on the first day of the following month appears on the 834 CMO change file produced on the 26th of the month. If the member lost eligibility prior to the effective date in the CMO health plan, the member is reported as a deleted member on the next 834 change file. CMOs must have a procedure to remove deleted members from their records.

When a CMO receives member information regarding a change of address or telephone number, the CMO may complete *State Form 44151, Report of Change*, and complete the CMO's internal procedure for updating the CMO's database. CMOs must use the blue form (*State Form 44151*) to report changes to the enrollment county DFR. The CMO must complete only the name of the case, case number, change of address information, and telephone number. Under the state seal, the CMO representative must write **Per client call to (Name of CMO) on (date)**, and the CMO representative must sign the form. After matching the member with the appropriate county, the CMO representative can use a prefabricated reference file or the Internet listing of the Division of Family Resources (DFR) offices to submit changes directly to the county Office of Family Resources (OFR). As the result of the State's eligibility modernization project, the CMOs will direct member changes and inquiries to the FSSA/DFR Service Center, as delineated in the project phase-in time line. Information regarding the eligibility modernization project can be found at <http://www.in.gov/fssa> – click **Eligibility modernization**.

The contact information for the FSSA/DFR Service Center is as follows:

**FSSA/DFR Service Center
P.O. Box 1810
Marion, IN 46952**

Call Center Telephone Number: 1-800-403-0864

The CMO also notifies the DFR or call center within 30 days of the date the CMO becomes aware of the death of one of its *Care Select* enrollees and provides the following:

- Member's full name

- Member's address
- Member's Social Security number (SSN)
- Member's RID
- Date of death

The CMO has no authority to pursue recovery against the estate of a deceased IHCP enrollee.

The change form for *Care Select* members whose coding identifies them with a Marion County Office, DFR must be submitted to the administrative office at the following address:

**Marion County Office of Family Resources/Department of Child Services
129 E. Market St., Suite 1200
Indianapolis, IN 46204**

This office uses courier service to the other Marion County Office, DFR locations daily.

The change form for *Care Select* members whose coding identifies them as Lake County residents must be submitted to the administrative office at the following address:

**Lake County Office of Family Resources/Department of Child Services
661 Broadway
Gary, IN 46402**

CMOs can obtain *State Form 44151, Report of Change*, by faxing a request on an official CMO letterhead to the State Forms Distribution Center at (317) 591-5333. There is no charge for the forms, which are issued in packages of 100.

Hard copy requests *instead* of faxed orders may be mailed to:

**Forms Distribution
6400 E. 30th Street
Indianapolis, IN 46219**

Note: Do not send both a fax and mailed request for forms.

CMOs can also download the form from the Forms section of <http://www.in.gov/fssa>.

Eligibility Verification

Enrollment transactions reflect members' status in IndianaAIM as of the day the roster was produced. As explained earlier in this section, ICES eligibility is updated daily in IndianaAIM. The eligibility verification options described in the following subsection are updated with the daily ICES information; therefore, they contain the most current eligibility status. CMOs must advise providers to *verify member eligibility each time a service is rendered*. Failure to verify eligibility may result in a provider rendering services to an ineligible member. The eligibility verification systems provide an inquiry verification number that must be recorded in the event it is required for subsequent transactions. CMOs must assume all telecommunication and hardware costs associated with these systems.

Options for Eligibility Verification

The Eligibility Verification System (EVS) consists of three options: the Automated Voice Response (AVR) System, Point-of-Service (POS) Terminal Device (also called Omni,) and Web interChange. Using any of these options, eligibility verification is accomplished in a real-time, interactive mode.

After the user enters the provider number, the member ID number, and the *From* and *Through* dates of service, eligibility information is transmitted. The eligibility information includes the member's PMP name and telephone number, along with the CMO's name and telephone number.

Section 10: Network Development, Services, and Data

Provider Network

Because people with disabilities and chronic conditions often spend years finding providers with the appropriate clinical knowledge and disability competency, the composition and adequacy of the CMO's provider network is critical.

The CMO must ensure that its provider network is available, is geographically accessible, and provides adequate numbers of PMPs for the provision of high-quality covered services for its members, in accordance with *42 CFR 438.206*. The CMO must also ensure that all its contracted providers are IHCP providers and can respond to the cultural, racial, and linguistic needs of the Indiana *Care Select* population. The network must be able to handle the unique needs of Indiana *Care Select* members, particularly those with special healthcare needs.

The OMPP will regularly and routinely monitor network access, availability, and adequacy. Failure to demonstrate a complete and comprehensive network prior to the contract effective date may result in a delay of initial member enrollment. Failure to meet the PMP provider network standards may result in corrective action plans and liquidated damages, as determined by the OMPP. The OMPP will monitor the CMO's PMP provider network to confirm the CMO is maintaining the required level of access to care. The OMPP reserves the right to increase the number or types of required specialty providers at any time.

Physicians with these specialties can apply for enrollment as a primary medical provider (PMP):

- Family practitioner
- General practitioner
- Obstetrics and gynecology (OB/GYN)
- General pediatrician
- General internist
- All other physician specialties (provider type 31) may enroll as PMPs. However, specialist PMPs will not receive members through the auto-assignment process. Specialist PMPs will receive members only if the member actively chooses that physician as a PMP.

Note: Physicians must be enrolled in the IHCP at the service location where they wish to practice as a PMP before contracting with a CMO to be a PMP.

The *Care Select* network consists of providers directly contracted or subcontracted with the CMO. The CMO must provide members with a network directory at enrollment and upon request. The directory must include PMPs and self-referral services. The directory must also include providers' names, addresses or geographic locations, telephone numbers, office hours, description of office accessibility, spoken languages, and physician types, including certification and scope of practice. The network directory must be updated monthly, or as needed, using addenda or reprints.

Physician Extenders

According to *IC 25-27.5*, the following physician extenders are licensed to provide care in Indiana:

- Advanced practice nurses, including nurse practitioners, nurse midwives, and clinical nurse specialists
- Physician assistants
- Certified registered nurse anesthetists

The CMO must implement initiatives to encourage providers to use physician extenders. Examples of these types of initiatives include:

- Educate providers about the benefits of physician extenders
- Educate providers about reimbursement policies for physician extenders
- Offer financial or nonfinancial incentives to providers who increase their use of physician extenders to increase access

Regional Network Development

Upon a date determined by the State, the CMO must have a regional provider network comprising PMPs. This network may consist of providers contracted or subcontracted with the CMO. The OMPP or its contractor conducts a readiness review of the provider network prior to the effective date of the CMO contract.

The CMO must consider the following in developing a regional network that renders services to members in *Care Select*:

- Anticipated enrollment
- Access to care within the network location of PMP service sites, travel time, availability of public transportation services, or other factors affecting accessibility to care in a given service area
- Response to the cultural, racial, and linguistic needs of the population
- Assessment of the number and type of primary medical providers accepting newly enrolled members
- Detailed process for credentialing and recredentialing providers to ensure that provision of quality care is maintained

The CMO must document a complete description of the provider network available to enrollees. There must be a plan that ensures selected PMPs are accessible, taking into account travel time and the availability of mass transit for enrollees.

The network development plan must also include, but is not limited to, the following:

- Goals and objectives
- Gantt chart, including a list of network development tasks, associated time frames, and responsible positions
- Description of how the network development plan interacts with education and outreach, quality improvement, and financial stability

- Description of the corrective action process
- Description of strategies and methods used for recruiting providers, including staff positions and time frames
- Description of target areas for network development
- Reports that include number and type of providers enrolled and current provider-to-member ratios
- Evaluation plan of network development activities
- Physician incentive arrangements

The plan must establish numeric, geographic, and linguistic targets based on IHCP-eligible members and expected enrollments. The plan must detail targeted areas for development, prioritization of those targeted areas, explanation of how development is accomplished, and established time lines for implementation. The plan must include functions for evaluation of plan success or failure in achieving targets, resolution of problems in plan implementation, and plan modification based on updated projections.

CMO Responsibilities for PMP Requirements

When the physician elects to participate in *Care Select*, he or she may contract as a PMP with one or more CMOs. PMPs may also participate as specialists in any other *Care Select* health plan.

The CMO must ensure that each member has a PMP who is responsible for providing ongoing primary care appropriate to the member's needs. PMPs must coordinate each member's care and make any referrals necessary. The OMPP requires CMOs to provide access to PMPs within at least 30 miles of the member's residence.

The CMO's PMP contract must state the PMP panel-size limits, and the CMO must assess the PMP's non-*Care Select* practice when assessing the PMP's capacity to serve the CMO's members. The OMPP monitors the CMO's PMP network to evaluate its member-to-PMP ratio on a quarterly basis.

The CMO must have a mechanism in place to ensure that contracted PMPs provide or arrange for coverage of services 24 hours a day, seven days a week. PMPs must have mechanisms in place to ensure that members are able to make direct contact with their PMPs, or with PMPs' qualified clinical staff, through a toll-free member services telephone number 24 hours a day, seven days a week. [Appendix D: After Hours/24 Hours Availability Audit Quality Improvement](#) outlines the audit process to determine if there is appropriate and easy access to the PMP outside regular business hours.

The CMO must also ensure that PMPs are available to see members a minimum of 20 hours over a three-day period at any combination of sites. The CMO must also assess the PMP's non-*Care Select* practice to ensure that the PMP's *Care Select* population is receiving accessible services on an equal basis with the PMP's non-*Care Select* population.

The CMO must ensure that the PMP provide *live voice* coverage after normal business hours. After-hour coverage for the PMP may include an answering service or a shared-call system with other medical providers. The CMO must ensure that members have telephone access to their PMP in English and Spanish 24 hours a day, seven days a week.

The CMO must ensure that PMPs are maintaining the PMP medical care standards and practice guidelines detailed in *Chapter 4* of the *IHCP Provider Manual*. The OMPP monitors medical care standards to evaluate access to care and quality of services provided to enrollees and to evaluate providers regarding their practice patterns.

Provider Directory

The CMO must provide its members, the OMPP, and the enrollment broker with the following information about its network providers, as required by the *Code of Federal Regulations (CFR)* at 42 CFR 438.10(e):

- Lists of PMPs, the PMPs' service locations (including county), telephone numbers, office hours (including evening and weekend hours of operation), type of PMP (for example, family practice, general practitioners, general internists, general pediatricians, obstetricians and gynecologists), languages spoken by the provider or provider's office personnel, and whether the PMPs are accepting new members

The fiscal agent provides a daily electronic data file of the PMPs to the enrollment broker that includes the provider name, specialty, 24-hour telephone number, service location code, service location information, CMO ID, region codes, effective date, end date, PMP actual panel size, panel size, panel size effective date, panel size end date, and panel size hold indicator.

The CMO must maintain an update process with the OMPP or its agent to transmit changes in provider status including, but not limited to, provider additions, deletions, and opening or closing of practices.

The CMO must include provider network information in an OMPP-approved format on its member Web site. Provider network information on the CMO's Web site must be updated monthly and be available for users to print from remote locations.

Section 11: Referral Authorization Process

Referral/Authorization Process

This section describes the OMPP's policies for the PMP referral process in *Care Select*. To act effectively as a member's medical case manager, the PMP is responsible for determining whether to authorize, via the referral process, most services provided to members enrolled in *Care Select*, if the PMP is not providing the service. The PMP is responsible for all PMP-related services rendered to patients on his or her panel. The PMP must document all referrals of *Care Select* members.

Automatic Referrals

If, at the time of PMP assignment, a member has an established relationship with another provider from whom the member requires immediate medical attention, the newly assigned PMP is required to make an automatic referral to that provider to maintain continuity of care. Examples of this situation include:

- Members who enroll in *Care Select* during late stages of pregnancy (third trimester)
- Members who have previously scheduled surgery with a physician other than the PMP

PMP Certification or "Cert" Code

Upon enrollment in *Care Select*, each PMP receives his or her own certification or "cert" code, which is required for the program referral process. During the Web PMP enrollment, the certification codes are automatically assigned and recorded in IndianaAIM for new PMPs. A certification code letter is mailed to the PMP. A copy of the certification code letter can be found in the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>. Subsequent certification codes are system-generated.

PMPs are mailed a new, randomly generated, two-character, alphanumeric certification code from EDS approximately three weeks before the beginning of each calendar quarter. It is possible for more than one PMP to have the same certification code. However, the combination of the PMP's provider number and the certification code creates the unique PMP authorization code required for referrals.

Certification codes are valid only for one calendar quarter. This procedure discourages referred providers from using a PMP's authorization inappropriately. Because a PMP is responsible for all PMP-related services rendered to patients on his or her panel, inappropriate distribution of a PMP's certification code is strongly discouraged.

If the dates of service for a course of treatment extend over more than one calendar quarter, providers must obtain the certification code for each quarter during which the services were rendered.

Billing for services over multiple calendar quarters must be submitted on separate claim forms. Billing for services for overlapping PMP/member-assignment dates must be submitted on separate claim forms.

PMP referrals through the use of the PMP's certification code should not be confused with the prior authorization process that is necessary for some specific IHCP or *Care Select* covered services.

CMOs have access to their applicable certification codes via OnDemand reports to facilitate questions regarding certification codes and letters. The certification code reports are as follows:

- MGD-0017-D: Daily Care management – Cert Code Summary Report ADVANTAGE Health SolutionsSM
- MGD-0017-Q: Quarterly Care management – Cert Code Summary Report ADVANTAGE Health Solutions
- MGD-0018-D: Daily Care management – Cert Code Summary Report MDwise
- MGD-0018-Q: Quarterly Care management – Cert Code Summary Report MDwise

The OMPP has defined specific situations in which CMOs can provide administrative authorization or release a *Care Select* PMP certification code to another provider to facilitate service delivery to a *Care Select* member. The policy can be found in the *Indiana Care Select CMO Policy and Procedure Manual* on the State's SharePoint site at: https://myshare.in.gov/FSSA/ompp/managed_care/cs.

PMP Referral Process

All PMP services that are not provided by the member's PMP must be referred by the PMP in the following manner:

Referrals may be given in writing or by telephone. For your convenience, a sample referral form is provided in [Appendix A: Sample Written Referral Form](#). This form may be used if the PMP elects to make written referrals, but this is not required.

Referrals must include the PMP's provider identification number and certification code.

The referral must be documented in the medical record by the PMP.

The PMP must specify which services are covered by the referral. The PMP referral may cover one or multiple visits to complete a plan of care, but the referral must be renewed at the beginning of each calendar quarter to ensure reimbursement of claims.

The provider receiving the referral must document the referral in the member's chart.

Group Practices and Clinics

Services provided by *Care Select* PMPs and nurse practitioners enrolled under a common billing number, within the same group practice/clinic as the patient's PMP, do not require a formal referral from the member's PMP, if services are billed under the same group provider number. In instances where a physician is enrolled in the same group/clinic as the member's PMP and renders care to the member, the services/care provided must be documented in the member's chart.

If the rendering physician within the same group is also a PMP enrolled in *Care Select*, the certification code is not necessary on the claim form. If a non-PMP enrolled physician within the same group/clinic practice renders services to a *Care Select* member, the certification code is required on the claim form.

Section 12: Prior Authorization

Prior Authorization Overview

Prior authorization (PA) is a mechanism to determine the medical necessity of selected nonemergency, Medicaid-covered, medical services before delivery (and retroactively in special cases). Providers submit requests for PA to perform specified services.

Each CMO is responsible for processing medical service PA requests and updates for members assigned to their organization at the time of the request. Additionally, ADVANTAGE Health SolutionsSM is responsible for processing PA requests and updates for all Traditional Medicaid fee-for-service (FFS) members. ACS will continue to serve as the pharmacy PA contractor. For pharmacy PA information, contact ACS Clinical Call Center at 1-866-879-0106.

Providers are responsible for submitting their PA request to the appropriate CMO. To that end, the OMPP has chosen to more clearly define the CMO roles and responsibilities to outline the procedure and process for submitting and receiving PA requests. The policy and PA examples can be found in the *Indiana Care Select CMO Policy and Procedure Manual* on the State's SharePoint site at: https://myshare.in.gov/FSSA/ompp/managed_care/cs

The responsibility for processing and completing a PA request is determined by the member's enrollment status on the date the PA request is received by the CMO. If a PA request deviates from this policy, the PA request is rejected and the CMO shall submit a letter to the provider through IndianaAIM as notification of the rejection. This policy applies to retroactive PAs, normal PA requests, home health, hospice, and other PAs as necessary.

In addition, this policy is applicable for certain PAs for the Hoosier Healthwise (HHW) population, specifically for services carved out of HHW and for services rendered during retro-eligibility coverage for those members. If a member is FFS on the dates of service, but is enrolled with HHW at the time ADVANTAGE receives the retroactive PA, or if the PA is for a carved out service, ADVANTAGE (FFS) is responsible for processing and completing the PA request.

Note: Additional information submitted to the member's new CMO – instead of to the member's previous CMO, where the original PA request was sent – will be rejected, and you will need to submit that information to the member's previous CMO.

If you have received PA from a Hoosier Healthwise MCO, a copy of the MCO's written authorization must be submitted to the member's CMO. Authorizations are valid for 30 days from the date of eligibility in *Care Select* or for the remainder of the PA dates of service, whichever comes first. Providers are encouraged to fax PA requests to the member's assigned CMO for more efficient PA processing.

Coverage may not be arbitrarily denied or reduced, and is subject to certain limitations, in accordance with 42 CFR 438.210(a)(3)(iii) regarding:

- Medical necessity determinations
- Utilization control, provided the services furnished are sufficient in amount, duration, or scope to reasonably be expected to achieve the purpose for which the services are furnished

Covered services are medically necessary if, in accordance with IC 27-8-10-1(u), they:

- Are recommended by a legally qualified physician
- Are commonly and customarily recognized throughout the physician's profession as appropriate in the treatment of the patient's diagnosed illness
- Are not primarily for the scholastic education or vocational training of the provider or patient

To obtain a PA, providers may submit a Prior Review and Authorization Request via telephone (depending on the service), Web interChange, fax, or in writing. More information about PA forms is provided below.

The following provider types can submit PA requests via Web interChange:

- Chiropractor
- Dentist
- Doctor of medicine
- Doctor of osteopathy
- Home health agency (authorized agent)
- Hospice
- Hospitals (authorized agent)
- Optometrist
- Podiatrist
- Psychologist endorsed as Health Service Provider in Psychology (HSPP)
- Transportation providers (authorized agent)

Additional information regarding submission of PA requests via Web interChange can be found at <http://www.indianamedicaid.com/ihcp/index.asp>.

Telephone PA requests do not require request forms but may require follow-up documentation. In most cases, the provider receives an immediate response. All PA requests are reviewed using the same criteria regardless of the method by which the request was received. Once reviewed, the contractor staff updates IndianaAIM, which produces a Notification of Approval, Modification, or Denial (the provider receives this information verbally if the request is made by telephone). The requesting provider receives a system-generated Indiana Prior Review and Authorization Request Decision Form, indicating the approval status of his or her request. If the approval is "other than approved," the form is accompanied by an explanation of the decision and a description of the provider's administrative review/appeal rights. Members also receive notice of the decision and a description of appeal rights.

Notification of approval or denial is given at the time the telephone call is made for the following services:

- Inpatient hospital admission and concurrent review, when required under this rule.
- Continuation of emergency treatment for conditions listed in Section 13 of this rule on an inpatient basis. The request was originally without prior authorization and subject to retrospective medical necessity review.

Prior authorization may be obtained by telephone, provided a properly completed prior authorization request form is subsequently submitted for the following services:

- Medically reasonable and necessary services or supplies to facilitate discharge from or prevent admission to a general hospital

- Equipment repairs necessary for life support or safe mobility of the patient
- Services when delay in beginning the services could reasonably be expected to result in a serious deterioration of the patient's medical condition

For ongoing conditions, a provider may request an update (for example, extension of service, change of member condition) of the existing PA rather than submitting a new PA request. Updates can be requested by telephone, fax, or in writing. Once a decision is made, IndianaAIM produces a System Update Form showing the information that was changed.

Prior Authorization Form

To provide the level of service to which providers are accustomed, each CMO will continue to use the same PA and Medical Necessity forms that are currently used. Because there are multiple PA entities, the PA form has been modified so it doesn't include the submission address for PAs. However, the form includes a link to access the organizations performing PA to ensure that the PA request or update is mailed to the correct address.

Some fields have been modified and new fields added to the *Prior Review and Authorization Request* form, *Prior Review and Authorization Dental Request* form, and the *Prior Authorization-System Update Request* form. These forms are located on the IHCP Web site at <http://www.indianamedicaid.com/ihcp/Publications/forms.asp>. The modifications to the forms include a change to the member information section that allows a provider to select the program to which the member is assigned, based on the information provided by the eligibility verification system. A new field has been added in the requesting provider area to indicate the *Mail To Provider ID* and *Service Location*. If you are the requesting provider, but do not have a service location associated with your requesting provider ID, complete these fields in conjunction with the requesting provider information to ensure that the system generates a provider mailing address for the PA decision letter. If you fail to complete this field and you don't have a service location, your PA decision letter will not be produced and sent. By indicating a provider ID and service location in the requesting and mailing provider ID and service location fields, the mailing provider ID information will be selected as the mailing address for the PA decision letter.

EDS has established a link in the contents Web site of http://www.indianamedicaid.com/ihcp/mailling_list/default.asp for providers to easily access the organizations that are performing PA and their contact information, such as contact telephone numbers, mailing address, and so forth. It is important for providers to know that this information will always be retrieved from real-time data available in the IndianaAIM claims processing system. Therefore, this information may be more current than information available in the *IHCP Quick Reference Guide*.

PA Number Format

The PA number is now alphanumeric to identify the organization that processed the PA request. Modifications have been made to all Eligibility Verification Systems (EVS), as well as to Web interChange, to accommodate the alphanumeric PA number.

PA Process

The review of PAs will remain consistent across the CMO and FFS organizations performing PA determinations to serve as a utilization management measure allowing payment only for those treatments and services that are medically necessary, appropriate, and cost-effective. *Care Select* will emulate the PA requirements that have been established for the Traditional Medicaid FFS population.

Because there will be multiple vendors performing PA, providers must verify member eligibility to determine to which organization to send the request. The EVS available to the provider community provides specific information regarding the member's assignment to a PMP and CMO. PA requests must be submitted to the CMO to which the member is assigned on the date of the request. PA updates that are submitted for review must also be submitted to the appropriate CMO. For example, if the member is assigned to MDwise at the time the PA was originally submitted, but has since moved from *Care Select* to Traditional Medicaid fee-for-service, the PA update should be submitted to ADVANTAGE Health Plan-FFS for review. This protocol should be followed regardless of which program the member belongs to.

Note: If the required documentation is not received timely, the PA will be modified to reflect the date of receipt of the documentation.

Rejected PA Requests

If a provider submits a paper or faxed PA request to the incorrect organization, the provider receives a PA decision letter informing him or her of the rejected status of the PA request. However, for PA requests that are submitted via Web interChange, Web interChange systematically determines which CMO/FFS vendor needs to receive the information and sends the request to the correct vendor. For PA requests submitted via the 278 transaction PA Request and Response to the incorrect CMO, the PA request is rejected regardless of the certification type with reason code 78 – *Subscriber/Insured not in Group/Plan identified*, and a PA decision form is not generated. When providers receive notification that a submitted PA request has been rejected, a new PA or PA update request must be submitted to the member's correct CMO or FFS organization.

Suspension of PA Requests for Additional Information

For the PA reviewer to determine if a service or procedure is medically reasonable and necessary, the PA vendor may request more information from the member or provider. The IHCP must receive this information within 30 days, or it must deny the PA. If the PA vendor determines medical necessity, the dates authorized are those on the originally suspended PA request. In the event a PA is in suspense and the member is re-assigned between *Care Select* and the Traditional Medicaid FFS program, the supplemental documentation that has been submitted for review is forwarded to the appropriate PA vendor for review and approval.

If a member is reassigned to a different CMO after a PA request is suspended, providers must send the added documentation to the CMO to which the member was originally assigned, not the CMO to which the member was reassigned. If a new PA is requested, it should be sent to the new CMO.

Additional information submitted by the provider to the member's new CMO – instead of to the member's previous CMO, where the original PA request was sent – will be rejected, and the provider will need to submit that information to the member's previous CMO.

Outstanding Prior Authorizations

If a member changes programs between Traditional Medicaid FFS, *Care Select*, and Hoosier Healthwise, or between Hoosier Healthwise or *Care Select* plans, all existing PAs are honored for 30 days. This requirement is only applicable if the member is re-assigned between Hoosier Healthwise and *Care Select* or the Traditional Medicaid FFS program. PAs that are approved by either of the two *Care Select* vendors or by the FFS vendor will be available in IndianaAIM for claims processing by EDS. The PAs may be for a specific procedure, such as surgery, or for ongoing procedures authorized for a specified duration, such as physical therapy or home healthcare. The IHCP honors the PA for 30 days or for the remainder of the PA dates of service, whichever comes first. Requiring a duplicate

authorization from the new plan places an additional burden on the provider and can result in delayed or inappropriately denied treatments or services to the member.

If the provider received PA from a Hoosier Healthwise MCO, a copy of the MCO's written authorization must be submitted to the member's CMO. Authorizations are valid for 30 days from the date of eligibility in *Care Select* or for the remainder of the PA dates of service, whichever comes first. Providers are encouraged to fax PA requests to the member's assigned CMO for more efficient PA processing.

PA Modifications

The modification of a PA request is defined as the following: "A PA request that has been changed after the initial receipt of the request." In the event that a new service is being requested, a new PA must be submitted. A new PA request is defined as the following: "An initial provider submitted request for PA to perform specified services and a mechanism to determine the medical necessity of selected non-emergency, Medicaid-covered, medical services prior to delivery (and retroactively in special cases)". Furthermore, data entry changes or error corrections to any current PA are considered an update versus a modification.

Modification is only to occur in the following circumstances:

- When an inpatient stay is increased or decreased for a unique inpatient visit
- Any transplant procedure
- Home health plans of treatment in which the dates of service are changed
- Mental health services that are changed midprocedure due to a change in diagnosis
- Physical therapy and occupational therapy services that are changed midprocedure due to a change in diagnosis
- Transportation for currently requested dates of service

If a request to change, add an additional service to, or extend a PA does not meet the criteria above, a new PA must be entered in IndianaAIM which requires a new request form to be submitted, along with the appropriate documentation.

Please see the PA modification policy and examples in the *Indiana Care Select CMO Policy and Procedure Manual* on the State's SharePoint site at: https://myshare.in.gov/FSSA/ompp/managed_care/cs for further clarification.

Psychiatric Residential Treatment Facility (PRTF) – PA Clarification

Per *Indiana Administrative Code 405 IAC 5-20-1*, PA is required for PRTF admissions covered by the Indiana Health Coverage Programs (IHCP). PA requests must be provided to the appropriate PA vendor *before admission*.

For additional information regarding the PA process for PRTFs, please reference bulletins [BT200404](#) and [BT200845](#).

Required Documentation for Initial PA PRTF Requests

The following documentation is required for an initial PA request:

- Intake assessment
- The PA request form

- Certification of Need for Admission (form 1261A)
- A current (within 60 days of request) Physician History & Physical
- Current inpatient treatment plan, if appropriate
- Physician progress notes
- Nursing notes from inpatient treatment, if appropriate
- Physician letter recommending the child for residential treatment

PA Processing Timelines

After the PA request and all required documentation are received, a PA decision is issued within 10 business days, excluding holidays, for members who are in traditional FFS Medicaid and within five business days, excluding holidays, for members enrolled in Indiana *Care Select*. Examples of the PA decision letters can be found in the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>.

Emergency Requests

If the request warrants emergency review, you must contact the appropriate PA vendor to request an emergency PA. The PA request is placed in a pending status awaiting all required documentation noted previously. This documentation can be mailed or faxed to the appropriate plan administrator. All documentation must be submitted within 14 business days from the date of the initial request for emergency review. After the documentation is received, a decision is issued within 10 business days for FFS and within five business days for *Care Select*.

- If the admission is approved, the approval reflects the date of the initial telephone or fax request for admission.
- If the admission occurred prior to the date in which the PA was initially requested, the PA is modified to reflect an untimely request, unless the member is eligible for retroactive consideration.
- If the request for admission is denied, the provider is not reimbursed by the IHCP for any of the days of the PRTF stay. A provider may request an Administrative Review (AR) of a modification or denial of a PRTF stay.
- If the AR upholds the original decision, the provider may choose to appeal the decision. Please refer to *Chapter 6 of the IHCP Provider Manual* for additional information regarding the AR and appeals process.

Continued Stays

Monthly treatment plan reviews and physician or Health Services Provider in Psychology (HSPP) progress notes and nursing notes with sufficient detail must be submitted for review every 30 days of residential care. The specific list of required documentation is in [BT200404](#).

Hearing and Appeal and Administrative Review

Hearings and Appeals, as well as Administrative Reviews, will be completed by the PA vendor who denied the request. (In the event that the Hearing and Appeal or Administrative Review is submitted to the incorrect CMO or FFS organization, the request will be returned to the provider for submission to the appropriate organization for review.) If the member has been assigned to a different program since the request for PA was denied, providers can either appeal to the PA vendor that denied the request or submit a new PA request for review to the current CMO/FFS PA vendor for review. The policies and procedures regarding Hearing and Appeal or Administrative Review will remain the same as currently published. This information is distributed to the provider and member upon generation of the PA

decision letter or PA update. Further information regarding Hearing and Appeal and Administrative Review can be found in the [IHCP Provider Manual, Chapter 6, Prior Authorization](#).

PA System Support

The CMO is responsible for providing hardware, software, and communications links for contractor staff to meet the requirements set forth by the OMPP and to use the capabilities and functionality present in IndianaAIM.

IndianaAIM performs the following functions to support the PA process:

- Maintains all PA requests online (IndianaAIM stores all PA requests regardless of current status, for example, under evaluation, approved, and denied)
- Decrements PA units during claims processing
- Maintains an authorization history for all members with PAs on file
- Links PAs to relevant claims history against approved PAs
- Maintains all PA administrative review and appeal information online
- Produces a variety of daily, monthly, and quarterly reports for PA and State staff; reports provide information used to evaluate and improve the PA process and monitor the timeliness of PA processing
- Produces approval, denial, and other status notifications sent to providers
- Monitors approved home health services in coordination with HCBS plans of care
- Provides an audit trail of changes to the PA file
- Supports authorization of dollars, units, or period of time

PA Contractor Responsibilities and Performance Standards

The following presents the performance standards for prior authorization. The CMO shall be responsible for meeting these standards, and shall be subject to performance penalties as outlined elsewhere in the contract if they are not met.

1. Receive PA requests and approve or deny the requests, as appropriate, by implementing mechanisms to ensure consistent application of review criteria for authorization decisions; and consulting with the requesting provider when appropriate.
2. Accept and enter PA determinations made by the Children With Special Health Care Needs program and other State programs.
3. Review and approve hospice authorization requests in accordance with State instructions and process the required paperwork, assuring that paperwork is properly completed and that appropriate signatures are present when required.
4. Enter 95 percent of all PA requests into the IndianaAIM PA system online within two business days of receipt. Enter the remaining 5 percent within five business days of receipt. The CMO must develop and submit a report to the State to verify how this standard is being met.
5. Provide adequate professional medical and behavioral health staff to manage the PA function, including medically knowledgeable PA analysts for processing requests and availability of licensed

medical professionals to provide consultative services regarding all Medicaid-covered service types. The CMO shall submit to the State a list identifying the individuals responsible for performing PA activities and the types of services for which each individual is responsible. The CMO shall submit a quarterly report to the OMPP detailing how often and for what number and type of PA requests the licensed medical professionals were used in determining whether to approve or deny a request.

6. Research, analyze, and evaluate all PA requests to ensure that all medical facts have been considered before rendering a decision to approve or deny the request. Ensure that PA staff uses well-defined processes and procedures for research and analysis of PA requests.
7. Correctly disposition (that is, approve, deny, or modify, not merely enter into IndianaAIM as pending) prior authorization requests within five business days of receipt for *Care Select* and 10 business days for FFS. Any decision to deny a service authorization request or to authorize a service in an amount, duration, or scope that is less than requested must be made by a healthcare professional who has appropriate clinical expertise in treating the enrollee's condition or disease.
8. Ensure that noncovered or *per diem*-reimbursed services are not prior authorized.
9. Ensure that authorized dollars and units are appropriately decremented from the PA file by paid claim.
10. Review, verify, and deliver to the State, within 15 calendar days of the following month, a report summarizing the CMO's PA activities performed for the preceding month. The report shall delineate the method of request, types of services, and number of services being requested by the provider community, and whether each request was approved or denied. The report should include each request as a single line item, as well as summary information. The exact format and content of the report will need to be finalized in consultation with the OMPP.
11. Maintain a sufficient number of toll-free (for Indiana and contiguous states) telephone lines and qualified personnel to staff the telephone lines so that:
 - At least 90 percent of incoming calls are answered on or before the fourth ring.
 - No more than 10 percent of incoming calls ring busy or remain on hold for more than one minute.
 - No more than 5 percent of incoming calls remain on hold for more than two minutes.
 - Average hold time does not exceed 30 seconds.
 - Call length is sufficient to ensure that adequate information is imparted to the caller.
12. Staff PA telephone lines from 7:30 a.m. to 6 p.m. in all the State's time zones Monday through Friday (including State holidays). The CMOs should provide to the OMPP an explanation of what coverage is available for after-hours PA requests.
13. Provide a minimum of three fax lines and fax machines dedicated to receipt of PA requests, with sufficient memory or buffers to handle multiple incoming transmissions.
14. Produce monthly reports of PA telephone and fax line availability, incomplete calls, and disconnects. Furnish these reports to the State within five days of the end of the month.
15. Post the medical criteria and a list of services requiring PA for providers to access online, and make the list of services and criteria available in hard copy upon request. Hard copies of the criteria shall be provided within five business days of the provider's request. The CMO may charge providers for copies made of the criteria, but the cost shall not exceed the CMO's cost to produce the copies.
16. Interface with providers on a regular basis to refine procedures for submission of PA requests to ensure that internal policies agree with changing practices in the provider community. Provide necessary staff to attend meetings (provider association meetings, and so forth), as needed.

17. Research and prepare appropriate, timely, accurate, and thorough responses to inquiries received from the State or providers. Inquiries from government officials require written response within three business days of receipt. All other inquiries require a response within 10 business days of receipt.
18. Design PA forms or attachments, as needed, or define revisions to existing forms if changes are needed. All forms are subject to OMPP approval. Produce, print, and distribute to providers, free of charge, PA forms and procedure manuals.
19. Purge old PA records according to State-specified criteria.
20. Prepare an annual work plan for the PA unit and update the work plan quarterly. The annual plan shall be delivered 60 calendar days before the end of the calendar year, and quarterly updates shall be delivered every 90 days thereafter. The work plan shall include projects that will be performed, anticipated schedules, and resources for the projects. The work plan shall also include a summary of the activities performed the previous quarter or year. Upon completing each quarterly review, the CMO shall provide the State with a report of progress made to date on the projects. The quarterly report shall be delivered to the OMPP for review, and the OMPP's input shall be incorporated.
21. On a semiannual basis, covering the period from January through June and July through December, the CMO shall provide a trending analysis to the State to evaluate authorized services, the number of services rejected, the number of appeal requests by PA category, and the number of appeals that are successful. Upon completion of the qualitative and quantitative analysis, the CMO shall provide recommendations to the State for suggested policy changes. The report shall be delivered within 30 days of the end of the six-month period.
22. On a semiannual basis, covering the period from January through June and July through December, initiate a review of administrative reviews, hearings, and appeals from the previous period to determine if providers are submitting sufficient information for making appropriate PA decisions. The analysis shall include evaluating administrative reviews to determine how many result in a reversal, denial, or modification. Upon review completion, findings will be provided to the State that include potential policy change recommendations to correct problems.
23. Implement a quality assurance process and establish procedures to periodically sample and review dispositioned PA requests to determine if PA policies and procedures are being followed.
24. Conduct quarterly quality assurance reviews to ensure appropriateness of Medicaid PA analyst decisions. Provide the results of these reviews to the State no more than 30 days after the end of the quarter.
25. Provide staff to represent the State through written and personal testimony, as well as research and documentation in PA appeal matters, grievances, and court cases.
26. Participate in periodic reviews of PA criteria against current practices to ensure appropriateness of PA decisions and to aid in the determination of whether or not changes to policy are required. Include representatives from the Medical Policy contractor and Hoosier Healthwise contractors in the reviews, as appropriate.
27. Refer instances of suspected fraud/abuse to the Surveillance and Utilization Review (SUR) Contractor.
28. Meet at least monthly with the SUR Contractor and Medical Policy Contractor to ensure coordination. Coordinate with the State's Fiscal Agent on PA issues at least monthly or as necessary.

State Functions

The State anticipates that the OMPP or its contractors (not the CMO) will perform the following functions:

1. Review and approve all PA error messages and the content of notification letters.
2. Approve the format of all PA request forms and related material.
3. Specify PA record purge criteria.
4. Work with the contractor to confirm content, format, and expectations for reports prepared by the contractor.
5. Specify and approve the types of services that may be requested by telephone, fax, or other electronic inquiry.
6. Conduct monitoring to ensure that PA decisions are correct and appropriate.
7. Provide policy and procedure research, development, evaluation, and rule promulgation for new rules.
8. Approve prior authorization requests for services not otherwise covered under the State's Medicaid plan but determined to be medically necessary by an EPSDT provider for an EPSDT-eligible child.
9. Provide medical necessity review criteria to the CMO. The State reserves the right to update the criteria as members' needs change.

PA Coordination Activities

The CMO is responsible for the following PA coordination activities:

1. Develop and maintain coordination methods to provide PA information to the OMPP or its designee, such as the Medical Policy Contractor, SUR Contractor, the Fiscal Agent, Waiver Unit staff, and other contractors, including the CMOs, as necessary to support the Medicaid program.
2. Coordinate and establish protocols for call transfers and forwarding of PA requests to necessary outside personnel.
3. Work with the Fiscal Agent to resolve claims issues regarding PA.
4. Coordinate activities with the Medical Policy and Review Services Contractor to develop standards regarding PA assignment. Include standards cited to document decision appropriateness.
5. Proactively provide feedback to the Fiscal Agent and other identified contractors as necessary regarding PA issues.
6. Prepare materials related to PA (for example, appropriate telephone numbers and information on how to obtain hard copies of PA criteria, and so forth), subject to State approval, for inclusion in bulletins, newsletters, manuals, and so forth, prepared and issued by the Fiscal Agent Contractor.

Section 13: Utilization Review

Utilization Management

The CMO must maintain a utilization management program that integrates with other functional units as appropriate and supports the Quality Management and Improvement Program. The utilization management (UM) program may include functions such as:

- Identify instances of over- and underutilization of emergency room services and other health services
- Identify aberrant provider practice patterns (especially related to emergency room, inpatient services, transportation, drug utilization, preventive care, and screening exams)
- Ensure active participation of a utilization review committee
- Perform concurrent review of inpatient and emergency room services at high-volume facilities, as defined by the CMO and approved by the OMPP
- Perform discharge planning at high-volume inpatient facilities
- Evaluate efficiency and appropriateness of service delivery
- Incorporate subcontractor's performance data
- Facilitate program management and long-term quality
- Identify critical quality-of-care issues

For all programs under the UM function, the CMO must maintain updated policies and procedures. The CMO's utilization management program policies and procedures must meet all stated NCQA and Utilization Review Accreditation Commission (URAC) standards, must include appropriate time frames, and must report on:

- Completing initial requests for prior authorization of services
- Completing initial determinations of medical necessity
- Completing provider and member appeals and expedited appeals for prior authorization of service requests or determinations of medical necessity, per State law
- Notifying providers and members of the CMO's decisions on initial prior authorization requests and determinations of medical necessity
- Notifying providers and members of the CMO's decisions on appeals and expedited appeals of prior authorization requests and determinations of medical necessity

The CMO must operate and maintain its own utilization management program. With the OMPP's approval and in compliance with applicable laws and regulations, the CMO may place appropriate limits on coverage for physical and behavioral services on the basis of medical necessity or utilization control criteria, provided the services furnished can reasonably be expected to achieve their purpose.

Note: While pharmacy utilization management (UM) will continue to be conducted through the State's current pharmacy benefit manager, the OMPP strongly encourages the CMO to provide input into pharmacy policy decisions and vice versa, and to regularly review and analyze pharmacy claims data and pharmacy utilization.

The CMO shall follow the State's medical policy decisions and is prohibited from arbitrarily denying or reducing the number, duration, or scope of required services solely because of diagnosis, type of illness or condition, or because of overall program costs.

The CMO shall provide the following utilization management services for physical and behavioral health services requiring prior authorization:

- **Determination of Medical Necessity and Prior Authorization** – Once all relevant information is obtained, the request must be evaluated against nationally recognized and published clinical criteria or guidelines, such as Milliman, HCIA-Sachs, American Society of Addiction Medicine, and Health Management Strategies, to ensure that the request is appropriate. The criteria must differentiate between adults and children and adolescents.
- **Identification of Members Appropriate for Care Management or Disease Management Services** – As part of the initial assessment, the CMO must determine if referral to services such as case management or disease management is appropriate.
- **Concurrent Review** – The CMO must identify cases for concurrent review, evaluate the member's functioning, and determine the next course of action.
- **Discharge Planning** – As part of the discharge planning process, the CMO should identify potential member needs based on clinical characteristics and work with the member, the member's family, and the facility discharge coordinator to ensure that the member receives appropriate post-hospitalization care. The CMO's involvement in discharge planning will be particularly critical to avoid unnecessary nursing home placements. The State is planning to develop a program of transition teams for discharged aged patients. Once this program is operational, the CMO must coordinate with these transition teams as needed to provide care management. The CMO must also coordinate with the AAAs for IndianaOPTIONS counseling, as appropriate.
- **Retrospective Review** – The CMO must provide focused and random retrospective reviews, based on paid claims data, that examine high-cost and problematic areas, including high-payment claims, prior knowledge of inappropriate usage, readmission within 30 days, home health services, and specific diagnosis-related groups (DRGs) that are often upcoded.
- **Development and Review of Clinical Criteria** – The CMO must review, update, and revise clinical criteria annually under the direction of the CMO's Medical Director and Clinical Advisory Panel, and obtain authorization from the OMPP's Medical Policy unit for any changes.
- **Member Education and Member Self-Management** – The CMO is responsible for educating members regarding the importance of using preventive care services, in accordance with preventive care standards. The CMO must encourage and provide opportunities for members to take a proactive role in their own self-management. The CMO's member policies and procedures manual provides information on access to preventive services.
- **Provider Education** – The CMO must provide feedback to PMPs regarding their panel's utilization profile.
- **Identifying, Monitoring, and Addressing Potential Over- and Underutilization** – The CMO must have a process in place to identify inappropriate utilization and must have a plan in place to identify opportunities to address over- and underutilization.

The CMO must establish and maintain medical management criteria and practice guidelines, in accordance with Federal and State regulations, that are based on valid and reliable clinical evidence or consensus among clinical professionals. These criteria and guidelines must also consider the needs of the CMO's members. The CMO's utilization management and case management staff must consist of licensed, experienced healthcare professionals. These professionals must have the clinical expertise and training to interpret and apply utilization management criteria and practice guidelines to providers' requests for healthcare or to service authorizations for the CMO's members. The CMO must periodically review and update the guidelines, distribute the guidelines to providers, make the

guidelines available to providers via its Web site, and make the guidelines available to members upon request.

Utilization Management for Behavioral Health Services

The CMO must manage behavioral healthcare utilization through concurrent and retrospective reviews. The CMO is responsible for prior authorization and monitoring utilization of MRO services provided through CMHCs. The CMO must also facilitate coordination of MRO services and other physical or behavioral healthcare services. The CMO must share member medical data and coordinate care for all members receiving physical and behavioral health services, to the extent possible, based on the member's willingness to sign a consent form to release health information, if consent is required.

Emergency Care

Over the length of its contract with the State, the CMO will implement programs to reduce inappropriate utilization of the emergency room through some or all the following strategies, which may include:

- Having a nurse hotline available 24 hours a day, seven days a week, to help members appropriately use the emergency room (ER), and to assist staff at ER departments who are rendering care to members. If a nurse hotline is available, the CMO shall provide a quarterly report about the volume of calls it receives, whether members were advised to use the ER, and whether members subsequently used the ER.
- Conducting follow-up calls with members who go to the ER.
- Profiling PMPs to identify panels with high ER utilization.
- Educating members about appropriate use of the ER and the availability of a nurse hotline, if offered.
- A mechanism to track the emergency services notification to the CMO (by the ER provider, hospital, fiscal agent, or member's PMP) of a member's presentation for emergency services
- A mechanism to document a member's PMP's referral to the ER.
- A mechanism to alert a member's PMP to the member's presentation for emergency services within 48 hours.

The CMO may not deny payment for treatment obtained when a representative of the entity instructs the enrollee to seek emergency services. When educating members about appropriate use of the emergency room, the CMO should provide guidelines corresponding to the "prudent layperson" standard of an emergency medical condition, as defined in *42 CFR 438.114* and *IC 12-15-12*.

The CMO must allow enrollees to obtain emergency services outside the CMO system, regardless of whether the CMO referred the enrollee to the provider that furnished the services.

Utilization Management Committee

The CMO must have a utilization management committee directed by the CMO's medical director. The committee is responsible for:

- Monitoring providers' requests for rendering healthcare services to its members
- Monitoring the medical appropriateness and necessity of healthcare services provided to its members

- Reviewing the effectiveness of the utilization review process and making changes to the process, as needed
- Writing policies and procedures for utilization management that conform to industry standards, including methods, time lines and individuals responsible for completing each task

Section 14: Quality Improvement Program and Performance Reporting

Quality Management and Improvement Program

The CMO must monitor, evaluate, and take effective action to identify and address any needed improvements in the quality of care delivered to members by all providers in all types of settings, in accordance with the provisions set forth in the CMO's contract. In compliance with State and Federal regulations, the CMO must submit quality improvement data to the OMPP that includes the status and results of performance improvement projects. Additionally, the CMO must submit information requested by the OMPP to complete the State's Annual Quality Assessment and Improvement Strategies Report to the CMS.

The CMO's medical director must be responsible for the coordination and implementation of the Quality Management and Improvement Program. The program must have objectives that are measurable, realistic, and supported by consensus among the CMO's medical and quality improvement staff. Through the Quality Management and Quality Improvement (QM/QI) Program, the CMO must have ongoing comprehensive quality assessment and performance improvement activities aimed at improving the delivery of healthcare services to members. Over time, it may be possible to incorporate physician profiling into the QM/QI program. The CMO should include physician profiling to the extent feasible and should include documentation on its current physician profiling capabilities in the CMO's contract.

The CMO will use claims data as the primary data source to develop and assess the effectiveness of its QM/QI Program. In addition to claims data, the CMO will use other data to assess the effectiveness of its QM program, such as the following:

- Member satisfaction surveys (particularly surveys including issues specifically relevant to people with disabilities and chronic conditions, behavioral health conditions, and so forth)
- Provider satisfaction surveys
- Access and availability audit information
- The reliability of the CMO's data and information technology (IT) systems

As a key component of its Quality Management Program, the CMO will develop incentive programs for providers and members that are based on the OMPP-designated quality improvement targets, with the ultimate goal of improving health outcomes of Indiana *Care Select* members.

The CMO must meet the requirements of *42 CFR 438 subpart D* and the National Committee for Quality Assurance (NCQA), including but not limited to the requirements listed below, in developing its quality management program. In doing so, it shall include an assessment of quality and appropriateness of care provided to members with special needs; complete performance improvement projects in a reasonable time, so as to allow information about the success of performance improvement projects to be incorporated into subsequent quality improvement projects; and produce quality-of-care reports at least annually.

The CMO's Quality Management and Improvement Program must meet the following criteria:

- Includes developing and maintaining an annual quality improvement plan which sets goals, establishes specific objectives, identifies the strategies and activities to undertake, monitors results, and assesses progress toward the goals

- Has written policies and procedures for quality improvement. Policies and procedures must include methods, time lines, and individuals responsible for completing each task.
- Incorporates an internal system for monitoring services, including data collection and management for clinical studies, internal quality improvement activities, assessment of special needs population, and other quality improvement activities requested by the OMPP.
- Participates appropriately in clinical studies, and periodically and regularly (at least annually or more frequently as directed by the OMPP) assesses the quality and appropriateness of care provided to members in accordance with EPSDT/HealthWatch requirements.
- Collects measurement indicator data related to areas of clinical priority and quality of care. The Quality Improvement Committee, in collaboration with the OMPP, will establish areas of clinical priority and indicators of care. These areas may vary from one year to the next and will reflect the needs of the Indiana *Care Select* population. Examples of areas of clinical priority include:
 - Behavioral health and physical healthcare coordination
 - Emergency room use
 - Access to care
 - Special needs care coordination and use
 - Hospital use
 - Disease management
 - Pharmacy use
 - DME use (examine equipment repair rates for members with disabilities, identify members with faulty equipment, and discuss potential resolutions)
 - Hospitalization for ambulatory-sensitive conditions. Use the Agency for Healthcare Research and Quality (AHRQ) Ambulatory Sensitive Conditions list as a starting point for identifying which preventable hospitalizations data to collect. For example, conditions such as urinary tract infections, chronic obstructive pulmonary disease, and bacterial pneumonia are common in people with disabilities and chronic conditions, and represent conditions that could be preventable with effective outpatient care.
 - Report any national performance measures developed by the CMS. The CMO must develop an approach for meeting the desired performance levels established by the CMS upon release of the national performance measures, in accordance with *42 CFR 438.240(a)(2)*.
 - Have procedures for collecting and assuring accuracy, validity, and reliability of performance outcome rates that are consistent with protocols developed in the public or private sector. The CMS Web site contains an example of available protocols.
 - Develop and maintain a physician pay-for-performance program based on clinical and service outcomes priorities set by the OMPP.
 - Develop a member incentive program to encourage members to be personally accountable for their own healthcare and health outcomes. Targeted areas of performance could include the appropriate use of ER services, keeping appointments, scheduling appointments for routine and preventive services, disease screenings, compliance with behavioral health drug therapy, and compliance with diabetes treatment.
 - Participate in other quality improvement activities to be determined by the OMPP.

Quality Management and Improvement Committee

The CMO must establish an internal Quality Management and Improvement Committee to develop, approve, monitor, and evaluate the Quality Management and Improvement Program and annual work plan. The CMO's medical director must be an active participant in the CMO's internal Quality Management and Improvement Committee. The committee must represent management staff, CMO departments and community partners, advocates, members, and subcontractors, as appropriate. Subcontractors providing direct services to members must be represented on the committee. Additionally, the medical director must attend the Quality Improvement Committee (QIC) meetings at least quarterly to update the OMPP and report on the CMO's quality management, improvement

activities, and outcomes. The CMO must have other appropriate personnel attend the Medicaid QIC meeting monthly.

The CMO must have a structure in place (for example, other committees, subcommittees, work groups, task forces) that is incorporated into and formally supports the CMO's internal Quality Management and Improvement Committee and its quality management and improvement plan. All functional units in the CMO's organizational structure must integrate their performance measures, operational activities, and outcome assessments with the CMO's internal quality management and improvement committee to support the CMO's quality management and improvement goals and objectives.

Quality Management and Improvement Work Plan Requirements

The CMO's Quality Management and Improvement Committee, in collaboration with the CMO's medical director, must develop an annual Quality Management and Improvement Work Plan. The plan must identify the CMO's quality management goals and objectives, and must include a time line of activities and assessments of progress towards meeting the goals. The CMO must submit its Quality Management and Improvement Work Plan to the OMPP during the readiness review and annually thereafter, and must be prepared to periodically report on its quality management activities to the Indiana *Care Select* Quality Improvement Committee.

Program Integrity Plan

The CMO must immediately report any suspicion or knowledge of fraud and abuse including, but not limited to, the false or fraudulent filings of claims and the acceptance of or failure to return monies allowed or paid on claims known to be fraudulent. The CMO must report provider fraud to the OMPP, the Indiana Medicaid Fraud Control Unit (IMFCU), and the Surveillance and Utilization Review Unit (SUR). The CMO must report member fraud to the OMPP, the SUR, the Indiana Bureau of Investigation, and the Office of the Inspector General. **However, no Program Integrity Plan is necessary.** Federal financial participation (FFP) is not available for amounts expended for providers excluded by Medicare, Medicaid, or SCHIP, except for emergency services.

State Monitoring of CMO

External Quality Review (EQR)

Per *CFR 438.350*, states contracting with CMOs must ensure that a qualified External Quality Review Organization (EQRO) performs an annual EQR for each CMO, in accordance with requirements set forth in the regulations. Mandatory activities include validation of performance improvement projects and CMO performance measures. Optional activities include validation of administration or validation of consumer or provider surveys, calculation of additional performance measures, and conducting additional performance improvement projects or studies that focus on a particular aspect of services. The results of the independent external review must be made public.

Scope of CMO Monitoring Activities

The OMPP contracts with a consulting contractor to assist in evaluating the effectiveness and efficiency of the *Care Select* care management program and its participating CMOs. The monitoring contractor evaluates the readiness of newly contracted CMOs to participate in *Care Select* and assesses compliance of all CMOs with federal and state regulations and contract provisions. The monitoring contractor also compares CMO policies, procedures, and performance against nationally established standards such as a *Health Care Quality Improvement System for Medicaid Care Management: A*

Guide for States (CMS), Medicaid HEDIS National Committee for Quality Assurance (NCQA), and Indiana's state-specific performance standards. The monitoring contractor works with the OMPP, other OMPP contractors, and the CMOs to provide the OMPP with analysis, findings, and recommendations for quality improvement.

Readiness Reviews

To assist the OMPP in monitoring quality of care, the contractor is responsible for conducting a readiness review of CMOs that contract with the OMPP to determine if the organization is prepared to operate and accept enrollment.

The monitoring contractor verifies that certain program components are present and that a plan is in place to implement the requirements before the CMO is allowed to deliver services to the *Care Select* population. These program components include, but are not limited to, the following:

- Network development (access or availability of services)
- Administration and organizational structure
- Utilization and financial information
- Education and outreach for members and providers
- Member and provider services, including grievance and appeal processes
- Quality management and improvement, including internal quality assurance plans

Readiness reviews typically begin at least eight to 12 weeks before the date a new health plan intends to serve *Care Select* enrollees.

If the contractor reports that the CMO is not meeting the readiness review requirements, the OMPP requires the CMO to develop a corrective action plan that includes a schedule for activities for the corrective action. If the CMO does not implement the requirements within the time indicated in the corrective action plan, sanctions can be issued by the OMPP or the contract can be terminated.

Performance Reporting

The State places great emphasis on the delivery of quality healthcare to *Care Select* members. Performance monitoring and data analysis are critical components in assessing how well the CMO is maintaining and improving the quality of care delivered through *Care Select*. The State uses various performance targets, industry standards, national benchmarks, and *Care Select*-specific standards in monitoring the CMO's performance and clinical outcomes. The CMO must submit performance data specific to *Care Select* unless otherwise specified by the OMPP. The State publishes *Care Select*'s performance and recognizes the CMO when *Care Select* exceeds these performance indicators.

The CMO must comply with all reporting requirements and must submit the requested data completely and accurately within the requested time frames and in the formats identified by the OMPP. The CMO must have policies, procedures, and mechanisms in place to ensure that financial and nonfinancial performance data submitted to the OMPP and the monitoring contractor is accurate and is a true reflection of the CMO's operational efficiency. The CMO must submit its performance data and reporting under the signatures of its financial officer and executive leadership (such as president, chief executive officer, executive director) certifying the accuracy, truthfulness, and completeness of the CMO's data. The *CMO Reporting Manual* details the reporting requirements that are outlined below.

The OMPP reserves the right to audit the CMO's self-reported data and change reporting requirements at any time with reasonable notice. The OMPP may require corrective actions or assess liquidated damages for CMO noncompliance with these and other subsequent reporting requirements and performance standards.

Contractor Reports and Time Frame for Processing

The Contractor shall submit reports and supporting documentation to the State, demonstrating to the satisfaction of the State the Contractor's progress toward the achievement of the performance targets set forth in the contract. Such reports shall be submitted no later than 30 calendar days following the end of each calendar quarter.

The exact format and content of the report, including the requirements for any supporting documentation, shall be mutually agreed upon between the State and Contractor. Each report shall separately identify the Contractor's progress with respect to all the following time periods:

- The most recent calendar quarter
- Calendar year-to-date
- Since the start of the contract

The State shall have 30 calendar days from the date of its receipt of any such report to review the report and any supporting documentation submitted by the Contractor. Within such 30-day time period, the State shall send a written notice to the Contractor indicating that the report has been accepted or rejected. If the report has been accepted, the State's notice shall indicate the amount of payment, if any, recommended, based upon the Contractor's performance relative to the metrics and measures addressed in the report. If the report has been rejected, the State's notice shall indicate that the report is incomplete or otherwise lacking adequate supporting documentation, and/or that the State desires to audit Contractor's records relative to its performance before accepting the report. If a report is rejected as incomplete or lacking adequate supporting documentation, the Contractor shall have 21 calendar days from the date of its receipt of the rejection notice to furnish the State with the requested information. The State shall review any additional information timely submitted and notify the Contractor whether the report has been accepted or rejected based upon the information submitted. In the event the State requests an audit, the State shall conduct its audit within a reasonable time period not to exceed 60 calendar days, provided the Contractor cooperates in such audit, and, within 30 calendar days of completing its audit, shall notify the Contractor whether the report giving rise to the audit has been accepted or rejected.

Reviews

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

Performance Metrics and Health Outcomes Measures Reporting

Performance Metrics and Health Outcomes Measures Reports include the following:

- Member assessments
- Members stratified
- Members with care plan on record

- Members with a delivered care plan
- Timeliness of prior authorization responses
- Call management
 - Calls answered
 - Calls ringing “busy” or on hold for more than one minute
 - Calls on hold for more than two minutes
- Prevention quality indicator measures
- Access to medical care
- Emergency room utilization per member months
- Emergency room utilization per outpatient visit

Administrative and Financial Reports

This section includes all performance reporting required by the OMPP for the *Care Select* CMOs and any additional reporting requirements as requested by the division. Reports in this section include the following:

Vacancies of Key Staff

The CMO must report to the OMPP any vacancies of key staff and its plans for filling those positions and covering the responsibilities created by a key staff member’s vacancy. Likewise, the CMO must notify the OMPP’s care management manager in writing within five business days after a candidate’s acceptance to fill a key staff position or five business days prior to the candidate’s start date, whichever occurs first. Whenever the information changes, the CMO must submit to the OMPP an updated organizational chart, including e-mail addresses and telephone numbers for key staff.

Financial Reporting

An audited financial statement is required and assists the OMPP in monitoring the CMO’s financial trends to assess its stability and continued ability to offer healthcare services to its members. If the CMO does not meet the financial reporting requirements, the State will notify the CMO of the noncompliance and designate a period of time, not fewer than 10 calendar days, during which the CMO must provide a written response to the notification. The CMO must meet Indiana Department of Insurance (IDOI) licensure and financial requirements.

Member Service Reports

Member service reports identify the methods the CMO uses to communicate to members about preventive healthcare and program services and monitor member satisfaction. The following are examples of member service reports:

- Member Helpline Performance Report (quarterly or as determined by the OMPP)
- Member Grievances Report (quarterly)
- Member Appeal Report (quarterly)
- Medicaid Hearing Appeals (as determined by the OMPP)
- Total Number of Members

Network Development Reports

Network development reports assist the OMPP in monitoring the CMO's network composition by specialty and county to assess member access and network capacity. The CMO must identify current enrollment, gaps in network services, and the corrective actions that the CMO is taking to resolve any potential problems relating to network access and capacity. Examples of possible network development reports include, but are not limited to, the following:

- Provider directory (annually)
- Network Geographic Access Report and Map (annually)
- 24-hour availability audit (annually)
- Subcontractor Compliance Summary Report (annually)
- Total Number of Providers

Provider Service Reports

Provider service reports assist the OMPP in monitoring the methods the CMO uses to communicate to providers about clinical, technical, and quality management and improvement issues relating to the program. Examples of possible reports include the following:

- Provider Helpline Performance Report (Quarterly)
- Provider Grievance and Appeals

Quality Management Reports

Quality management reports review the ongoing or future methods and processes the CMO uses to identify program and clinical improvements that enhance the appropriate access, level of care, quality, and utilization of program services by its members and providers. These reports assist the OMPP in monitoring the CMO's quality management and improvement activities. Examples of possible reports include the following:

- Quality Management and Improvement Program Plan – includes Program Integrity Work plan, Encounter Claim Work plan and Provider Network Development Activity Report (annually)
- HEDIS Data Submission Tool (annually)

Utilization and Financial Reports

Utilization assists the OMPP in monitoring the CMO's utilization trend. The CMO will monitor utilization by subpopulation, when appropriate.

- Service Utilization – Physical Health (Quarterly)
- Service Utilization – Behavioral Health (Quarterly)
- PA decisions, number of telephone calls for PA, and the category for these calls, denials rates, and other relevant and necessary information

The CMO must separately report behavioral health statistics for members treated in a CMHC, as compared to members not treated in a CMHC. Additionally, the CMO must report utilization of substance abuse treatment services separate from utilization of mental health services. The CMO must particularly monitor use of services for its members with special needs and members with diagnoses of severe mental illness or substance abuse.

Performance Monitoring and Incentives

On a quarterly basis, the CMO shall submit a report to the OMPP documenting the progress towards performance targets under the contract, at a granular level, for that quarter, that year, and the agreement to date. The exact format and content of the report will be finalized before the contract effective date.

Data submitted by the CMO, as well as claims data, are the primary source of information the State uses in its monitoring efforts. The OMPP will establish the data submission requirements and time frames. This data comes to the State in various formats and at different times. The reporting templates provide information on performance reporting and targets.

Performance Targets, Standards, and Benchmarks

Table 14.1 lists the current performance indicators and the performance target for each measure. The OMPP may implement incentives to reward any CMO whose performance is consistently above the targets for the majority of the measures listed below. The OMPP also will assess liquidated damages or apply other remedies listed in this section for failure to meet the minimum standards listed in Table 14.1.

Table 14.1 – Performance Indicators and Performance Targets

Service Area	Service Standard for Release of Withholding	Amount of Withholding Released if Service Standard Met
Guaranteed Savings	To be determined within the CMO's contract over the course of the full contract	10 percent of administrative withhold
Other measures as defined by the OMPP and the CMOs	To be determined within each CY contract amendment	10 percent of administrative withhold

The OMPP reserves the right to identify additional performance indicators and targets, modify the performance indicators and targets prior to contract award, and modify the performance indicators and targets in consultation with the CMO over the course of the contract.

Performance-Related Delayed Payments

The State shall pay 80 percent of each invoice the CMO provides with net 30-day payment terms. Ten percent of the withhold will be paid after the corresponding reporting analysis has been completed. The OMPP will run the necessary analysis 120 days, or six months, after the corresponding quarter to allow for the necessary claims lag. Ten percent of the withhold will be paid out annually, usually in the Q3 of the next year. Subject to the terms of the Contract, including Exhibit B, the Contractor shall be eligible to receive the return of up to one-half of the CMO fee withheld by the Office pursuant to Exhibit B for the applicable period (for example, the Contractor shall be eligible to receive up to 10 percent of the CMO fee for the applicable period). This return will be based upon the Contractor's satisfactory achievement relative to the performance metrics and health outcomes measures identified in Attachment 2 to Exhibit B, as more fully described below:

The CMO will participate in a pay-for-performance program that focuses on rewarding the CMO's efforts to improve quality and outcomes for Indiana *Care Select* members. The CMO will design a program acceptable to the OMPP, in consultation with the OMPP, before the contract effective date. At

least 75 percent of any performance-related delayed payments the CMO receives must be passed on to providers or members.

The OMPP's program is a three-tiered model:

- In the first tier, the OMPP will provide financial and nonfinancial performance incentives to the CMO based on performance targets in priority areas established by the State. The OMPP will finalize details during contract negotiations.
- In the second tier, the CMO will establish incentives for providers to improve quality and outcomes in areas consistent with the first tier.
- In the third tier, the CMO will establish incentives for members to actively participate in their healthcare and to improve compliance with healthcare in areas consistent with the first and second tier.

The OMPP expects to publish the specific measures for the first year of the contract. The OMPP reserves the right to revise measures on an annual basis and will notify the CMO of changes to incentive measures in the quarter preceding the beginning of the next contract year.

The CMO must establish a performance-based incentive system for, at minimum, high-volume PMPs. The OMPP defines high-volume PMPs as the top 10 percent of the CMO's contracted PMPs, based on member enrollment. Incentives may be financial or nonfinancial, but the incentive system must address the priority areas identified by the OMPP. With State approval, the CMO will determine its own methodology for incenting providers. The State encourages creativity in designing pay-for-performance programs.

The CMO earning financial incentives must reinvest at least 50 percent of the incentive amount in member and/or provider incentives. The CMO must submit to the OMPP its proposal for reinvesting 50 percent of the incentive amount. Examples of financial incentives to providers include:

- Increased reimbursement rate based on performance
- Bonus payments based on performance or for providing selected services

The CMO may also provide nonfinancial incentives for meeting performance targets to providers, such as recognition dinners, a feature in the provider newsletter, or reduced reporting or prior authorization requirements.

The CMO will also be required to establish a program to encourage members' personal responsibility for health-promoting behavior in the priority areas defined by the OMPP. By rewarding personal responsibility, the State's goals are to reinforce healthy behavior and lifestyle choices while increasing rates of preventive services.

Member incentives may be financial or nonfinancial. With State approval, the CMO will determine its own methodology for incenting members. The incentive program must address the OMPP's priority areas and must reward members' personal responsibility.

The value of member incentives may not exceed \$50 per year per individual and must be approved by the OMPP. The CMO is subject to penalties under the *Social Security Act Section 1128A(a)(5)* regarding inducements, remunerations, and gifts to Medicaid and Package C members. The CMO must comply with all marketing provisions in the *42 CFR 438.104*, and Federal and State regulations regarding inducements. Examples of appropriate rewards include:

- Gift certificates for groceries
- Telephone cards
- Gifts such as household products and so forth

Acceptance of Report

Each reporting period, the CMO shall submit all reports electronically, in a format acceptable to the OMPP, and shall receive written verification that the report was received. If the report was late, the OMPP shall note it in writing, and the CMO shall be subject to liquidated damages as described elsewhere in this section.

Upon receipt of each report, the OMPP shall have a period of 15 calendar days to review the report's format and content. Within the 15-day window, the OMPP may require the CMO to modify the format or content of the report by submitting a notice in writing. If no requests are made within 15 days of the OMPP's receipt of the report, the CMO may assume the report was accepted as is.

Payment of Performance Withholding

After acceptance of each quarterly report, the OMPP shall determine whether the CMO's performance in the reporting period was sufficient to earn all or a portion of the 20 percent performance-related delayed payment. The OMPP's decision to release or continue to hold some or all the withheld amount shall be final.

If the OMPP determines that payment of some or all the withheld portion is due, the OMPP shall pay the CMO within 30 calendar days of the completion of its review of the relevant reports.

Failure to Perform/Noncompliance Remedies

Areas of Noncompliance

Noncompliance with General Contract Provisions

The objective of this requirement is to provide the State with an administrative procedure to address issues where the CMO is not compliant with the contract. Through routine monitoring, the State may identify contract noncompliance issues. If this occurs, the State will notify the CMO in writing of the nature of the nonperformance issue. The State will establish a reasonable period of time, but not more than 10 business days, during which the CMO must provide a written response to the notification. If the CMO does not correct the nonperformance issue within the specified time, the State may enforce any of the remedies listed in this section.

Noncompliance with Reporting Requirements

The CMO reporting manual will include sample reporting templates demonstrating the required formats and submission instructions for the reports. The OMPP may change the frequency of required reports, or may require additional reports, at the OMPP's discretion. The State will assess liquidated damages of \$200 for each business day past the date due when reports are not delivered complete, on time, and in the correct reporting formats, or are submitted incorrectly.

If the CMO's noncompliance with the reporting requirements has an impact on the State's ability to monitor the CMO's solvency, and the CMO's financial position requires the State to transfer members out of Indiana *Care Select*, the CMO must pay any costs the State incurs to accomplish the transfer of members. Further, the OMPP will withhold all care management payments or require corrective action until the CMO provides satisfactory financial data.

Noncompliance with Readiness Review Requirements

If the CMO does not satisfactorily pass the readiness review prior to 30 calendar days before scheduled member enrollment, member enrollment may be delayed, the State may withhold payment, or the State

may require other remedies. The CMO will be responsible for any costs associated with the delay. In addition, the OMPP will assess liquidated damages in the amount of \$200 for each business day the CMO delays in submitting readiness review responses past due dates.

Noncompliance Remedies

The CMO must ensure quality care for its members. To assess attainment of this goal, the State monitors certain quality and performance standards and holds the CMO accountable for being in compliance with contract terms. The OMPP accomplishes this by working collaboratively with the CMO to maintain and improve programs, and not to impair CMO stability.

In the event that the CMO fails to meet performance requirements or reporting standards set forth in the CMO contract, the State will provide the CMO with a written notice of noncompliance and may require any of the corrective actions or remedies discussed in this section. The State will provide written notice of noncompliance to the CMO within 60 calendar days of the State's discovery of such noncompliance.

If the OMPP elects not to exercise a corrective action clause contained in the CMO's contract in a particular instance, this decision must not be construed as a waiver of the State's right to pursue future assessment of that performance requirement and associated damages, including damages that, under the terms of the contract, may be retroactively assessed.

Corrective Actions

In accordance with 42 CFR 438, Subpart I, the OMPP may require corrective actions when the CMO has failed to provide the requested services. The nature of the corrective actions will depend upon the nature, severity, and duration of the deficiency and repeated nature of the noncompliance. The written notice of noncompliance corrective actions may be instituted in any sequence and include but are not limited to any of the following:

- **Written Warning** – The OMPP may issue a written warning and solicit a response regarding the CMO's corrective action.
- **Formal Corrective Action Plan** – The OMPP may require the CMO to develop a formal corrective action plan to remedy the breach. The corrective action plan must be submitted under the signature of the CMO's chief executive and must be approved by the OMPP. If the corrective action plan is not acceptable, the OMPP may provide suggestions and direction to bring the CMO into compliance.
- **Withholding Care Management Payments** – The OMPP may suspend care management payments for the following month or subsequent months when the State determines that the CMO is noncompliant. The OMPP must give the CMO written notice 10 business days before suspending care management payments and must offer specific reasons for noncompliance that result in suspension of payments. The State may continue to suspend all care management payments until noncompliance issues are corrected.
- **Suspending Enrollment** – The OMPP may suspend enrollment of new members into the CMO. The State may suspend enrollment for the entire CMO or may selectively suspend enrollment for a county or a specific provider. The State will notify the CMO in writing of its intent to suspend new enrollment at least 10 business days before the first day of the suspension period. The suspension period may be for any length of time specified by the State. The State will base the duration of the suspension upon the nature and severity of the default and the CMO's ability to cure the default.
- **Immediate Sanctions** – If the CMO has distributed, directly or indirectly through any agent or independent contractor, marketing materials that have not been approved by the State or that

contain false or materially misleading information, the State may impose immediate sanctions of up to \$25,000 for each determination of marketing violations.

- Contract Termination – The State reserves the right to terminate the contract, in whole or in part, because of the failure of the CMO to comply with any term or condition of this contract, or failure to take corrective action as required by the OMPP to comply with the terms of this contract. The State must provide 30 calendar days' written notice and must set forth the grounds for termination.

Liquidated Damages

In the event that the CMO fails to meet performance requirements or reporting standards set in the CMO contract, it is agreed that damages shall be sustained by the State, and the CMO shall pay to the State its actual or liquidated damages according to the following subsections and subject to the limitations provided in *42 USC 1396u-2 (e)*.

It is agreed that in the event of a failure to meet specified performance or reporting requirements subject to liquidated damages, it is and will be impractical and extremely difficult to ascertain and determine the actual damages the State will sustain in the event of, and by reason of, such failure; and it is therefore agreed that the CMO will pay the State for such failures according to the following subsections. No punitive intention is inherent in the following liquidated damages provisions.

The OMPP may impose remedies resulting from failure of the CMO to provide the requested services depending on the nature, severity, and duration of the deficiency. In most cases, liquidated damages will be assessed based on the schedules in this section. Should the OMPP choose not to assess damages for an initial infraction or deficiency, it reserves the right to require corrective action or assess damages at any point in the future. The OMPP will assess liquidated damages for any areas of noncompliance listed in this section, or for any other areas of noncompliance, at the discretion of the OMPP.

Section 15: Management Information Systems

Overview

The CMO must have a management information system (MIS) sufficient to support *Care Select* requirements. The CMO must have a plan for creating, accessing, storing, and transmitting health information data in a manner that is in keeping with HIPAA confidentiality requirements for transmission and maintenance of confidential medical data, including:

- Administrative procedures and safeguards (45CFR 164.308)
- Physical safeguards (45CFR 164.310)
- Technical safeguards (45CFR 164.312)

The CMO must develop, implement, and maintain an MIS with capabilities to perform the data receipt, transmission, integration, management, assessment, and system analysis tasks described in this policy. The CMO must have mechanisms in place to link data into a relational database reflecting all functional areas' data integration. The CMO must have policies and procedures to describe and support the MIS backup plans, and it must have a disaster recovery plan. The CMO must have policies and procedures addressing auditing and monitoring subcontractors' data and performance. The CMO must integrate subcontractors' financial and performance data (as appropriate) into the CMO's MIS to accurately and completely report CMO performance and confirm contract compliance.

The CMO must make all collected information available to the OMPP and, upon request, to the Centers for Medicare & Medicaid Services (CMS). In accordance with the *Code of Federal Regulations (CFR)* at 42 CFR 438, *subpart H*, the CMO must submit all data under the signatures of its financial officer and executive leadership (for example, president, chief executive officer, executive director) certifying the accuracy, truthfulness, and completeness of the CMO's data.

The CMO must comply with all Indiana Office of Technology (IOT) standards, policies, and guidelines, which are available online at <http://www.in.gov/iot/>. All hardware, software, and services provided to or purchased by the State are compatible with the principles and goals contained in the electronic information accessibility standards adopted under *Section 508 of the Federal Rehabilitation Act of 1973 (29 USC 794d)* and *Indiana Code (IC) 4-13-1-3*. Any deviation from these architecture requirements must be approved in writing by IOT in advance.

Disaster Recovery Plans

The CMO must protect against hardware, software, and human error. The CMO must maintain appropriate checkpoint and restart capabilities and other features necessary to ensure reliability and recovery, including telecommunications reliability, file backups, and disaster recovery. The CMO must maintain full and complete backup copies of data and software, and must proficiently back up its data on tape or optical disk and store it in an approved off-site location. The CMO must maintain or otherwise arrange for an alternate site for its system operations in the event of a catastrophe or other serious disaster. (For purposes of this policy, *disaster* means *an occurrence of any kind whatsoever that adversely affects, in whole or in part, the error-free and continuous operation of the CMO or affects the performance, functionality, efficiency, accessibility, reliability, or security of the system.*) The CMO must take the steps necessary to recover the data or system from the effects of a disaster and to reasonably minimize the recovery period. The State and the CMO jointly determine when unscheduled system downtime is to be elevated to a disaster status. Disasters may include natural disasters, human error, computer virus, or malfunctioning hardware or electrical supply.

The CMO's responsibilities include, but are not limited to:

- Supporting immediate restoration and recovery of lost or corrupted data or software
- Establishing and maintaining, in an electronic format, weekly and daily backups that are adequate and secure for all computer software and operating programs; database tables; files; and system, operations and user documentation
- Demonstrating an ability to meet backup requirements by submitting and maintaining a Disaster Recovery Plan that addresses:
 - Checkpoint and restart capabilities
 - Retention and storage of backup files and software
 - Hardware backup for the servers
 - Hardware backup for data entry equipment
 - Network backup for telecommunications
- In the event of a catastrophic or natural disaster, resuming normal business functions at the earliest possible time, not to exceed 30 calendar days
- In the event of other disasters caused by such things as criminal acts, human error, or malfunctioning equipment or electrical supply, resuming normal business functioning at the earliest possible time, not to exceed 10 calendar days
- Developing coordination methods for required system operational activities, including backups of information sent or accepted
- Providing the State with regularly updated business resumption documents, such as:
 - Disaster recovery plans
 - Business continuity and contingency plans
 - Facility plans
 - Other related documents as identified by the State

Member Enrollment Data Exchange (834)

The CMO is required to accept enrollment data in electronic format via secure file transfer protocol (FTP), as directed by the OMPP. The *Companion Guide – 834 MCE Benefit Enrollment and Maintenance Transaction* details the enrollment data exchange. The State's fiscal agent produces the enrollment rosters three times a month. See [Appendix F: EDS CMO Jobs Schedule](#) for job run dates. Changes in enrollment may occur during the interim period between the production of the roster and the effective date. For example, a member who is auto-assigned to a CMO on the 20th day of the month with an effective date on the first day of the following month appears on the CMO enrollment roster produced on the 26th of the month. If that member loses eligibility in *Care Select*, and that loss is reported between the 26th day and the end of the month, this deletion is included on the second enrollment roster of the month. Because the member lost eligibility prior to the effective date in the CMO health plan, he or she is reported as a deleted member on the next enrollment roster. If the CMO has questions about the 834 transaction, the CMO can contact the fiscal agent's managed care director.

Per Member Per Month Administrative Fee

Each CMO serving *Care Select* receives a per member per month (PMPM) administrative fee. The PMPM fee is determined based on a calculation of member months by each CMO.

Each CMO receives two 834 enrollment files from EDS during a calendar month as noted above. One enrollment file arrives on the 27th of the month for the next month (named 1st of the Month Enrollment File). The other enrollment file arrives on the 12th of the month for the current month (named 15th of the Month Enrollment File).

The CMO processes each record on the enrollment file according to the EDS 834 Companion Guide. The CMO ensures the proper reconciliation of their 834 file by comparing their processed data to the

Audit File received from EDS on the first of each month. If situations occur in processing, the enrollment file that the CMO cannot reconcile (such as, CMO receives a “term” record for a member but had never received a “new” record for a member), the CMO contacts EDS for assistance and clarification. Once each CMO processes the enrollment file in its data management system, the PMPM calculation occurs in the following way:

- Only the 834 can be used to determine enrollment for the purposes of counting member months.
- The date of the enrollment file is not used. Each CMO counts members based on their dates of enrollment as contained within the enrollment file only.
- For the purposes of determining the total member count, each member assigned to a CMO is counted as .5 if he or she is enrolled for one to 15 days and as one if he or she is enrolled for 16 or more days in a given calendar month. See example in Table 15.1 below.

Table 15.1 – Member Enrollment

Scenario	Enrolled	Term	Enrolled	Term	Total Days Enrolled During Month	Member Count
Member A	Jan. 1, 2008	Jan. 2, 2008	Jan. 15, 2008	Jan. 16, 2008	4	0.5
Member C	Jan. 1, 2008	Jan. 14, 2008	Not Enrolled	N/A	14	0.5
Member B	Not Enrolled	N/A	Jan. 15, 2008	Jan. 31, 2008	17	1
Member D	Jan. 1, 2008	No Term	N/A	No Term	31	1
Total Member Months						3

The following action items must be completed prior to the ultimate approval of a policy on this issue:

- The two CMOs submit bills according to the Total Member Months (as above) for each month.
- The OMPP works with EDS to formalize an auditing tool for evaluating the accuracy of the CMO-generated member totals. The CMOs will be involved in those discussions.

The CMO is responsible for verifying member eligibility and reconciling payments from the State for each eligible member. If the CMO discovers a discrepancy in eligibility or care management payments, the CMO must notify the OMPP and the State’s fiscal agent within 30 calendar days of discovering the discrepancy; and no more than 90 calendar days after the OMPP delivers the eligibility records. The CMO must return any PMPM administrative fee overpayments to the OMPP. If the CMO receives either enrollment information or care management payment for a member, the CMO is responsible for managing the care of that member.

Billing Policies

To ensure timeliness for billing, the following procedures are being established by the State. These procedures ensure that claims received from the CMOs are consistent with the data maintained by the State for the services provided by the CMOs to the *Care Select* population, as well as the prior authorization services administered by ADVANTAGE for the fee-for-service population. The following procedures assist with efficiencies for claims submission and more timely reimbursement from the State:

1. On the 10th of every month, enrollment information for the previous month is reported by the State to ensure that the State and the CMOs agree with the number of members served by the CMO during a particular month.

2. The OMPP distributes this information to the appropriate CMOs within seven business days. This information should be included with the CMO claim submission.
3. The CMO shall submit its invoice to the State's Claims Management Office.
4. The invoice shall be submitted no later than 30 days after the member months report is received from the State.
5. The CMO will submit its invoice along with the required supporting documentation. Required documentation will include, but is not limited to, the following documents:
 - a. Claim documents, which include the FSSA claim reimbursement forms and the FSSA county expenditure form
 - b. Enrollment report provided by the State
 - c. The prior authorization billing report as provided in the reporting manual
 - d. A report to verify the number of completed calls by the disease management call center
 - e. Any other documentation deemed necessary by the CMO or the State.
6. All forms must be signed and filled out appropriately.

For additional guidance, please reference the billing policy for PMPM guidelines and the current Reporting Manual and PA Manual for PA billing guidelines and definitions.

PA Completed Case

The definition of a "completed case" for prior authorization is when a decision is made to approve, modify, or deny the prior authorization request and the decision is entered into IndianaAIM; or it is auto-denied due to being in a suspended status, and the provider has not responded within 30 days.

If there is a situation in which the same member visits one provider and that provider requests multiple, distinct, and different prior authorizations, each request constitutes a potential "completed case."

CMOs receive a contract packet once the contract has been signed. That packet contains a claim submission sheet that is used to bill for prior authorizations (along with any other billable activity). The pricing follows the schedule agreed upon in the contract.

Completed Telephone Calls

To enable both CMOs to consistently report to the OMPP the number of completed member calls on a monthly and quarterly basis, the following clarifies the definition of a completed telephone call:

A completed telephone call is defined in the following ways for *Care Select*. All three criteria defined below must be met in order for a telephone call to be deemed as completed:

- Applies to the Disease Management Program or care management activities engaged in by the contracted *Care Select* vendors.
- A call in which the member or the member's approved representative is engaged in a live dialogue.
- A call in which disease or care management information is transmitted via a live dialogue; or an appointment is made to discuss disease or care management information via a live dialogue with the member or the member's approved representative at some future date.

The following interactions are not considered completed calls:

- A message is left on an answering machine or voice mail.
- A busy signal is received by the CMO.
- A member does not answer the telephone.

- A call is abandoned.

Receipt of Claims Data from Fiscal Agent

The State will make available to the CMO through its fiscal intermediary claims and eligibility data for members enrolled in Indiana *Care Select*. The fiscal intermediary enters this data into the State's MIS, IndianaAIM. The CMO will be able to access IndianaAIM on a real-time basis to capture this data and to perform prior authorizations. The State currently uses several reporting tools to generate its own financial and utilization reports based on this raw data, and would encourage the CMO to utilize these or other similar types of tools to enable the CMO to use this data for utilization management. Examples of the tools include Business Objects and OnDemand.

Prior Authorizations

The State will allow the CMO access to its IndianaAIM system on a real-time basis to submit prior authorization decisions to the fiscal intermediary. The CMO will also be able to view historical prior authorization decisions via this system. The State requires the CMO to receive prior authorization requests via regular mail, telephone, or fax, and to provide Web-based access for providers wishing to submit prior authorization requests to the CMO.

Health Information Technology and Data Sharing

The CMO should develop, implement, and participate in healthcare information technology (HIT) and data-sharing initiatives to improve the quality, efficiency, and safety of healthcare delivery in Indiana. The OMP's requirements for HIT and data sharing vary by resources available in each region. The following are examples of HIT initiatives that the CMO should consider developing:

- Electronic prescribing (e-prescribing)
- Electronic medical record (EMR)
- Inpatient computerized provider order entry (CPOE)
- Health information networks
- Benchmarking
- Telemedicine

National Provider Identifier Crosswalk File

On a weekly schedule, the fiscal agent (EDS) provides the CMOs with an NPI-to-legacy provider identifier (LPI) crosswalk file. The CMOs can use this file to assist with identifying a provider's NPI or LPI when only one of these identifiers is available on various files or reports. A copy of this file layout can be found in the CMO Question and Answer Web site at <http://www.indianamedicaid.com/ihcp/cmo/qa/>.

Appendix A: Sample Written Referral Form

This form is a suggested format for written referrals. Its use is optional. Referrals must be documented in the patient's medical record. This form does not need to be submitted with the claim for the rendered service.

REFERRAL FOR CARE SELECT CARE MANAGEMENT MEMBER	
Date:	_____
To:	_____
From:	_____
Provider #:	_____
Certification Code:	_____
Address:	_____
Telephone:	_____
Patient's Name	_____
Medicaid or RID #:	_____
Purpose of Referral:	_____

Extent of Referral (Check one):	
<input type="checkbox"/> One time only	
<input type="checkbox"/> As needed for treatment. (A new form or verbal authorization must be obtained prior to every calendar quarter).	
<input type="checkbox"/> Other, please specify:	
This member is enrolled with me as his/her Primary Medical Provider (PMP). Please keep me informed of the disposition of the patient following your contact. As the patient's PMP, my medical records must reflect a complete health history. If you wish to refer this patient to another treatment source that will be billing Medicaid, please contact me.	
	By: _____
	Primary Medical Provider

Figure A.1 – Written Referral Form

Appendix B: PMP Disenrollment Time Line

Submission of PMP Disenrollment Requests to EDS

Each CMO provides the EDS Managed Care Unit with a list of representatives who are trained and authorized to submit PMP disenrollments and keep their lists updated as responsibilities change.

A CMO notifies the EDS PMP disenrollment coordinator of the intent to disenroll a PMP within five working days of receipt or issuance of the disenrollment request. The disenrollment form can be faxed to (317) 488-5020. EDS does not process the disenrollment until the CMO sends the disenrollment request. Advance notification allows EDS the opportunity to begin the coordination of member enrollment in another health plan, if necessary.

CMOs submit fully completed requests for disenrollment to the EDS PMP disenrollment coordinator at least five working days before the 24th day of the month. CMO health plan disenrollments are processed on the 24th day of the month. Table B.1 lists the last day on which the EDS Managed Care Unit must receive the request for it to be effective by the first day of the following month.

Table B.1 – PMP Disenrollment Request Deadlines

Effective Date	Received on or Before
January 1, 2009	December 17, 2008
February 1, 2009	January 19, 2009
March 1, 2009	February 18, 2009
April 1, 2009	March 17, 2009
May 1, 2009	April 17, 2009
June 1, 2009	May 19, 2009
July 1, 2009	June 17, 2009
August 1, 2009	July 17, 2009
September 1, 2009	August 18, 2009
October 1, 2009	September 17, 2009
November 1, 2009	October 19, 2009
December 1, 2009	November 17, 2009
January 1, 2010	December 17, 2009

Appendix C: Care Select Inquiry, Grievance, and Appeal Process

Table C.1 – Inquiry Process

Issue	Final Policy
1. Definition of an inquiry.	An inquiry is a concern or issue that is expressed orally by a member that will be resolved by the close of the next business day.
2. Time frame for resolution of an inquiry.	The CMO must resolve an inquiry by the close of the next business day.
3. Notice of a resolution to the member.	<ul style="list-style-type: none"> • Members are notified of a resolution of an inquiry by the close of the next business day. • An inquiry resolved by the close of the next business day does not require a written notice of resolution to the member. • Inquiries resolved after the close of the next business day require a written notice of resolution to the member.
4. Reporting requirements.	<ul style="list-style-type: none"> • Report monthly using the inquiry reporting form. • Report separately for children with special healthcare needs and all other members.

Table C.2 – Grievance Process

Issue	Final Policy
1. Definition of a grievance and an expedited grievance.	<ul style="list-style-type: none"> • A member or provider on behalf of a member may file a grievance orally or in writing. • A grievance is any dissatisfaction expressed by a member (or by a provider on behalf of a member) of a CMO regarding the availability, delivery, appropriateness, or quality of healthcare services and matters pertaining to the contractual relationship between an enrollee and a CMO or group individual contract holder for which the enrollee has a reasonable expectation that action will be taken to resolve or reconsider the matter that is the subject of the dissatisfaction. • An inquiry that is not resolved by the close of the next business day becomes a grievance. • An expedited grievance is a grievance regarding an issue that would seriously jeopardize the life or health of a member or the member's ability to reach and maintain maximum function.
2. Time frame for initial submission of a grievance or an expedited grievance.	A member has 60 business days from the day of the decision or event in question to file an oral or written grievance.
3. Time frame for a CMO to acknowledge receipt of a grievance or an expedited grievance.	The CMO must acknowledge receipt of an oral or written grievance within three business days after the grievance is filed.

Issue	Final Policy
4. Time frame for resolution of a grievance and an expedited grievance.	<ul style="list-style-type: none"> • The CMO must resolve a written or oral grievance as expeditiously as possible, but not more than 20 business days after a grievance is filed. • The grievance procedure must require an expedited grievance review if adhering to the resolution time frame of 20 business days would seriously jeopardize the life or health of a member or the member's ability to regain maximum function. • Expedited grievance reviews must be resolved within 48 hours of when the CMO receives a review request.
5. Extension of the grievance resolution time frame.	<ul style="list-style-type: none"> • If the CMO is unable to make a decision regarding a grievance within the period of 20 business days because of circumstances beyond its control, the MCO notifies the member in writing of the reason for delay within the period of 20 business days. • The CMO must then make a decision regarding the grievance within 10 business days after the date when the original 20 business days expire.
6. Notice of a resolution to the member.	<ul style="list-style-type: none"> • The CMO must respond in writing to an enrollee within five business days after resolving a grievance or expedited grievance. The resolution includes notice of the member's right to file an appeal, the process for requesting an appeal, the expedited review options, the right to continue benefits during the appeal (as long as the request complies with timeliness standards), and an explanation that the member may have to pay for pending care if an adverse appeal decision is made. • The CMO must make a reasonable effort to provide oral notification of expedited grievance resolutions. • If the CMO denies the request for an expedited review, the CMO must transfer the grievance to the standard grievance time frame, make a reasonable effort to provide the enrollee with prompt oral notification of the denial for an expedited review, and follow up with a written notice within two calendar days.
7. Reporting requirement.	<ul style="list-style-type: none"> • Report monthly using the grievance reporting form. • Report separately for children with special healthcare needs.

Table C.3 – Appeal and Expedited Appeal Process

Issue	Final Policy
1. Definition of an appeal and an expedited appeal.	<ul style="list-style-type: none"> • An appeal is a written request from a member (or a provider on behalf of a member) to change a previous decision made by a CMO. • An expedited appeal review is defined as a review for an issue that would seriously jeopardize the life or health of a member or the member's ability to regain maximum function.
2. Time frame for submission of an appeal or an expedited appeal.	A member has 30 calendar days from the day of the decision or event in question to file an appeal.
3. Time frame for a CMO to acknowledge receipt of an appeal or an expedited appeal.	The CMO must acknowledge in writing that it received an appeal within three business days after the request for appeal is filed.
4. Time frame for resolution of a standard appeal or expedited appeal.	<ul style="list-style-type: none"> • An appeal of a grievance decision must be resolved as expeditiously as possible, taking into consideration the clinical urgency of the appeal. However, an appeal must be resolved within 30 business days. • An expedited appeal review must be conducted within 48 hours of when the CMO receives a review request.
5. Extension of the appeal resolution time frame.	<ul style="list-style-type: none"> • If the CMO is unable to resolve the appeal within 30 business days because of circumstances beyond its control, the CMO must notify the member in writing on or before the end of the time frame of 30 business days. The CMO must provide an explanation of the reason for the delay. • The CMO then must make a decision regarding the appeal within 14 calendar days after the time frame of 30 business days expires.
6. Notice of a resolution to the member.	<ul style="list-style-type: none"> • The CMO must notify the member of an appeal or expedited appeal's resolution in writing within five business days after resolving the appeal. The resolution includes notice of the member's right to request an External Independent Review, the process for requesting an External Independent Review, the expedited review options, the right to continue benefits during the review (as long as the request complies with timeliness standards), and an explanation that the member may have to pay for pending care if an adverse review decision is made. • The CMO must make a reasonable effort to provide oral notification of expedited grievance resolutions. • If the CMO denies the request for an expedited review, the CMO must transfer the appeal to the standard appeal time frame, make a reasonable effort to provide the enrollee with prompt oral notification of the denial, and follow up with a written notice within two calendar days.
7. Reporting requirements.	<ul style="list-style-type: none"> • Report monthly using the appeal reporting form. • Report separately for children with special healthcare needs and all

Issue	Final Policy
	other members.

Table C.4 – External Independent Review Process

Issue	Final Policy
1. Definition of a standard external independent review and an expedited external review.	<ul style="list-style-type: none"> • The CMO establishes and maintains an external grievance process to resolve grievances regarding adverse determinations of utilization or medical necessity; or determinations that proposed services are experimental. • An expedited external review is defined as a review related to an illness, disease, condition, injury, or disability that would seriously jeopardize the member’s life, health, or ability to reach and maintain maximum function.
2. Time frame for submission of a request for an external independent review.	A member (or a provider on behalf of a member) may file a written request with the CMO for an appeal of the CMO’s grievance resolution not later than 45 calendar days after the enrollee is notified of the CMO’s resolution.
3. Time frame for the CMO to acknowledge receipt of a request for an external independent review.	The CMO must acknowledge that it received a request for external independent review within three business days of receiving the request for an external independent review.
4. Time frame for resolution of an external independent review and expedited external independent review.	<ul style="list-style-type: none"> • A standard external independent review should be resolved within 15 business days after the standard review is requested. • An expedited external independent review will be resolved within 72 hours of receiving the request.
5. Notice of a resolution to the member.	<ul style="list-style-type: none"> • For a standard review, the member is notified within 72 hours of the decision of the external independent review panel. The resolution includes notice of the member’s right to request a hearing conducted by the state Medicaid agency; the process for requesting a hearing; the right to continue benefits during the review (as long as the request complies with timeliness standards); and an explanation that the member may have to pay for pending care if an adverse review decision is made. • For an expedited review, the member is notified within 24 hours of the decision made by the external independent review panel. The resolution includes notice of the member’s right to and the process for requesting a hearing conducted by the state Medicaid agency.
6. Reporting requirement.	<ul style="list-style-type: none"> • CMOs report quarterly. • Report separately for children with special health needs.

Table C.5 – Medicaid Hearing and Appeal Process

Issue	Final Policy
1. Definition of a Medicaid hearing and appeal review.	A hearing for any person whose claim of assistance is denied or not acted on promptly by the CMO – including actions that the State Medicaid agency takes to suspend, terminate, or reduce services.
2. Time frame for submission of a request for a Medicaid hearing and appeal review.	A request for a Medicaid hearing and appeal review must be in writing and be submitted within 30 business days of the initial action that is being reviewed.
3. Medicaid hearing and appeal review process. The hearing and appeal process needs to be pursued in the following order: <ul style="list-style-type: none"> • Hearing by an administrative law judge Agency review • Request for review by an administrative law judge 	<ul style="list-style-type: none"> • The member may request a hearing by an administrative law judge, pursuant to the Indiana Administrative Code (IAC) 405 IAC 1.1-1-5. • After the administrative law judge’s decision, the member may request an agency review of the decision within 10 days of receiving the administrative law judge’s decision. • An agency decision may be brought before a judicial review pursuant to 405 IAC 1.1-3-6
4. Time frame for resolution of the Medicaid hearing and appeal review.	<ul style="list-style-type: none"> • Member appeal hearings are conducted at reasonable times, places, and dates. • The decision made by the officer of the administrative law judge hearing is due within 90 business days of the date that the request for a hearing is first made. • Any party who is not satisfied with the decision of the administrative law judge may request an agency review within 10 business days of receiving the administrative law judge’s decision. • If a Medicaid applicant or member is not satisfied with the final action after agency review, he or she may file a petition for judicial review.
5. Extension of the Medicaid hearing and appeal review resolution time frame.	A continuance of hearing is granted only for good cause shown. Requests for continuance are in writing and accompanied by adequate documentation of the reasons for the request
6. Notice of resolution to consumer.	The parties are issued a written notice of action taken as a result of agency review. If the administrative law judge’s decision is reversed, amended, or modified, the secretary or designee states the reasons in writing.

Appendix D: After Hours/24-Hour Availability Audit Quality Improvement

Quality Improvement Activity

Activity Name

After Hours/24-Hour Availability Audit

Purpose or Description

The purpose of the After Hours/24-Hour Availability audit is to determine if there is appropriate and easy access to the PMP outside regular business hours. *Care Select* ensures that members have the ability to obtain medical care 24 hours a day, seven days a week. PMPs are assessed on the process they have in place for the members to access a medical professional for urgent or emergent healthcare needs. The OMPP recommends that CMOs include the following statement in PMP contracts and addendums:

"The PMP will be available 24 hours per day, seven days per week, by telephone to the PMP, an employee or designee of the PMP, an answering service, or pager system that immediately pages an on-call medical professional."

Audit or Reporting Schedule

This audit is performed quarterly. Findings are communicated in the Quarterly Report and in updates at the Quality Improvement Committee (QIC) meetings, as indicated on the QIC schedule.

Selection Process

PMPs are randomly selected, and the sample size is based on a 95 percent confidence rate with a plus or minus 5 percent margin of error.

Methodology

A random sample of PMPs within each region is queried annually. Calls are made to providers in the identified sample before 8 a.m. or after 5 p.m. and on Saturdays, Sundays, and holidays. A call log is kept until calls are completed. All calls are tabulated, and the results posted with noncompliance reasons stated and corrective action identified.

Analysis

The goal is to have 100 percent compliance. Findings are summarized as indicated in Table D.1.

Table D.1 – Sample of Summarized 24-Hour Availability Audit Results

Region	Number of Total PMPs Called	Number of Satisfactory Results	Number of Unsatisfactory Results	Percent Compliance

Actions for Improvement

Providers noncompliant with the 24-hour availability requirement are notified and corrective action is required within 30 days of notification. Noncompliant providers are monitored in the following quarter to determine availability. These calls must be completed in addition to the quarterly monitoring sample.

The audit report must identify steps taken to communicate audit results to PMPs' offices and must include actions necessary to achieve future compliance.

Appendix E: OMPP Recommendations for Access Audit Process Update

Quality Improvement Activity

Activity Name

Primary Medical Providers Access Audit

Purpose or Description

The purpose of performing an access audit for *Care Select* PMPs is to ensure that participating PMPs provide timely and appropriate access to health services for established and new patients within a PMP's practice.

Audit Schedule

This audit is conducted annually by random sample.

Reported Time Period

An audit is performed during the fourth quarter of each year, reported in writing in the fourth quarter report, and reported verbally at the Quality Improvement Committee (QIC) meeting, as scheduled by the OMPP.

Sample Size

The sample size is determined based on the total population for each specialty by each CMO. PMPs are randomly selected, and the sample size is based on a 95 percent confidence rate with a plus or minus 5 percent margin of error.

Call Instructions

Auditors must perform the following actions when conducting a PMP access audit:

1. Place a telephone call to the PMP.
2. Document the date and name of the person taking the call.
3. Identify themselves as representatives of the Hoosier Healthwise program and state they are conducting an access-to-care audit.
4. Request to speak with the person who schedules appointments.
5. Ask MCO-scripted questions relevant to the type of provider.
6. Document the actual date given for the appointment.

Note: If the next available appointment is with the nurse practitioner in the PMP's office that is acceptable.

7. Document results.

Quantifiers

The PMP in the random sample may need to be replaced with another PMP name in instances where:

1. The PMP is no longer in practice.
2. The PMP was on medical leave.

When a PMP needs to be replaced, all data representing the replacement is recorded. To choose a replacement PMP, identify every third PMP on the nonsample list. This process provides consistency and maintains integrity of the randomized process. PMPs who are replaced are done so only because of issues unrelated to the access audit. Any problems encountered must be reported for follow-up.

- *Nurse practitioners:* A PMP office is considered to be in compliance with appointment standards if available appointment dates fall within recommended time frames. If there is a nurse practitioner in practice with the physician, appointment availability is based on the first available appointment with any medical provider in the office.
- *No response:* A PMP office that refuses to respond to the access audit is considered noncompliant with appointment standards and must be recorded as No Response (NR).
- *Not Applicable:* There may be some circumstances in which a question does not apply – for example, an obstetrician (OB) who delivers babies but does not provide gynecological (GYN) services. If the question does not apply to the PMP, it must be recorded as not applicable (NA).

Appointment Standards

The appointment standards used are those accepted by the *Care Select* QIC. The 10 standards listed in Table E.1 are used to evaluate appropriate access to care.

Table E.1 – *Care Select* Quality Improvement Committee – Accepted Appointment Standards

Standard	Appointment Type	Appointment Time Frame
1	Urgent or emergent care	24 hours
2	Nonurgent symptomatic	72 hours
3	Routine physical exam	Three months
4	Initial appointment (nonpregnant adult)	Three months
5	Routine gynecological exam	Three months
6	New obstetric patient	Within one month of date of attempting to schedule an appointment
7	Initial appointment – well child	Within one month of date of attempting to schedule an appointment
8	Children with special healthcare needs	One month
9	Average office wait time	One hour or less
10	Specialist referral: Emergency Urgent	24 hours 48 hours

The standard for children with special healthcare needs must be addressed for patients who have medical conditions that last (or that will last) more than one year, require special equipment, or have physical access concerns.

Analysis

The analysis of data is presented by specialty types of practice for each appointment type. See Table E.2 for an example. An additional summary table for compliance with all appointment types is also required – see table E.3. Providers who participate in the study are sent their individual results and the aggregate results of their peers. Names of PMPs who fail to meet the expected standards are forwarded to the provider services department of the appropriate managed care entity (MCE) for program education. All results are reported to the OMPP in the table format below for each appointment access standard.

The percentages reported must represent the total for whom the standard is applicable. For example, if a total of 100 OB/GYNs were surveyed, but only 80 do routine gynecological exams, the results for the routine gynecological exam standard would be divided by 80 to obtain the percentage of those who met or did not meet the standard (including those who did or did not respond).

Table E.2 – Presentation of Data Analysis by Specialty Types of Practice

Appointment Type: [insert name of appointment type – provide one table for each type]								
Practice Type	Met Standard		Did Not Meet Standard				Not Applicable	
			Response Given		No Response			
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
OB/GYN								
Peds.								
FP/GP								

Table E.3 – Presentation of Data Analysis of Compliance by Appointment Types

Percent of Providers Who Did/Did Not Meet Standards For All Appointment Types								
Practice Type	Met Standard		Did Not Meet Standard				Not Applicable	
			Response Given		No Response			
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
OB/GYN								
Peds.								
FP/GP								

Actions for Improvement

1. A letter is sent to all PMPs audited, thanking them for their continued support for *Care Select* activities.
2. Information about PMPs that did not meet the standards is forwarded to the EDS Member and Provider Relations Unit, and copies of letters sent to physicians are placed in the PMPs' files.

Reporting Activity

The final results are provided to the *Care Select* QIC.

Appendix F: EDS CMO Jobs Schedule

Schedule for Production Enrollment 834 Records and Reports

Note: Enrollment Roster jobs always run on the evenings of the 11th and 26th days of each month and on the last day of the month. Barring problems with the run, the change files and affiliated summary reports are always available for download from the EDS bulletin board (BBS) midday on the 12th and 27th days of each month and on the first of the following month. Audit files run after the 27th day of the month. Change files, audit files, and summaries are also available for download on the 27th and on the first day of the following month.

The dates listed in Table F.1 are approximate dates of processing and are subject to change.

Table F.1 – Production Enrollment 834 Records and Reports

Production Enrollment 834 Records and Reports	
January 12 – change	July 12 – change
January 27 – change and audit	July 27 – change and audit
January 31 – change	July 31 – change
February 12 – change	August 12 – change
February 27 – change and audit	August 27 – change and audit
February 28 – change	August 31 – change
March 12 – change	September 12 – change
March 27 – change and audit	September 27 – change and audit
March 31 – change	September 30 – change
April 12 – change	October 12 – change
April 27 – change and audit	October 27 – change and audit
April 30 – change	October 31 – change
May 12 – change	November 12 – change
May 27 – change and audit	November 27 – change and audit
May 31 – change	November 30 – change
June 12 – change	December 12 – change
June 27 – change and audit	December 27 – change and audit
June 30 – change	December 31 – change

Appendix G: Administration Fee Listing Layout

The following is the PMP Administration Fee Listing layout that is mailed to the PMPs monthly.

MGD-0003-M Admin Fee Report.txt - Notepad

File Edit Format View Help

Report: MGD-0003-M IndianaAIM Run Date: 03/21/07
Process: MGDJM440 Managed Care Administrative Fee Run Time: 23:14:17
Location: MGD0003M Period: 03/01/07 to 03/31/07 Page: 1

NPI:
Provider Identification Number:
Provider Name: BRUCE WILLIS MD
Address1: 950 N. Meridian
Address2:
City, State, Zip: Indianapolis, IN 46204

Care Select Payments

Recipient ID	Street Address	Amount	CMO Name	Stop Payment
Recipient Last Name, First Name, MI	City, State, Zip			
XXXXXXXXXX Last Name, First Name, MI	PO BOX 244 WEST LEBANON, IN 47991-0000	00.00	XXXXX XXXXXXXX	11/01/2007
XXXXXXXXXX Last Name, First Name, MI	1213 S BRADY ST ATTICA, IN 47918-0000	15.00		

Report: MGD-0003-M IndianaAIM Run Date: 03/21/07
Process: MGDJM440 Managed Care Administrative Fee Run Time: 23:14:17
Location: MGD0003M Period: 03/01/07 to 03/31/07 Page: 1

NPI:
Provider Identification Number:
Provider Name: BRUCE WILLIS MD
Address1: 950 N. Meridian
Address2:
City, State, Zip: Indianapolis, IN 46204

Medicaid select Payments

Recipient ID	Street Address	Amount
Recipient Last Name, First Name, MI	City, State, Zip	
XXXXXXXXXX Last Name, First Name, MI	PO BOX 244 WEST LEBANON, IN 47991-0000	4.00

Figure G.1 – PMP Administration Fee Listing

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