

**THE OHIO DEPARTMENT OF MEDICAID
MYCARE OHIO PROVIDER AGREEMENT
FOR MYCARE OHIO PLAN**

This Provider Agreement (hereinafter “Agreement”) is entered into this first day of July, 2023, between the State of Ohio, the Ohio Department of Medicaid, (hereinafter referred to as ODM) whose principal office is located in the City of Columbus, County of Franklin, State of Ohio, and _____, MyCare Ohio Plan (hereinafter referred to as MCOP), an Ohio corporation, whose principal office is located in the city of _____, County of _____, State of Ohio.

The MCOP is licensed as a Health Insuring Corporation by the State of Ohio, Department of Insurance (hereinafter referred to as ODI), pursuant to Chapter 1751 of the Ohio Revised Code (ORC) and is organized and agrees to operate as prescribed by Chapter 5167 of the ORC, Chapter 5160-58 of the Ohio Administrative Code (OAC), and other applicable portions of the OAC as amended from time to time. Upon request, the MCOP shall submit to ODM any data submitted to ODI to establish the MCOP has adequate provisions against the risk of insolvency as required under 42 CFR (Code of Federal Regulations) 438.116 and to ensure that neither members no ODM shall be liable for any MCOP debts, including those that remain in the event of MCOP insolvency or the insolvency of any subcontractors.

The MCOP is an entity eligible to enter into a provider agreement in accordance with 42 CFR 438.3 and is engaged in the business of providing the comprehensive services described in 42 CFR 438.2 through the managed care program for the Medicaid-Medicare eligible population described in OAC rule 5160-58-02 along with any other Medicaid eligible populations authorized by the Centers for Medicare and Medicaid Services (CMS).

The goal of MyCare Ohio is for MCOPs to manage the full continuum of Medicare and Medicaid benefits for their members, providing coordination of long-term care services, behavioral health services, and physical health services. Each MCOP has entered into a Three-Way Contract (Three-Way) with the United States Department of Health and Human Services Centers for Medicare & Medicaid Services and ODM. The Three-Way, which is incorporated as if rewritten herein sets forth comprehensive requirements for MCOPs regarding program operation, enforcement, monitoring, and oversight. If an express conflict exists between the Three-Way and this Agreement, the Three-Way controls.

Dual benefits members, also known as opt-in members, are defined in OAC rule 5160-58-01 as individuals enrolled in an MCOP for whom the MCOP is responsible for the coordination and payment of both Medicare and Medicaid benefits. Medicaid-only members, also known as opt-out members, are defined in OAC rule 5160-58-01 to include individuals enrolled in an MCOP for whom the MCOP is responsible for coordination and payment of only Medicaid benefits. This Agreement applies to both dual benefits members and Medicaid-only members, unless otherwise specified herein.

ODM, as the single state agency designated to administer the Medicaid program under ORC section 5162.03 and Title XIX of the Social Security Act, desires to obtain MCOP services for the benefit of certain Medicaid recipients. In so doing, the MCOP has provided and will continue to provide proof of the MCOP's capability to provide quality services, efficiently, effectively, and economically during the term of this Agreement.

This Agreement is a contract between ODM and the undersigned MCOP pursuant to the federal contracting provisions of 42 CFR 434.6 and 438.6 in which the MCOP agrees to provide or arrange for comprehensive Medicaid services through the managed care program as provided in ORC Chapter 5167 and OAC Chapter 5160-

58, assuming the risk of loss, and at all times complying with federal and state laws and regulations, federal and state Medicaid program requirements, and other requirements as specified by ODM. This includes without limitation Title VI of the Civil Rights Act of 1964; Title IX of the Education Amendments of 1972 (regarding education programs and activities); the Age Discrimination Act of 1975; the Rehabilitation Act of 1973; the Americans with Disabilities Act; and Section 1557 of the Affordable Care Act.

ARTICLE I – GENERAL

- A. ODM enters into this Agreement in reliance upon the MCOP's representations that it has the necessary expertise and experience to perform its obligations hereunder, and the MCOP represents and warrants that it does possess such necessary expertise and experience.
- B. The MCOP agrees to communicate with the Director of the Office of Managed Care (OMC) (hereinafter referred to as OMC) or his or her designee as necessary in order for the MCOP to ensure its understanding of the responsibilities and satisfactory compliance with this Agreement.
- C. The MCOP agrees to furnish its staff and services as necessary for the satisfactory performance of the services as enumerated in this Agreement.
- D. ODM may, as it deems appropriate, communicate specific instructions and requests to the MCOP concerning the performance of the services described in this Agreement. Upon such notice and within the designated time frame after receipt of instructions, the MCOP shall comply with such instructions and fulfill such requests to the satisfaction of the department. It is expressly understood by the parties that these instructions and requests are for the sole purpose of performing the specific tasks requested to ensure satisfactory completion of the services described in this Agreement and are not intended to amend or alter this Agreement or any part thereof.
- E. Should any part of the scope of work under this contract relate to a state program that is no longer authorized by law (e.g., which has been vacated by a court of law, or for which CMS has withdrawn federal authority, or which is the subject of a legislative repeal), the MCOP must do no work on that part after the effective date of the loss of program authority. ODM must adjust capitation rates to remove costs that are specific to any program or activity that is no longer authorized by law. If the MCOP works on a program or activity no longer authorized by law after the date the legal authority for the work ends, the MCOP will not be paid for that work. If the state paid the MCOP in advance to work on a no-longer-authorized program or activity and under the terms of this contract the work was to be performed after the date the legal authority ended, the payment for that work should be returned to ODM. However, if the MCOP worked on a program or activity prior to the date legal authority ended for that program or activity, and ODM included the cost of performing that work in its payments to the MCOP, the MCOP may keep the payment for that work even if the payment was made after the date the program or activity lost legal authority.

ARTICLE II - TIME OF PERFORMANCE

- A. Upon approval by the Director of ODM, this Agreement shall be in effect from the date executed through June 30, 2024, and shall run concurrently with the Three-Way, including any permissible renewals pursuant to Section 5.7 of the Three-Way, unless this Agreement is suspended or terminated pursuant to Article VIII prior to the termination date, or otherwise amended pursuant to Article IX. Termination of this Agreement does not relieve the MCOP of any ongoing obligations as set forth in this Agreement, including those obligations associated with the transition plan described in Appendix P.

ARTICLE III – REIMBURSEMENT

- A. ODM will compute capitation rates on an actuarially sound basis in accordance with 42 CFR 438.5. The capitation rates do not include any amount for risks assumed under any other existing agreement or contract, or any previous agreement or contract. ODM will review the capitation rates at least annually and the rates may be modified based on existing or anticipated actuarial factors and experience.
- B. The amounts paid by ODM in accordance with this Agreement represent a full-risk arrangement and the total obligation of ODM to the MCOP for the costs of medical care and services provided.
- C. ODM may establish financial incentive programs for the MCOP based on performance.

ARTICLE IV - RELATIONSHIP OF PARTIES

- A. ODM and the MCOP agree that, during the term of this Agreement, the MCOP shall be engaged with ODM solely on an independent contractor basis, and neither the MCOP nor its personnel shall, at any time or for any purpose, be considered as agents, servants or employees of ODM or the state of Ohio. The MCOP shall therefore be responsible for all the MCOP's business expenses, including, but not limited to, employee's wages and salaries, insurance of every type and description, and all business and personal taxes, including income and Social Security taxes and contributions for Workers' Compensation and Unemployment Compensation coverage, if any.
- B. The MCOP agrees to comply with all applicable federal, state, and local laws in the conduct of the work hereunder.
- C. ODM retains the right to ensure that the MCOP's work is in conformity with the terms and conditions of this Agreement.
- D. Except as expressly provided herein, neither party shall have the right to bind or obligate the other party in any manner without the other party's prior written consent.

ARTICLE V - CONFLICT OF INTEREST; ETHICS LAWS

- A. In accordance with the safeguards specified in Section 27 of the Office of Federal Procurement Policy Act (41 U.S.C. 423) and other applicable federal requirements, no officer, member or employee of the MCOP, the Director of OMC, or other ODM employee who exercises any functions or responsibilities in connection with the review or approval of this Agreement or provision of services under this Agreement shall, prior to the completion of such services or reimbursement, acquire any interest, personal or otherwise, direct or indirect, which is incompatible or in conflict with, or would compromise in any manner or degree the discharge and fulfillment of his or her functions and responsibilities with respect to the carrying out of such services. For purposes of this article, "members" does not include individuals whose sole connection with the MCOP is the receipt of services through a health care program offered by the MCOP.
- B. The MCOP represents, warrants, and certifies that it and its employees engaged in the administration or performance of this Agreement are knowledgeable of and understand the Ohio Ethics and Conflicts of Interest laws. The MCOP further represents, warrants, and certifies that neither the MCOP nor any of its employees will do or cause any act or omit any action that is inconsistent with such laws.

- C. The MCOP hereby covenants that the MCOP, its officers, members, and employees of the MCOP, shall not, prior to the completion of the work under this Agreement, voluntarily acquire any interest, personal or otherwise, direct or indirect, which is incompatible or in conflict with or would compromise in any manner of degree the discharge and fulfillment of his or her functions and responsibilities under this Agreement. The MCOP shall periodically inquire of its officers, members, and employees concerning such interests. The MCOP must have a conflict-of-interest policy that ensures its corporate independence and objectivity.
- D. Any such person who acquires an incompatible, compromising or conflicting personal or business interest, on or after the effective date of this Agreement, or who involuntarily acquires any such incompatible or conflicting personal interest, shall immediately disclose his or her interest to ODM in writing. Thereafter, he or she shall not participate in any action affecting the services under this Agreement, unless ODM shall determine in its sole discretion that, in the light of the personal interest disclosed, his or her participation in any such action would not be contrary to the public interest. The written disclosure of such interest shall be made to: Director, OMC, ODM.
- E. No officer, member or employee of the MCOP shall promise or give to any ODM employee anything of value that is of such a character as to manifest a substantial and improper influence upon the employee with respect to his or her duties. The MCOP, along with its officers, members, and employees, understand and agree to take no action, or cause ODM or its employees to take any action, which is inconsistent with the applicable Ohio ethics and conflict of interest laws including without limitation those provisions found in ORC Chapters 102 and 2921.
- F. The MCOP hereby covenants that the MCOP, its officers, members, and employees are in compliance with ORC section 102.04 and that if MCOP is required to file a statement pursuant to ORC section 102.04(D)(2), such statement has been filed with ODM in addition to any other required filings.

ARTICLE VI - NONDISCRIMINATION OF EMPLOYMENT

- A. The MCOP agrees that in the performance of this Agreement or in the hiring of any employees for the performance of services under this Agreement, the MCOP shall not by reason of race, color, religion, gender, gender identity, sexual orientation, age, disability, national origin, military status, health status, genetic information or ancestry, discriminate against any individual in the employment of an individual who is qualified and available to perform the services to which the Agreement relates.
- B. The MCOP agrees that it shall not, in any manner, discriminate against, intimidate, or retaliate against any employee hired for the performance or services under the Agreement on account of race, color, religion, gender, gender identity, sexual orientation, age, disability, national origin, military status, health status, genetic information or ancestry.
- C. In addition to requirements imposed upon subcontractors in accordance with OAC Chapter 5160-58, the MCOP agrees to hold all subcontractors and persons acting on behalf of the MCOP in the performance of services under this Agreement responsible for adhering to the requirements of paragraphs (A) and (B) above and shall include the requirements of paragraphs (A) and (B) above in all subcontracts for services performed under this Agreement.

ARTICLE VII - RECORDS, DOCUMENTS AND INFORMATION

- A. The MCOP agrees that all records, documents, writings or other information produced by the MCOP under

this Agreement and all records, documents, writings or other information used by the MCOP in the performance of this Agreement shall be treated in accordance with OAC rules 5160-58-01.1 and 5160-26-06 and shall be provided to ODM, or its designee, if requested. This includes all records, documents, writings, or other information used by any subcontractors and other delegated entities who have an arrangement for performance under the Agreement which shall also be provided to ODM upon request. The MCOP shall maintain an appropriate record system for services provided to members. The MCOP shall retain all records in accordance with 42 CFR 438.3(u) and comply with the audit and inspection rights of those records in accordance with 42 CFR 438.3(h).

The MCOP acknowledges that these records, including those of any subcontractors and other delegated entities, may be a part of any Auditor of State audit.

- B. All information provided by the MCOP to ODM that is proprietary shall be held to be confidential by ODM. Proprietary information is information which: (a) if made public, would put the MCOP at a disadvantage in the marketplace and trade of which the MCOP is a part, and (b) meets the definition of “trade secret” as defined in ORC section 1333.61(D). The MCOP agrees to expressly indicate by marking the top or bottom of each individual record containing information the MCOP deems proprietary, regardless of media type (CD-ROM, Excel file etc.), prior to its release to ODM, unless otherwise specified by ODM. Unless otherwise specified by ODM, a record not so expressly indicated by the MCOP as proprietary shall not be held confidential and the MCOP waives any claim that the record is proprietary. Upon request from ODM, the MCOP agrees to promptly notify ODM in writing of the nature of the proprietary information including all reasonable evidence regarding the nature of the proprietary information in records submitted to ODM, and specifically identify the proprietary information contained in each individual record.

ODM will not share or otherwise disclose proprietary information received from the MCOP to any third party without the express written authorization of the MCOP, except that ODM shall be permitted to share proprietary information with the Ohio Auditor of State, the Ohio Attorney General, the Ohio Medicaid Fraud Control Unit, or contracted entities who need the proprietary information for rate setting or other purposes connected to the administration of the Medicaid program. These contracted entities shall be bound by the same standards of confidentiality that apply to ODM in these situations. In addition, ODM is also permitted to disclose proprietary information in response to court orders. Prior to disclosure of proprietary information required by court order (unless otherwise ordered by the court), ODM shall reasonably promptly notify the MCOP in writing of the order and the proprietary information that would be released.

When ODM determines that a court order or subpoena requires the disclosure of MCOP proprietary information, ODM shall reasonably promptly notify the MCOP and shall do so before any disclosure unless otherwise ordered by the court. If the MCOP chooses to challenge any order or subpoena requiring disclosure of proprietary information submitted to ODM, or any legal action brought to compel disclosure under ORC 149.43, the MCOP agrees to provide for the legal defense of all such proprietary information. The MCOP shall be responsible for and pay for all legal fees, expert and consulting fees, expenses, and costs related to this challenge against disclosure, regardless of whether those legal fees, expert and consulting fees, expenses, and costs are incurred by the MCOP or by ODM. If the MCOP fails to promptly notify ODM in writing that the MCOP intends to legally defend against disclosure of proprietary information, that failure shall be deemed to be a waiver of the proprietary nature of the information, and a waiver of any right of the MCOP to proceed against ODM for violation of this Agreement or of any laws protecting proprietary information. Such failure shall also be deemed a waiver of trade secret protection in that the MCOP will have failed to make efforts that are reasonable under the circumstances to maintain the information’s secrecy.

The provisions of this Article are not self-executing.

- C. The MCOP shall not use any information, systems, or records made available to it for any purpose other than to fulfill the duties specified in this Agreement. The MCOP agrees to be bound by the same standards of confidentiality that apply to the employees of ODM and the State of Ohio, including without limitation the confidentiality requirements found in 42 CFR Part 431 Subpart F and ORC section 5160.45, as well as 42 CFR Part 2 and ORC section 5119.27, as applicable. The terms of this section shall be included in any subcontracts executed by the MCOP for services under this Agreement. The MCOP shall implement procedures to ensure that in the process of coordinating care, each enrollee's privacy is protected consistent with the confidentiality requirements cited above, as well as those set forth in 45 CFR Parts 160 and 164.
- D. The MCOP agrees, certifies, and affirms that HHS, US Comptroller General or representatives of either entity will have access to books, documents, and other business records of the MCOP.
- E. All records relating to performance under or pertaining to this Agreement will be retained by the MCOP in accordance to the appropriate records retention schedule. Pursuant to 42 CFR 438.3(u) and 42 CFR 438.3(h), the appropriate records retention schedule for this Agreement is for a total period of 10 years as are the audit and inspection rights for those records. For the initial three years of the retention period, the records shall be stored in a manner and place that provides readily available access. If any records are destroyed prior to the date as determined by the appropriate records retention schedule, the MCOP agrees to pay to ODM all damages, costs, and expenses incurred by ODM associated with any cause, action or litigation arising from such destruction after the contract period expires.
- F. The MCOP agrees to retain all records in accordance with any litigation holds that are provided to them by ODM, and actively participate in the discovery process if required to do so, at no additional charge. Litigation holds may require the MCOP to keep the records longer than the approved records retention schedule. The MCOP will be notified by ODM when the litigation hold ends, and retention can resume based on the approved records retention schedule. If the MCOP fails to retain the pertinent records after receiving a litigation hold from ODM, the MCOP agrees to pay to ODM all damages, costs, and expenses incurred by ODM associated with any cause, action or litigation arising from such destruction.
- G. The MCOP shall promptly notify ODM of any legal matters and administrative proceedings including, but not limited to, litigation and arbitration, which involve or otherwise pertain to the activities performed pursuant to this Agreement and any third party. In the event that the MCOP possesses or has access to information and/or documentation needed by ODM with regard to the above, the MCOP agrees to cooperate with ODM in gathering and promptly providing such information and/or documentation to the extent permissible under applicable law.

ARTICLE VIII - NONRENEWAL AND TERMINATION

- A. This Agreement may be terminated, pursuant to Section 5.5 of the Three-Way or by ODM or the MCOP upon written notice in accordance with the applicable rule(s) of the OAC, with termination to occur at the end of the last day of the termination month. If the Three-Way is terminated, and ODM decides to enter into a new Agreement with the MCOP, MCOP shall be required to enter into a new Agreement with ODM that shall begin the day after the termination of the Three-Way. By executing this Agreement, MCOP expressly agrees to be bound by this provision of the Agreement. If the option to enter into a new Agreement per this Section is exercised, the MCOP will be provided a copy of the proposed new Agreement for review prior to execution. The terms of the new Agreement will not be unconscionable or capricious and the parties agree

to negotiate in good faith.

- B. Subsequent to receiving a notice of termination from ODM, the MCOP beginning on the effective date of the termination, shall cease provision of services on the terminated activities under this Agreement; terminate all subcontracts relating to such terminated activities, take all necessary or appropriate steps to limit disbursements and minimize costs, and comply with the requirements specified in this Agreement, as of the date of receipt of notice of termination describing the status of all services under this Agreement.
- C. In the event of termination under this Article, the MCOP shall be entitled to request reconciliation of reimbursements through the final month for which services were provided under this Agreement, in accordance with the reimbursement provisions of this Agreement. The MCOP agrees to waive any right to, and shall make no claim for, additional compensation against ODM by reason of such suspension or termination.
- D. In the event of termination under this Article, MCOP shall return all records in their native format relating to cost, work performed, supporting documentation for invoices submitted to ODM, and copies of all materials produced under or pertaining to this Agreement.
- E. ODM may, in its sole discretion, terminate or fail to renew this Agreement if the MCOP or MCOP's subcontractors violate or fail to comply with the provisions of this Agreement or other provisions of law or regulation governing the Medicaid program. Where ODM proposes to terminate or refuse to enter into a provider agreement, the provisions of applicable sections of the OAC with respect to ODM's suspension, termination or refusal to enter into a provider agreement may apply Pursuant to ORC section 5164.38, the MCOP does not have the right to request an adjudication hearing under ORC Chapter 119 to challenge any action taken or decision made by ODM with respect to entering into or refusing to enter into a provider agreement with the MCOP pursuant to ORC Section 5167.10.
- F. The MCOP understands that availability of funds to fulfill the terms of this Agreement is contingent on appropriations made by the Ohio General Assembly and the United States government for funding the Medicaid program. If sufficient funds are not available from the Ohio General Assembly or the United States government to make payments on behalf of a specific population (Aged, Blind, Disabled, Covered Families and Children, or Adult Extension) to fulfill the terms of this Agreement, the obligations, duties, and responsibilities of the parties with respect to that population will be terminated except as specified in Appendix P as of the date funding expires. If the Ohio General Assembly or the United States government fails at any time to provide sufficient funding for ODM or the State of Ohio to make payments due under this Agreement, this Agreement will terminate as of the date funding expires without further obligation of ODM or the State of Ohio.

ARTICLE IX - AMENDMENT AND RENEWAL

- A. This Agreement may be amended only by a writing signed by both parties. Any written amendments to this Agreement shall be prospective in nature.
- B. In the event that changes in state or federal law, regulations, an applicable waiver or state plan amendment, or the terms and conditions of any applicable federal waiver or state plan amendment, require ODM to modify this Agreement, ODM shall notify the MCOP regarding such changes and this Agreement shall be automatically amended to conform to such changes without the necessity for executing written amendments pursuant to this Article of this Agreement.

ARTICLE X - LIMITATION OF LIABILITY

- A. The MCOP agrees to (1) pay for the defense (if requested by ODM) of ODM and the State of Ohio and any of its agencies, and (2) to indemnify and to hold ODM and the State of Ohio and any of its agencies harmless and immune from any and all claims for injury or damages resulting from the actions or omissions of the MCOP in the fulfillment of this Agreement or arising from this Agreement which are attributable to the MCOP's own actions or omissions, or of those of its trustees, officers, employees, agents, subcontractors, suppliers, third parties utilized by the MCOP, or joint ventures'. Such claims shall include but are not limited to: any claims by providers or Medicaid recipients, any claims made under the Fair Labor Standards Act or under any other federal or state law involving wages, overtime, or employment matters and any claims involving patents, copyrights, trademarks, and applicable public records laws. The MCOP shall be responsible for any pay all legal fees, expert and consulting fees, expenses, and costs associated with defending ODM and the State of Ohio and its agencies against these claims. In any such litigation or claim, ODM and the State of Ohio and its agencies shall have the right to choose their own legal counsel and any experts and consultants, subject only to the requirement that legal, expert, and consulting fees must be reasonable.
- B. The MCOP hereby agrees to be liable for any loss of federal funds suffered by ODM for enrollees resulting from specific, negligent acts or omissions of the MCOP or its subcontractors during the term of this Agreement, including but not limited to the nonperformance of the duties and obligations to which the MCOP has agreed under this Agreement.
- C. In the event that, due to circumstances not reasonably within the control of the MCOP or ODM, a major disaster, epidemic, complete or substantial destruction of facilities, war, riot or civil insurrection occurs, neither ODM nor the MCOP will have any liability or obligation on account of reasonable delay in the provision or the arrangement of covered services; provided that so long as the MCOP's Certificate of Authority remains in full force and effect, the MCOP shall be liable for the covered services required to be provided or arranged for in accordance with this Agreement.
- D. In no event shall ODM be liable for indirect, consequential, incidental, special or punitive damages, or lost profits.

ARTICLE XI - ASSIGNMENT

- A. Medicaid members may not be transferred by one MCOP to another entity without the express prior written approval of ODM. Even with ODM's prior written approval, ODM reserves the right to offer such members the choice of MCOPs outside the normal open enrollment process and implement an assignment process as ODM determines is appropriate. Any member transfer shall be submitted for ODM's review 120 calendar days prior to the desired effective date. ODM shall use reasonable efforts to respond to any such request for approval within the 120-calendar day period. Failure of ODM to act on a request for approval within the 120-calendar day period does not act as an approval of the request. ODM may require a receiving MCOP to successfully complete a readiness review process before the transfer of members under this Agreement.
- B. MCOPs shall not assign any interest in this Agreement and shall not transfer any interest in the same (whether by assignment or novation) without the prior written approval of ODM and subject to such conditions and provisions as ODM may deem necessary. No such approval by ODM of any assignment shall be deemed in any event or in any manner to provide for the incurrence of any obligation by ODM in addition to the total agreed-upon reimbursement in accordance with this Agreement. Any assignments of interest

shall be submitted for ODM's review 120 calendar days prior to the desired effective date. ODM shall use reasonable efforts to respond to any such request for approval within the calendar 120-calendar day period. Failure of ODM to act on a request for approval within the 120-calendar day period does not act as an approval of the request. ODM may require a receiving MCOP to successfully complete a readiness review process before the transfer of obligations under this Agreement.

- C. The MCOP shall not assign any interest in subcontracts of this Agreement and shall not transfer any interest in the same (whether by assignment or novation) without the prior written approval of ODM and subject to such conditions and provisions as ODM may deem necessary. Any such assignments of subcontracts shall be submitted for ODM's review 30 calendar days prior to the desired effective date. No such approval by ODM of any assignment shall be deemed in any event or in any manner to provide for the incurrence of any obligation by ODM in addition to the total agreed-upon reimbursement in accordance with this Agreement.

ARTICLE XII - CERTIFICATION MADE BY THE MCOP

- A. This Agreement is conditioned upon the full disclosure by the MCOP to ODM of all information required for compliance with state and federal regulations.
- B. The MCOP certifies that no federal funds paid to the MCOP through this or any other Agreement with ODM shall be or have been used to lobby Congress or any federal agency in connection with a particular contract, grant, cooperative agreement or loan. The MCOP further certifies its continuing compliance with applicable lobbying restrictions contained in 31 U.S.C. 1352 and 45 CFR Part 93. If this Agreement exceeds \$100,000, the MCOP has executed the Disclosure of Lobbying Activities, Standard Form LLL, if required by federal regulations. This certification is material representation of fact upon which reliance was placed when this Agreement was entered into.
- C. The MCOP certifies that neither the MCOP nor any principals of the MCOP (i.e., a director, officer, partner, or person with beneficial ownership of more than 5% of the MCOP's equity) is presently debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from participation in transactions by any Federal agency. The MCOP also certifies that it is not debarred from consideration for contract awards by the Director of the Department of Administrative Services, pursuant to either ORC Section 153.02 or ORC Section 125.25. The MCOP also certifies that the MCOP has no employment, consulting or any other arrangement with any such debarred or suspended person for the provision of items or services or services that are significant and material to the MCOP's contractual obligation with ODM. This certification is a material representation of fact upon which reliance was placed when this Agreement was entered into. Federal financial participation (FFP) is not available for amounts expended for providers excluded by Medicare, Medicaid, or SCHIP, except for emergency services. If it is ever determined that the MCOP knowingly executed this certification erroneously, then in addition to any other remedies, this Agreement shall be terminated pursuant to Article VIII, and ODM shall advise the Secretary of the appropriate federal agency of the knowingly erroneous certification.
- D. The MCOP certifies that the MCOP is not on the most recent list established by the Secretary of State, pursuant to ORC Section 121.23, which identifies the MCOP as having more than one unfair labor practice contempt of court finding. This certification is a material representation of fact upon which reliance was placed when this Agreement was entered into.
- E. The MCOP agrees not to discriminate against individuals who have or are participating in any work program administered by a County Department of Job and Family Services (CDJFS) under ORC Chapters 5101 or 5107.

- F. The MCOP certifies and affirms that, as applicable to the MCOP, that no party listed or described in Division (I) or (J) of ORC section 3517.13 who was in a listed position at the time of the contribution, has made as an individual, within the two previous calendar years, one or more contributions in excess of one thousand dollars (\$1,000.00) to the present Governor or to the Governor's campaign committees during any time he/she was a candidate for office. This certification is a material representation of fact upon which reliance was placed when this Agreement was entered into. If it is ever determined that the MCOP's certification of this requirement is false or misleading, and notwithstanding any criminal or civil liabilities imposed by law, the MCOP shall return to ODM all monies paid to the MCOP under this Agreement. The provisions of this section shall survive the expiration or termination of this Agreement.
- G. The MCOP agrees to refrain from promising or giving to any ODM employee anything of value that is of such a character as to manifest a substantial and improper influence upon the employee with respect to his or her duties.
- H. The MCOP agrees to comply with the false claims recovery requirements of 42 U.S.C 1396a (a)(68) and to also comply with ORC section 5162.15.
- I. The MCOP, its officers, employees, members, any subcontractors, and/or any independent contractors (including all field staff) associated with this Agreement agree to comply with all applicable state and federal laws regarding a smoke-free and drug-free workplace. The MCOP will make a good faith effort to ensure that all MCOP officers, employees, members, and subcontractors will not purchase, transfer, use or possess illegal drugs or alcohol, or abuse prescribed drugs in any way while performing their duties under this Agreement.
- J. The MCOP certifies and confirms that any performance of experimental, developmental, or research work shall provide for the rights of the Federal Government and the recipient in any resulting invention.
- K. The MCOP certifies and confirms that it agrees to comply with all applicable standards orders or regulations of the Clean Air Act and Federal Water Pollution Control Act.
- L. The MCOP agrees that it is in compliance with the Federal Acquisition Regulation (FAR) for Combatting Trafficking in Persons, 48 CFR Part 22 Subpart 22.17, in which "the United States Government has adopted a zero-tolerance policy regarding trafficking in persons." The provisions found in 48 CFR Part 52 Subpart 52.2, specifically Subpart 52.222-50 are hereby incorporated into this Agreement by reference. ODM reserves the right to immediately and unilaterally terminate this Agreement if any provision in this Section is violated and ODM may implement section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 USC 7104), see 2 CFR Part 175.

ARTICLE XIII - CONSTRUCTION

- A. This Agreement shall be governed, construed, and enforced in accordance with the laws and regulations of the state of Ohio and appropriate federal statutes and regulations. The provisions of this Agreement are severable and independent, and if any such provision shall be determined to be unenforceable, in whole or in part, the remaining provisions and any partially enforceable provision shall, to the extent enforceable in any jurisdiction, nevertheless be binding and enforceable.

ARTICLE XIV - INCORPORATION BY REFERENCE

- A. OAC Chapter 5160-58, the Three-Way, and the MyCare Ohio Compliance Methodology document (Compliance Methodology) are hereby incorporated by reference as part of this Agreement having the full force and effect as if specifically restated herein.
- B. Appendices A through T and any additional appendices are hereby incorporated by reference as part of this Provider Agreement having the full force and effect as if specifically restated herein. Appendix P and any other applicable obligations set forth in this Agreement will survive the termination or non-renewal of this Agreement.
- C. In the event of inconsistency or ambiguity between the provisions of OAC Chapter 5160-58, and this Agreement, the provisions of OAC Chapter 5160-58 shall be determinative of the obligations of the parties unless such inconsistency or ambiguity is the result of changes in federal or state law, pursuant to the order of precedence established in Section 5.6 of the Three-Way. In the event OAC Chapter 5160-58 is silent with respect to any ambiguity or inconsistency, the Agreement (including Appendices), shall be determinative of the obligations of the parties, unless otherwise stated herein. In the event that a dispute arises which is not addressed in any of the aforementioned documents, the parties agree to make every reasonable effort to resolve the dispute, in keeping with the objectives of the Agreement and the budgetary and statutory constraints of ODM.

ARTICLE XV – NOTICES

All notices, consents, and communications hereunder shall be given in writing, shall be deemed to be given upon receipt thereof, and shall be sent to the addresses first set forth below.

ARTICLE XVI – HEADINGS

The headings in this Agreement have been inserted for convenient reference only and shall not be considered in any questions of interpretation or construction of this Agreement.

The parties have executed this Agreement the date first written above. The Agreement is hereby accepted and considered binding in accordance with the terms and conditions set forth in the preceding statements.

MCOP NAME

BY: _____
PRESIDENT & CEO
ADDRESS: _____

DATE: _____

THE OHIO DEPARTMENT OF MEDICAID

BY: _____
MAUREEN M. CORCORAN, DIRECTOR
50 West Town Street, Suite 400, Columbus, Ohio 43215

DATE: _____

**Ohio Department of Medicaid (ODM)
MyCare Ohio Provider Agreement
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APPENDIX A

OAC RULES

1. The MyCare Ohio managed care program rules are located in Ohio Administrative Code (OAC) Chapters 5160-26 and 5160-58 and can be accessed electronically through the Ohio Department of Medicaid's Managed Care webpage.
2. **Distribution List Subscriptions.** The MCOP shall subscribe to the appropriate distribution lists for notification of all OAC rule clearances, final rules published with medical assistance letters (MALs), Medicaid handbook transmittal letters (MHTLs), and other transmittal letters affecting managed care program requirements. The MCOP is solely responsible for submitting its names and email addresses to the appropriate distribution lists and is also responsible for ensuring the validity of any email addresses maintained on those distribution lists. Email distribution lists include:
 - a. RuleWatch Ohio at: <https://www.rulewatchohio.gov/>;
 - b. ODM Rule Notification at: <https://medicaid.ohio.gov/RESOURCES/Legal-and-Contracts/Rules>;
and
 - c. ODM news and information at: <https://medicaid.ohio.gov/home/govdelivery-subscribe>

APPENDIX B

SERVICE AREA SPECIFICATIONS

MYCARE OHIO PLAN:

1. **Service Areas.** The MyCare Ohio Plan agrees to provide Medicaid services to individuals dually eligible for Medicare and Medicaid pursuant to OAC rule 5160-58-02 residing in the following service areas:

Service Area Regions

Central	<input type="checkbox"/>
East Central	<input type="checkbox"/>
Northeast	<input type="checkbox"/>
Northeast Central	<input type="checkbox"/>
Northwest	<input type="checkbox"/>
West Central	<input type="checkbox"/>
Southwest	<input type="checkbox"/>

The MyCare Ohio Plan shall serve all counties in any region they agree to serve.

2. **MyCare Ohio Plan Service Area Regions.** The MyCare Ohio Program consists of 29 counties grouped into seven service area regions identified below.
 - a. **Counties in Central.** Delaware, Franklin, Madison, Pickaway, and Union.
 - b. **Counties in East Central.** Portage, Stark, Summit, and Wayne.
 - c. **Counties in Northeast.** Cuyahoga, Geauga, Lake, Lorain, and Medina.
 - d. **Counties in Northeast Central.** Columbiana, Mahoning, and Trumbull.
 - e. **Counties in Northwest.** Fulton, Lucas, Ottawa, and Wood.
 - f. **Counties in West Central.** Clark, Greene, and Montgomery.
 - g. **Counties in Southwest.** Butler, Clermont, Clinton, Hamilton, and Warren.

APPENDIX C

PLAN RESPONSIBILITIES

The following are MyCare Ohio Plan (MCOP) responsibilities not otherwise stated in OAC rule or elsewhere in this Agreement.

1. The MCOP shall implement program modifications as soon as reasonably possible but no later than the required effective date, in response to changes in applicable state and federal laws and regulations.
2. The MCOP shall submit a current copy of its Certificate of Authority (COA) to ODM within 30 calendar days of issuance by the Ohio Department of Insurance (ODI).
3. The MCOP shall designate the following:
 - a. A primary contact person, the Contract Compliance Officer, as specified in Sections 2.2.2.1 and 2.2.3.4.1.3 of the Three-Way, who will dedicate a majority of his or her time to the MyCare Ohio (Medicaid-Medicare) product line and coordinate overall communication between ODM and the MCOP. ODM may also require the MCOP to designate contact staff for specific program areas. The Contract Compliance Officer will be responsible for ensuring the timeliness, accuracy, completeness, and responsiveness of all MCOP submissions to ODM.
 - b. A provider relations representative for each service area included in this Agreement. Each provider relations representative can serve in this capacity for only one service area.
4. **Communications.** In addition to Section 2.2 of the Three-way, the MCOP shall take all necessary and appropriate steps to ensure all MCOP staff are aware of, and follow, the following communication process:
 - a. All MCOP employees are to direct all day-to-day submissions and communications to their ODM-designated contract administrator within the Office of Managed Care (OMC) unless otherwise notified by ODM. If the MCOP needs to contact another area of ODM in any other circumstance, the contract administrator within the OMC shall also be copied or otherwise included in the communication.
 - b. Entities that contract with ODM should never be contacted by the MCOP unless ODM has specifically instructed the MCOP to contact these entities directly.
 - c. Because the MCOP is ultimately responsible for meeting program requirements, ODM will only discuss MCOP issues with the MCOP's subcontractor when the MCOP is also participating in the discussion or when the MCOP grants ODM permission to do so. MCOP subcontractors should communicate with ODM when the MCOP is participating or when the MCOP grants the subcontractor authorization to communicate directly with ODM.
5. The MCOP shall be represented at all meetings and events designated by ODM that require mandatory attendance. The MCOP shall not record meetings or calls with or where ODM is present or participating without ODM's express prior written approval. The word

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“record” has its commonly understood meaning and includes, for example and without limitation, inscribing or capturing words, statements, conversations, discussions, meetings, presentations, and phone calls using electronic or digital means or methods.

6. The MCOP shall have a MyCare Ohio Medicaid Managed Care program administrative office located in Ohio.
7. The MCOP shall have its MyCare Ohio Medicaid Managed Care program member call center(s) located in the state of Ohio.
8. **Required MCOP Staff.** The MCOP shall have the key MyCare Ohio Medicaid Managed Care program staff specified in Section 2.2.3 of the Three-Way based and working in the state of Ohio. The MCOP must provide ODM with an MCOP Organizational and Functional Chart that identifies key staff, organizational staff and reporting lines as specified in Appendix T, Chart of Deliverables. Each key staff person identified in Section 2.2.3 of the Three-Way may occupy no more than one of the positions, unless the MCOP receives prior written approval from ODM stating otherwise.
9. Upon request by ODM, the MCOP shall submit information on the current status of their company’s operations not specifically covered under this Agreement unless otherwise excluded by law.
10. The MCOP shall have all new employees trained on applicable program requirements including those in the Three-Way, and represent, warrant, and certify to ODM that such training occurs, or has occurred. Plans shall conduct staff training sessions on subjects including disability competency, access, cultural sensitivity, person-centered care delivery approaches and independent living philosophies.
11. All employees of the MCOP and the MCOP’s delegated/subcontracted entities who have in-person contact with members in their home shall comply with criminal record check requirements as specified by ODM.
12. If the MCOP determines it does not wish to provide, reimburse, or cover a counseling service or referral service due to an objection to the service on moral or religious grounds, it shall immediately notify ODM to coordinate the implementation of this change. The MCOP will be required to notify its members of this change at least 30 calendar days prior to the effective date. The MCOP’s member handbook and provider directory, as well as all marketing materials, will need to include information specifying any such services the MCOP will not provide.
13. For any data and/or documentation the MCOP is required to maintain, ODM may request the MCOP provide analysis of this data and/or documentation to ODM in an aggregate format to be solely determined by ODM.
14. The MCOP is responsible for determining medical necessity for services and supplies requested for its members as specified in OAC rule 5160-58-03. Notwithstanding such responsibility, ODM retains the right to make the final determination on medical necessity in specific member situations.
15. In addition to the timely submission of medical records at no cost for the annual external quality review, the MCOP may be required to submit medical records at no cost to ODM and/or its designee upon

request.

16. **Provider Panel Changes.** In addition to Section 2.6.1.2 of the Three-Way, the MCOP shall comply with the requirements set forth in OAC rules 5160-58-01.1 and 5160-26-05, and shall notify the OMC in writing:

- a. Within one business day of becoming aware that an MCOP panel provider which served 100 or more of the MCOP's members in the previous 12 months failed to notify the MCOP they are no longer available to serve as an MCOP panel provider;
- b. No less than 90 days before the end date of any MCOP-initiated without cause termination of a provider subcontract that serves 100 or more of the MCOP's members in the previous 12 months. This includes individual practitioners in group practices which cumulatively have served 100 or more members in the previous 12 months. MCOP-initiated terminations of provider subcontracts that have served 100 or more of the MCOP's members may not take effect during the 90 days after the open enrollment month ends;
- c. Prior to any MCOP-initiated provider panel changes that will or may result in provider network availability being reduced by 10% or more of available panel providers as of the date of the notice. MCOP-initiated changes may include, but are not limited to, restricting contracts for any service or with any providers by limiting subcontracts (including sole source contracting), terminating or restricting any providers or group of providers or by reducing payment rates; or
- d. Within one business day of becoming aware of a provider-initiated hospital unit closure.
- e. When a plan has been notified of a hospital termination, the MCOP may request ODM authorize an alternative notification area in accordance with OAC 5160-26-05. Upon request, ODM will determine the authorized notification area no later than 7 business days after receipt of the MCOP's submission. The notification timelines outlined in OAC rule 5160-26-05 will not be waived. The MCOP must submit the following details to ODM:
 - i. Provider information including name, provider type, address, and county where services were rendered, including details for all primary care providers (PCPs) or specialists if the provider is a hospital;
 - ii. Copy of the termination notice including the termination date;
 - iii. Number of members who used services from, or were assigned to, a PCP in the previous 12 months; and
 - iv. Results of an evaluation of the remaining contracts completed to assure adequate access, including the average and longest distance a member will need to travel to another provider, and the name, provider type, address, and county of the remaining contracts that can meet the access requirements.
 - v. For hospital terminations or hospital unit closures:

1. Zip codes or counties of residence for members who used services in the previous 12 months;
 2. Percentage of the plans' membership that use the terminating hospital or hospital unit closure and compare with the percent of the plans' membership that use the next closest contract hospital; and
 3. Plan to ensure continuity of services for members in their third trimester, receiving chemotherapy, and/or receiving radiation treatment.
- f. The MCOP must provide ODM with the Provider Termination Report, as specified in Appendix T, Chart of Deliverables.
17. **Additional Benefits.** The MCOP may elect to provide services in addition to those covered under the Ohio Medicaid fee-for-service (FFS) program. Before the MCOP notifies potential or current members of the availability of those services, the MCOP shall first notify ODM of its plans to make such services available. If an MCOP elects to provide additional services, the MCOP shall ensure to the satisfaction of ODM the services are readily available and accessible to members who are eligible to receive them. Additional benefits shall be made available to members for at least six calendar months from the date approved by ODM. All additional benefits available to Medicaid-only members shall also be approved and available for dual benefits members. Additional benefits may not vary by county within a region except out of necessity for transportation arrangements (e.g., bus versus cab). An MCOP approved to serve members in more than one region may vary additional benefits between regions.
- a. The MCOP must arrange and provide transportation to any member requesting transportation when the member must travel 30 miles or more one way from the member's home to receive a medically necessary Medicaid-covered service provided by the MCOP pursuant to OAC rule 5160-58-03 and Appendix G of this Agreement. If the MCOP offers transportation to its members as an additional benefit and this transportation benefit only covers a limited number of trips, the required transportation listed above may not be counted toward this trip limit. The MCOP must provide information and assistance to members to ensure members receive medically necessary transportation.
 - b. The MCOP shall give ODM and members 90 calendar days prior notice when decreasing or ceasing any additional benefits. When the MCOP finds it is impossible to provide 90 calendar days prior notice for reasons beyond its control, as demonstrated to ODM's satisfaction, ODM shall be notified within at least one business day.
18. **Behavioral Health Crisis Services.** The MCOP must ensure that member-serving MCOP staff know the continuum of community resources for behavioral health crisis services, including the 988 Suicide & Crisis Lifeline and the appropriate Mobile Response and Stabilization Service (MRSS) within each region. The MCOP must train MCOP staff who interface with the public or have direct member contact on how to connect (through warm handoffs) members in need of behavioral health crisis services to 988 and the appropriate community MRSS. Staff making warm transfers to 988 must use the National Suicide Prevention Lifeline 10-digit terminal numbers when geolocation based on member's location cannot be used, such as when the call is being transferred from the MCOP's member call center. The MCOP must track and document behavioral health crisis contacts from members and ensure that this information is

shared as soon as possible and no later than the next business day with the MCOP's care coordination staff, OhioRISE Plan, and/or care coordination entity (CCE) for appropriate follow-up. For the purpose of this Agreement, a care coordination entity is defined as an entity that provides care coordination to a specific population. The MCOP must work with ODM, the Ohio Department of Mental Health and Addiction Services (OMHAS), and other entities as identified by ODM to develop a robust continuum of behavioral health crisis services.

19. **Provision of Transportation Services.** The MCOP shall ensure transportation pick-up is completed not more than 15 minutes before or 15 minutes after the pre-scheduled pick-up time, ensuring the member is on time for their appointment. Following a scheduled appointment, transportation pick-up shall be completed no more than 30 minutes after a request for pick-up.
- a. The transportation vendor shall attempt to contact the member if he or she does not respond at pick-up. The vendor shall not leave the pick-up location prior to the pre-scheduled pick-up time.
 - b. The MCOP shall identify and accommodate any special transportation assistance needs of its members (e.g., door-to-door assistance, attendant support, member-specific timeliness requirements). Member-specific needs shall be communicated to the transportation vendor and updated as frequently as is needed to support the member's needs. Where applicable, these needs shall be documented in the member's care plan.
 - c. Transportation for members with long-term service and supports (LTSS) needs. The MCOP should contract with providers experienced in transporting members with LTSS needs. Characteristics of LTSS experienced providers include but are not limited to:
 - i. The ability to help the member transfer between the pick-up location and the vehicle, to enter and exit the vehicle, and to transfer between the vehicle and the destination location safely;
 - ii. Sensitivity to aging adults living with disabilities;
 - iii. The ability to safely operate, secure, and transport a wheelchair or other assistive device;
 - iv. Maintain vehicles equipped with fasteners to secure wheelchairs and prevent movement, and a stable access ramp or hydraulic lift; and
 - v. The capacity to meet individual member needs when transporting.
 - d. The MCOP shall submit a plan for the provision of transportation services during winter snow and other weather emergencies, specifying identification, triage, transportation of members requiring critical services, notification to members of canceled transportation, and rescheduling. The MCOP shall specify the snow emergency level and any other weather-related criteria that require a change to scheduled transportation. The MCOP shall notify the Contract Administrator immediately when transportation is canceled in accordance with the plan.

- e. The MCOP's member services call center must have a selection for transportation for members. Member services representatives must be trained to respond to transportation requests in accordance with MCOP policies and procedures for arranging and providing transportation services.
- f. The MCOP must not require more than 48 hours of advance notice for transportation needs and must provide exceptions for advance notice requirements for urgent member needs (e.g., for same or next day urgent appointments) and hospital discharges.
- g. When providing transportation for more than one member to more than one location, the MCOP must ensure that the total transit time for any single member on the trip does not exceed 60 minutes beyond the member's point-to-point transit time.
- h. The MCOP may not restrict the number of transports in a single day.
- i. The MCOP must collaborate with ODM, other ODM-contracted managed care entities (MCEs), and the counties within the MCOP's service area to improve member experience and access to transportation services, including standardizing the way for members to access transportation services.
- j. The MCOP must submit a quarterly Transportation Performance Report to ODM as specified in Appendix T, Chart of Deliverables.

20. **Comprehensive Disaster/Emergency Response Planning.** The MCOP shall develop and implement an ODM-approved Comprehensive Disaster/Emergency Response Plan for natural, man-made, or technological disasters, and other public emergencies (e.g., floods, extreme heat, and extreme cold.) The MCOP shall notify its Contract Administrator immediately when the Comprehensive Disaster/Emergency Response Plan has been activated. The MCOP shall make a current version of the approved Comprehensive Disaster/Emergency Response Plan available to all staff.

- a. The MCOP shall designate both a primary and alternate point of contact who will perform the following functions: be available 24 hours a day, 7 days a week during the time of an emergency; be responsible for monitoring news, alerts, and warnings about disaster/emergency events; have decision-making authority on behalf of the MCOP; respond to directives issued by ODM; and cooperate with the local- and state-level Emergency Management Agencies. The MCOP shall communicate any changes to the primary and alternate point of contact to the Contract Administrator at least one business day prior to the effective date of the change.
- b. The MCOP shall participate in ODM sanctioned workgroups and processes to establish a state-level emergency response plan which will include a provision for Medicaid recipients, and will comply with the resulting procedures.
- c. During the time of an emergency or a natural, technological, or man-made disaster, the MCOP shall be able to generate a current list of members for whom an individual disaster plan, according to the specifications below, has been developed, including the risk and the individual-level plan, and distribute to local and state emergency management authorities according to the

protocol established by ODM.

- d. The MCOP shall identify members who are at risk for harm, loss, or injury during any potential natural, technological, or manmade disaster. The MCOP shall ensure every member who is technology and/or service dependent, with no known reasonable means to access services, is known and documented as part of the plan's Comprehensive Disaster/Emergency Response Plan. For these members, the MCOP shall develop an individual-level plan with the member when appropriate. The MCOP shall ensure staff, including care managers, are prepared to respond to and implement the plans in the event of an emergency or disaster. The member-level plan shall:
 - i. Include a provision for the continuation of critical services appropriate for the member's needs in the event of a disaster;
 - ii. Identify how and when the plan will be activated;
 - iii. Be documented in the member record maintained by the MCOP; and
 - iv. Be provided to the member.

21. **Member Rights.** The MCOP shall comply with 42 CFR 438.100, OAC rule 5160-26-08.3, and any applicable federal and state laws that pertain to member rights and ensure its staff adhere to such laws when furnishing services to its members. The MCOP shall include a requirement in its contracts with affiliated providers that such providers also adhere to applicable Federal and State laws when providing services to members.

22. **Cultural Competency and Communication Needs.** The MCOP is responsible for promoting the delivery of services in a culturally competent manner, as defined by the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care (<https://www.thinkculturalhealth.hhs.gov>) to all members, including those with limited English proficiency (LEP) and diverse cultural and ethnic backgrounds, disabilities, and regardless of gender, sexual orientation, or gender identify. The MCOP shall comply with applicable federal and state laws regarding persons with LEP and persons with disabilities, including Title VI of the Civil Rights Act of 1964, Titles II and III of the Americans with Disabilities Act, the Section 504 of the Rehabilitation Act of 1973, and section 1557 of the Patient Protection and Affordable Care Act. The At minimum, the MCOP shall do the following:

- a. The MCOP shall develop and implement a written plan or policy governing accessibility and accommodations for persons with LEP and persons with disabilities. The plan shall require training of pertinent staff on the process. The plan must be made available for review by ODM at ODM's request.
- b. The MCOP shall provide written notice of nondiscrimination (i.e. that the MCOP may not discriminate on the basis of race, color, religion, gender, gender identity, sexual orientation, age, disability, national origin, military status, ancestry, genetic information, health status, or need for health services in the receipt of health services) to members.

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- c. The MCOP shall provide written information to members describing how to request language or disability accommodations and how to file a grievance with both the MCOP and the HHS Office of Civil Rights.
- d. The MCOP shall make oral interpreter services for all languages, alternative formats, and auxiliary aids and services available free of charge to all members and eligible individuals pursuant to 42 CFR 438.10.
- e. The MCOP shall comply with the requirements specified in Section 2.12 of the Three-Way for member communication standards and shall comply with OAC rules 5160-58-01.1, 5160-26-03.1, 5160-26-05, and 5160-26-05.1 for providing assistance to LEP members and eligible individuals. Unless otherwise specified by a member, the MCOP shall ensure that any special communication needs identified by a member (for example, large print or language translation) are applied to subsequent communications with the member.
- f. MCOPs must include taglines on all materials which are critical to obtaining services. These include, at a minimum, direct member contact marketing materials, HIPAA privacy notices, provider directories, member handbooks, care coordination materials provided to the member, grievance and appeal notices, denial and termination notices, member letters, solicitation brochures, and any other materials as identified by ODM.
- g. If ODM identifies prevalent non-English languages in the MCOP's service area, the MCOP, as specified by ODM, shall translate marketing and member materials into the primary languages of those groups. The MCOP shall make these marketing and member materials available to eligible individuals free of charge.
- h. The MCOP shall utilize a centralized database which records the special communication needs of all MCOP members (i.e., those with LEP, limited reading proficiency [LRP], visual impairment, hearing impairment, etc.) and the provision of related services (i.e., MCOP materials in alternate format, oral interpretation, oral translation services, written translations of MCOP materials, sign language services, and other auxiliary aids and services). This database shall include all MCOP member primary language information (PLI) as well as all other special communication needs information for MCOP members, as indicated above, when identified by any source including but not limited to ODM, the Hotline, MCOP staff, providers, and members. This centralized database shall be readily available to MCOP staff and be used in coordinating communication and services to members, including the selection of a primary care provider (PCP) who speaks the primary language of an LEP member, when such a provider is available.
- i. The MCOP shall share specific communication needs information with its providers (e.g., PCPs, Pharmacy Benefit Managers [PBM], and Third-Party Administrators [TPAs]), as applicable.
- j. The MCOP shall submit to ODM, upon request, detailed information regarding the MCOP's members with special communication needs, which could include individual member names, their specific communication need, and any provision of special services to members (i.e., those special services arranged by the MCOP as well as those services reported to the MCOP which were arranged by the provider).

- k. The MCOP is responsible for ensuring all member materials use easily understood language and format, including provision of written materials in at least 12-point font, Times New Roman or equivalent. The determination of whether materials comply with this requirement is in the sole discretion of ODM.
- l. The MCOP shall participate in ODM's cultural competency initiatives.
- m. The MCOP will use person-centered language in all communication with eligible individuals and members.
- n. MCOP HIPAA privacy notices shall be translated into other languages pursuant to Marketing Guidance for Ohio Medicare-Medicaid Plans and Title VI of the Civil Rights Act. The MCOP shall also assess member primary languages and provide materials in other prevalent languages.
- o. In accordance with 42 CFR 438.10, the MCOP must comply with all federal and state laws that pertain to written member communications

23. Healthchek and Pregnancy Related Services. Healthchek, Ohio's early and periodic screening, diagnostic, and treatment (EPSDT) and Pregnancy Related Services, are outlined in OAC rules 5160:1-2-15, 5160:1-2-16, and 5160-1-14.

- a. Informing members about Healthchek, the MCOP shall:
 - i. Inform each new member under the age of 21 about Healthchek services as prescribed by ODM and as specified by 42 CFR 441.56 within 5 calendar days of receipt of the 834C enrollment file. An MCOP may meet this requirement by including information with the new member materials specified in Appendix F. In addition, the MCOP may be required to communicate with the member's local county department of job and family services agency any requests made by the member for County coordinated services and/or supports (e.g. social services).
 - ii. Provide members with accurate information in the member handbook regarding Healthchek. The MCOP's member handbooks shall be provided to members within the time frames specified in this appendix and shall include verbatim the model language developed by ODM. The model language at a minimum will include:
 - 1. A description of the types of screening and treatment services covered by Healthchek;
 - 2. A list of the intervals at which members under age 21 should receive screening examinations, as indicated by the most recent version of the document entitled "Recommendations for Preventive Pediatric Health Care," published by Bright Futures/American Academy of Pediatrics;
 - 3. Information that Healthchek services are provided at no additional cost to the member; and

4. An explanation that providers may request prior authorization for:
 - a. Coverage of services that have limitations; and/or
 - b. Services not covered for members age 21 and older if the services are medically necessary EPSDT services.
 - iii. Provide the above Healthchek information on the MCOP's member website specified in this appendix.
 - iv. Deliver Healthchek information as provided, or as approved, by ODM to the MCOP's members at the following intervals:
 1. January of each calendar year; and
 2. In July for members from age 18 to under 21.
 - v. Use the mailing templates provided by ODM not to exceed two 8x11 pages for each mailing with most mailings being one page or less in length. The MCOP shall populate the materials with appropriate Healthchek information as required (e. g. type of service, rendering provider, date of service, and age of member on the date of service).
- b. Informing members about Pregnancy Related Services (PRS), the MCOP shall:
- i. Upon the identification of a member as pregnant, the MCOP shall deliver to the member within 5 calendar days a PRS form as designated by ODM.
 - ii. The MCOP may be required to communicate with the member's local CDJFS agency any requests made by the member for county-coordinated services and supports (e.g. social services).
- c. Informing providers about Healthchek, the MCOP shall:
- i. Provide Healthchek education to all contracted providers on an annual basis which shall include, at a minimum:
 1. The required components of a Healthchek exam as specified in OAC rule 5160-1-14;
 2. A list of the intervals at which individuals under age 21 should receive screening examinations, as indicated by the most recent version of the document "Recommendations for Preventive Pediatric Health Care" published by Bright Futures/American Academy of Pediatrics;
 3. A statement that Healthchek includes a range of medically necessary screening, diagnostic, and treatment services; and

4. A list of common billing codes and procedures related to the Healthcek services (e.g., immunizations, well child exams, laboratory tests, and screenings).
- ii. Provide the above information on the MCOP's provider website as specified in this appendix.
- d. An MCOP shall maintain documentation to verify members and providers were informed of Healthcek and PRS as specified by ODM.

24. **Advance Directives.** All MCOPs shall comply with the advance directives requirements specified in 42 CFR 422.128. At a minimum, the MCOP shall:

- a. Maintain written policies and procedures that meet the requirements for advance directives, as set forth in 42 CFR Part 489 Subpart I.
- b. Maintain written policies and procedures concerning advance directives with respect to all adult individuals receiving medical and/or behavioral health care by or through the MCOP to ensure the MCOP:
 - i. Provides written ODM-approved information to all adult members concerning:
 1. The member's rights under state law to make decisions concerning his or her medical and/or behavioral health care, including the right to accept or refuse medical or surgical treatment and the right to formulate advance directives;
 2. The MCOP's policies concerning the implementation of those rights including a clear and precise statement of any limitation regarding the implementation of advance directives as a matter of conscience;
 3. Any changes in state law regarding advance directives as soon as possible, but no later than 90 calendar days after the proposed effective date of the change; and
 4. The right to file complaints concerning noncompliance with the advance directive requirements with the Ohio Department of Health.
 - ii. Provides for education of staff concerning the MCOP's policies and procedures on advance directives;
 - iii. Provides for community education regarding advance directives directly or in concert with other providers or entities;
 - iv. Requires each member's medical record document whether or not the member has executed an advance directive; and

- v. Does not condition the provision of care, or otherwise discriminate against a member, based on whether the member has executed an advance directive.

25. **Call Center Standards.** In addition to Sections 2.9.2 through 2.9.4 of the Three-Way, the MCOP shall:

- a. Notify ODM of any hours of operation of the member services lines outside the required days and times as specified in Section 2.9.2 of the Three-Way.
- b. Ensure access to medical advice, behavioral health crisis, and care management support services through centralized toll-free 24 hour, 7 days a week (24/7) call-in systems available nationwide. The 24/7 call-in systems listed in this section shall be staffed by appropriately qualified medical and behavioral health professionals whose scope of practice and licensure permits them to perform the required functions associated with the services. The MCOP shall ensure an appropriately qualified health professional is the caller's first point of live contact to answer the call, triage the issue, and determine an immediate course of action (e.g., warm transfer to care manager or local behavioral health crisis services, provide intervention, and offer medical advice). The MCOP may not require members to contact their PCP or any other entity prior to contacting the 24/7 call in systems for advice or direction concerning emergency or after-hours services. Only one auto-prompt can be used to get the caller to the live contact.
 - i. **Medical Advice Services.** For the purpose of meeting the staffing requirement for medical advice, appropriately qualified medical professionals are defined as physicians, physician assistants, licensed practical nurses (LPNs), and registered nurses (RNs).
 - ii. **Care Management Support Services.** For the purposes of meeting the staffing requirement for care management support services, the calls shall be answered and/or forwarded to the member's care manager or other team members designated to act on behalf of the care manager. The MCOP shall ensure if a care manager designee is used, the requirements in Section 2.5.3.3.3.4 of the Three-Way are met.
- c. Maintain a log for the 24/7 call-in systems which shall be accessible by the MCOP and shall include at a minimum:
 - i. Identification of the member;
 - ii. Date and time of call;
 - iii. The reason for and disposition of the call;
 - iv. PCP or another provider if contacted by the MCOP; and
 - v. Name and title of person taking the call.
- d. Have services available to assist:
 - i. Individuals with disabilities, including members with hearing impairments; and

- ii. Limited English Proficiency (LEP) members in the primary language of the member.
 - e. Have staff who are knowledgeable of the MyCare Ohio product line and have access to information pertaining to MyCare Ohio membership (e.g., membership status, benefits, provider network, care plans, etc.). The MCOP shall implement procedures to ensure emergent issues are identified and assigned the highest priority.
 - f. Meet the current American Accreditation HealthCare Commission/ URAC-designed Health Call Center Standards (HCC) for call center abandonment rate, blockage rate, and average speed of answer for the medical advice, care management support, and the behavioral health crisis 24/7 toll-free call-in systems. If access to these call-in systems is facilitated through the member services line with auto-prompts to transfer the caller, the MCOP shall have a process to measure the above call center standards from the time of selecting the auto prompt. If the MCOP uses the member services line to answer the care management support services contacts (i.e., no auto prompt to transfer), then call center standards for the member services line specified in Section 2.9.2.2 of the Three-Way apply. ODM will inform the MCOP of any changes to these URAC call center standards.
 - g. Not meet the member services call center requirement through the execution of a Medicaid Delegation Subcontract Addendum or Medicaid Combined Services Subcontract Addendum, without prior approval by ODM. With the exception of transportation vendors, the MCOP is prohibited from publishing a delegated entity's general call center number.
 - h. At least semi-annually, self-report its monthly and semi-annual performance in meeting the URAC call center standards for the 24/7 hour toll-free call-in systems and the call center standards in Section 2.9.2.2 of the Three-Way for the member services line to ODM (MyCare Call Center Report) as specified in Appendix T, Chart of Deliverables. The MCOP shall report their July through December performance to ODM by January 10 and their January through June performance by July 10th. ODM reserves the right to require more frequent reporting by the MCOP if on-going monitoring (e.g., grievances, complaints, and contract administrator review) identifies an egregious access issue or consecutive months of noncompliance with URAC standards.
26. **Notification of Voluntary MCOP Membership.** To comply with the terms of the ODM State Plan Amendment for the managed care program, the MCOP shall inform Indians who are members of federally-recognized tribes that MCOP membership is voluntary. Except as permitted under 42 CFR 438.50(d)(2), this population is not required to select an MCOP in order to receive their Medicaid healthcare benefit. The MCOP shall inform these members of steps to take if they do not wish to be a member of an MCOP. Pursuant to 42 CFR 438.14, the MCOP shall provide access to an Indian healthcare provider to any enrolled Indian.
27. **Privacy Compliance Requirements.** The Health Insurance Portability and Accountability Act (HIPAA) Privacy Regulations at 45 CFR 164.502(e) and 164.504(e) require ODM to enter into agreements with the MCOP as a means of obtaining satisfactory assurance that the MCOP will appropriately safeguard all protected health information (PHI), which means information received from or on behalf of ODM that meets the definition of PHI as defined by HIPAA and the regulations promulgated by the United States Department of Health and Human Services, specifically 45 CFR 160.103, 45 CFR 164.501, and any

amendments thereto.

In addition to the HIPAA requirements, the MCOP shall comply with any other applicable Federal and State laws regarding privacy and confidentiality, including Title VI of the Civil Rights Act of 1964, and ORC Sections 5101.26, 5101.27, and 5160.45 through 5160.481, as applicable.

The MCOP acknowledges that ODM is a Covered Entity under HIPAA. A Covered Entity means a health plan, a health care clearinghouse, or health care provider under 45 CFR 160.103. The MCOP further acknowledges it is a Business Associate of ODM. A Business Associate means a person or entity that, on behalf of the Covered Entity, maintains, performs, or assists in the performance of a function or activity that involves the use or disclosure of "Protected Health Information" under 45 CFR 160.103. The MCOP, as a Business Associate agrees to comply with all of the following provisions:

- a. **Permitted Uses and Disclosures.** The MCOP will not use or disclose PHI except as provided in this Agreement or as otherwise required under HIPAA regulations or other applicable law.
- b. **Safeguards.** The MCOP will implement sufficient safeguards and comply with Subpart C of 45 CFR Part 164 pertaining to electronic PHI to prevent the use or disclosure of PHI other than as provided for under this Agreement. Safeguards will be implemented for all paper and electronic PHI created, received, maintained, or transmitted on behalf of ODM.
- c. **Reporting of Disclosures.** The MCOP agrees to promptly report to ODM any inappropriate use or disclosure of PHI that is not in accordance with this Agreement or applicable law, including a breach of unsecured PHI as required at 45 CFR 164.410 and any security incident the MCOP has knowledge of or reasonably should have knowledge of under the circumstances.
- d. **Mitigation Procedures.** The MCOP agrees to coordinate with ODM to determine specific actions required of the Business Associates for mitigation, to the extent practical, of the breach. These actions will include notification to the appropriate individuals, entities, or other authorities. Notification or communication to any media outlet shall be approved, in writing, by ODM prior to any such communication being released. The MCOP shall report all of its mitigation activity to ODM and shall preserve all relevant records and evidence.
- e. **Incidental Costs.** The MCOP shall bear the sole expense of all costs to mitigate any harmful effect, of any breaches or security incidents which were caused by the MCOP, or its subcontractors, in violation of the terms of this Agreement. These costs will include, but are not limited to, the cost of investigation, remediation, and assistance to the affected individuals, entities or other authorities.
- f. **Agents and Subcontractors.** The MCOP, in compliance with 45 CFR 164.502(e)(1)(ii) and 164.308(b)(2) as applicable, shall ensure all its agents and subcontractors that create, receive, maintain, or transmit PHI from or on behalf of the MCOP and/or ODM agree to have, in a written agreement, the same restrictions, conditions, and requirements that apply to the MCOP with respect to the use or disclosure of PHI.
- g. **Accessibility of Information.** The MCOP shall make available to ODM information required by ODM to fulfill its obligations to provide access to, provide a copy of any information or

documents with respect to PHI pursuant to HIPAA and regulations promulgated by the United States Department of Health and Human Services, including, but not limited to, 45 CFR 164.524 and 164.528 and any amendments thereto.

- h. **Amendment of Information.** The MCOP shall make any amendment(s) to PHI as directed by, or agreed to, by ODM pursuant to 45 CFR 164.526, or take other steps as necessary to satisfy ODM's obligations under 45 CFR 164.526. In the event that the MCOP receives a request for amendment directly from an individual, agent, or subcontractor, the MCOP shall notify ODM prior to making any such amendments. The MCOP's authority to amend information is explicitly limited to information created by the MCOP.
 - i. **Accounting for Disclosure.** The MCOP shall maintain and make available to ODM or individuals requesting the information as appropriate, records of all disclosures of PHI in a Designated Record Set as necessary to satisfy ODM's obligations under 45 CFR 164.528. For every disclosure, the record shall include, at a minimum, the name of the individual who is the subject of the disclosure, the date of the disclosure, reason for the disclosure if any, and the name and address of the recipient to which the PHI was disclosed.
 - j. **Obligations of ODM.** When the MCOP is required to carry out an obligation of ODM under Subpart E of 45 CFR Part 164, the MCOP agrees to comply with all applicable requirements of Subpart E that would apply to ODM in the performance of such obligation.
 - k. **Access to Books and Records.** The MCOP shall make available to ODM and to the Secretary of the U.S. Department of Health and Human Services any and all internal practices, documentation, books, and records related to the use and disclosure of PHI received from ODM or created or received on behalf of ODM. Such access is for the purposes of determining compliance with the HIPAA Rules.
 - l. **Material Breach.** In the event of material breach of the MCOP's obligations under this Article, ODM may immediately terminate this Agreement as set forth in the baseline of this Agreement. Termination of this Agreement will not affect any provision of this Agreement, which, by its wording or its nature, is intended to remain effective and to continue to operate after termination.
 - m. **Return or Destruction of Information.** Upon termination of this Agreement and at the request of ODM, the MCOP will return to ODM or destroy all PHI in the MCOP's possession stemming from this Agreement as soon as possible but no later than 90 calendar days and will not keep copies of the PHI except as may be requested by ODM or required by law, or as otherwise allowed for under this Agreement. If the MCOP, its agent(s), or subcontractor(s) destroy any PHI, then the MCOP will provide to ODM documentation evidencing such destruction. Any PHI retained by the MCOP will continue to be extended the same protections set forth in this Section, HIPAA regulations and this Agreement for as long as it is maintained.
 - n. **Survival.** These provisions shall survive the termination of this Agreement.
28. **Electronic Communications.** The MCOP is required to purchase and utilize Transport Layer Security (TLS) for all email communication between ODM and the MCOP. The MCOP's email gateway shall be able to

support the sending and receiving of email using TLS and the MCOP's gateway shall be able to enforce the sending and receiving of email via TLS.

29. MCOP Membership Acceptance, Documentation and Reconciliation.

- a. **Medicaid Consumer Hotline Contractor.** The MCOP shall provide to the Medicaid Consumer Hotline contractor ODM prior-approved MCOP materials and directories for distribution to eligible individuals who request additional information about the MCOP.
- b. **Monthly Remittance Advice.** The HIPAA 820 will contain the following: a capitation payment for each member listed on the HIPAA 834F, a capitation payment/recoupment for changes listed in the daily HIPAA 834C, and any other capitation payment/ recoupment.
- c. **Enrollment and Monthly Capitation Reconciliation.** The MCOP shall maintain the integrity of its membership data through reconciliation of the daily HIPAA 834C files (Daily Benefit Enrollment and Maintenance) and the monthly HIPAA 834F file (Monthly Benefit Enrollment and Maintenance) transactions pursuant to ODM instructions. Discrepancies between the HIPAA 834C and 834F that have a negative impact on a member's access to care shall be reported to ODM within one business day. Reconciliation for any discrepancies between the HIPAA 834 and HIPAA 820 is due and shall be submitted, as instructed by ODM, no later than 60 calendar days after the issuance of the HIPAA 820.
- d. **Change in Member Circumstance.** In accordance with 42 CFR 438.608, the MCOP shall notify ODM that a member is deceased within 30 calendar days after being notified of the date of death. The notification must be made following the submission guidelines, and in the format, prescribed by ODM.
- e. **Institution for Mental Disease (IMD) Stays.** If a member aged 21 through 64 has an IMD stay exceeding 15 days per calendar month, ODM will recover a percentage of the plan's monthly capitation payment based on the total number of days the member was in the IMD.
- f. **Reconciliation Request Format.** All reconciliation requests shall be submitted in the format specified by ODM. ODM may reject reconciliation requests that are submitted after the due date. Reconciliation requests submitted after the due date will be processed at the discretion of ODM. Recoupments, date of death, duplicative payments made to the same plan due to multiple IDs will always be processed.
- g. **Change in Enrollment During Hospital/Inpatient Facility Stay.** When an MCOP learns of a currently hospitalized member's intent to disenroll through the CCR or the HIPAA 834, the disenrolling MCOP shall notify the hospital/inpatient facility and treating providers as well as the enrolling MCOP, if applicable, of the change in enrollment. The disenrolling MCOP shall notify the inpatient facility that it will remain responsible for the inpatient facility charges through the date of discharge; and shall notify the treating providers that it will remain responsible for provider charges through the date of disenrollment. The disenrolling MCOP shall not request and/or require a disenrolled member be discharged from the inpatient facility for transfer to another inpatient facility. Should a discharge and transfer to another inpatient facility be medically necessary, the disenrolling MCOP shall notify the treating providers to work with the

enrolling MCOP or ODM as applicable to facilitate the discharge, transfer and authorization of services as needed.

When the enrolling MCOP learns through the disenrolling MCOP, through ODM or other means, that a new member who was previously enrolled with another MCOP was admitted prior to the effective date of enrollment and remains an inpatient on the effective date of enrollment, the enrolling MCOP shall contact the hospital/ inpatient facility. The enrolling MCOP shall verify it is responsible for all medically necessary Medicaid covered services from the effective date of MCOP membership, including professional charges related to the inpatient stay.

The MCOP shall inform the hospital/inpatient facility that the admitting/disenrolling MCOP remains responsible for the hospital/inpatient facility charges through the date of discharge. The enrolling MCOP shall work with the hospital/inpatient facility to facilitate discharge planning and authorize services as needed.

When the MCOP learns that a new member who was previously on Medicaid fee-for-service was admitted prior to the effective date of enrollment and remains an inpatient on the effective date of enrollment, the MCOP shall notify the hospital/inpatient facility and treating providers that the MCOP is responsible for the professional charges effective on the date of enrollment, and shall work to ensure discharge planning provides continuity using MCOP-contracted or authorized providers.

If an individual has been admitted to a hospital prior to the first day of Medicaid eligibility and no retroactive eligibility occurs, the MCOP is responsible for reimbursement of the inpatient hospital claim for the days the member is enrolled in the MCOP. The days prior to eligibility would be considered non-covered days, and the claim should be processed for payment as partial eligibility.

- h. **Just Cause Requests.** As specified in OAC rule 5160-58-02.1, the MCOP shall assist in resolving member initiated just cause requests affecting membership.
- i. **Eligible Individuals.** If an eligible individual, as defined in OAC rule 5160-58-01, contacts the MCOP, the MCOP shall provide any MCOP-specific managed care program information requested. The MCOP shall not attempt to assess the eligible individual's health care needs. However, if the eligible individual inquires about continuing/transitioning health care services, the MCOP shall provide an assurance that all MCOPs shall cover all medically necessary Medicaid-covered health care services and assist members with transitioning their health care services.
- j. **Pending Members.** If a pending member (an eligible individual subsequent to MCOP selection or assignment to an MCOP, but prior to his or her membership effective date) contacts the selected MCOP, the MCOP shall provide any membership information requested, including but not limited to explaining how to access services as an MCOP member and assistance in determining whether current services require prior authorization. The MCOP shall also ensure any care coordination (e.g., PCP selection, prescheduled services, and transition of services) information provided by the pending member is logged in the MCOP's system and forwarded to

the appropriate MCOP staff for processing as required.

- k. The MCOP may confirm any information provided on the CCR at this time. Such communication does not constitute confirmation of membership. Upon receipt of the CCR or the HIPAA 834, the MCOP may contact a pending member to confirm information provided on the CCR or the HIPAA 834, assist with care coordination and transition of care, and inquire if the pending member has any membership questions.
 - l. **Member Reimbursement.** Upon implementation of the amended rule, the MCOP shall follow OAC rule 5160-1-60.2 regarding direct reimbursement for out-of-pocket expenses incurred by members for Medicaid covered services during approved eligibility periods. If submitted properly by a member, the MCOP shall accept the ODM approved direct reimbursement packet and begin the direct reimbursement process. If the MCOP is the first contact a member makes regarding direct reimbursement, the MCOP shall begin the direct reimbursement process but may use their own process and documents.
30. The MCOP shall use ODM-provided historic utilization and prior authorization data files for care coordination/management activities and transition of care requirements.
31. **Coverage Requirements and Transition of Fee-For-Service (FFS) Members.** The MCOP shall pay claims for Medicaid covered services provided to members during retroactive enrollment periods. For services provided during retroactive enrollment periods, the MCOP may review only those services that require fee for service (FFS) prior authorization as documented in Appendix DD of OAC rule 5160-1-60, OAC rule 5160-9-03 (regarding pharmacy claims), and all other FFS regulations that set forth prior authorization policy. If the service was reviewed and approved by FFS, the MCOP shall also approve the service. The MCOP may also review to determine that home and community-based services were in accordance with the pre-existing or current person-centered services plan.
- a. Upon a member's initial enrollment in MyCare Ohio, the MCOP shall provide transition of Medicare and Medicaid services in accordance with the requirements specified in Section 2.5.4 of the Three-Way for both contracted and non-contracted providers. Non-contracted providers who provide services during the transition of Medicare and Medicaid services specified in Section 2.5.4 of the Three-Way shall be paid the Medicaid FFS rate. Prior to the end of any required transition period, the MCOP shall inform the member and non-contracted provider of the effective date of any transition to a contracted provider, during a meeting of the trans-disciplinary care team or by another method documented in the care plan.
 - b. During transition and/or when a member exhausts their Medicare lifetime benefit, unless the provider has expressly agreed to MyCare Ohio contract terms that include quality incentives and a different secondary claims payment rate, not including simple rate changes proposed by the MCOP, the MCOP shall pay Medicare secondary claims at a rate no less than the Medicaid FFS Part B methodology, set forth in OAC 5160-1-05.3, for contracted and non-contracted providers. Exemptions to the Part B Medicaid maximum policy shall be applied, in accordance with the OAC and other guidance issued by ODM. The Part C Medicaid maximum policy, set forth in OAC 5160-1-05.1, may only be applied for secondary claims on behalf of Medicaid only members enrolled with a Part C plan that is not the MCOP. The MCOP shall provide a method for enrollment of any non-contracted provider who is an enrolled provider with ODM for purposes of Medicaid

payment of “crossover” claims pursuant to the CMCS-MMCO-CM Informational Bulletin of June 7, 2013.

- c. The MCOP shall contract directly with the Fiscal Management Service (FMS) vendor selected by ODM to successfully transition and provide ongoing services for waiver consumers who have elected self-directed employer authority for authorized waiver services. The contract shall continue for the entire period of this Agreement. As specified in Appendix T, Chart of Deliverables, the MCOP shall submit a report each quarter to ODM using the format established by ODM to identify information about waiver members electing to self-direct their services.
- d. Upon receipt, the MCOP shall be able to process and use the FFS historic utilization, prior authorization, and care management data files to assess pending members’ risk stratification levels, to coordinate care and to adhere to transition requirements. When waiver service coordination data is omitted from the file transfer for a pending member enrolled in the FFS PASSPORT, or Assisted Living waiver, the MCOP shall reconcile the enrollment or data error with the PASSPORT Administrative Agency (PAA). When waiver service coordination data is omitted for pending members in the Ohio Home Care waiver, the MCOP shall notify its contract administrator to request enrollment reconciliation and/or data completion.
- e. The MCOP shall make express arrangements to obtain current treatment plans from Ohio Department of Mental Health and Addiction Services (OhioMHAS) certified providers when a member’s behavioral health services qualify for transition pursuant to Section 2.5.4 of the Three-Way.
- f. The MCOP is responsible for implementing transition of care processes that prevent access problems for members who are transitioning from the FFS pharmacy benefit administrator to an MCOP. The transition of care processes for prescribed drugs shall be consistent the requirements outlined in Medicare Part D.

32. Transition of Care Requirements for MyCare Ohio Members Receiving Behavioral Health Services. The MCOP is required to cover behavioral health services provided by a Community Behavioral Health Center (CBHC) to its members as directed by ODM.

- a. The MCOP shall follow Medicaid fee-for-service (FFS) behavioral health coverage policies, except that the MCOP may implement less restrictive policies than FFS.
- b. The MCOP shall maintain Medicaid FFS payment rates as a floor for behavioral health services implemented through behavioral health redesign on July 1, 2018 when the MCOP provider contracts are based on FFS rates. This does not apply to Community Behavioral Health Center (CBHC) Laboratories or services added to the behavioral health benefit package after May 1, 2020. The requirements outlined in paragraph 31.b, above, are still applicable.

33. Transition of Care Requirements for Members Receiving HCBS Waiver Services who Lose MyCare Ohio Eligibility. As soon as the MCOP is notified by ODM via the 834C or 834F, CCR, and/or via another source of information (e.g., waiver service coordinator, member, provider), that a member who is receiving home and community based services (HCBS) waiver services that his or her enrollment is or may be terminated due to loss of MyCare Ohio eligibility, the MCOP shall identify the reason for loss of eligibility

and timely assist the member, as appropriate, with maintenance of MyCare Ohio eligibility. Upon confirmation that MyCare Ohio eligibility will be terminated, during the last month of the individual's active membership, the MCOP shall instruct the appropriate local Area Agency on Aging (AAA) to end the MyCare Ohio waiver span in alignment with enrollment termination, and facilitate, as appropriate, referrals to programs (e.g., Medicaid waivers) and/or community resources that may assist the individual with continuation of long-term services and supports. The MCOP shall notify the member and all current waiver providers of the member's termination from MyCare Ohio, and as applicable, of any referral made to other Medicaid waivers. These referrals and notifications shall be completed prior to the end of the month of termination, and when this is not possible, as soon as possible thereafter. If the member is found eligible for a Medicaid waiver program, the MCOP shall provide the MyCare Ohio person-centered service plan and any identified service issues or follow-up necessary to successfully transfer care to the waiver case management agency.

34. Transition of Care Requirements for Members Receiving HCBS Waiver Services. When the MCOP is notified that a member receiving HCBS waiver services is disenrolling from the MCOP due to changing residences outside of the MCOP's service area, enrolling onto an intermediate care facility for individuals with intellectual disabilities (ICF-IID) level of care waiver, or eligibility change, unless otherwise directed by ODM, the MCOP shall:

- a. Assist the member and coordinate with the future HCBS waiver service coordination agency to identify service providers and arrange for services that will align with the member's future HCBS waiver.
- b. Coordinate and assist the member to plan for the termination of services when the MyCare waiver service is not offered on the future HCBS waiver. The MCOP shall assist members to contact:
 - i. The Ohio Medicaid Consumer Hotline to select a new MCOP for members moving to another MyCare Ohio Service area.
 - ii. ODM to request a case management agency (CMA) when the member is transferring to, but does not have a history of being enrolled on, the Ohio Home Care Waiver.
 - iii. The local Area Agency on Aging (AAA) or County Board of Developmental Disabilities (CBDD) when the member is transferring to an Ohio Department of Aging (ODA) or Ohio Department of Developmental Disabilities (DODD) administered waiver, as applicable.
 - iv. The previous HCBS waiver service coordination agency when the member transitioned to any MyCare plan from the Ohio Home Care or an ODA-administered waiver.
- c. Supply all current, relevant information to the future CMA, AAA, CBDD, or MCOP, including, but not limited to, the current comprehensive assessment, health risk assessment (HRA), level of care determination and date, comprehensive care plan including the person-centered services plan, and any other documentation specified by ODM. Documentation must be supplied by the MCOP within five business days of notification of the pending change and in the format and method specified by ODM.

- d. Contact the current waiver CMA, AAA, or MCOP to obtain the needed documentation and any additional information to assist with the transition of services upon notification that a new member has been assigned and the member is receiving HCBS waiver services.

35. Transition of Care Requirements for Members who are Changing MyCare Ohio Plans. When the MCOP is notified through the HIPAA 834 files or informed by ODM, or its designee, through the consumer contact record, of a member who is changing to a different MCOP, the disenrolling MCOP shall share, at a minimum, the current assessment, HRA, and care plan, including the person-centered service plan, with the enrolling MCOP within five business days of notification of the pending change.

- a. Upon notification from a member and/or provider of a need to continue services, the MCOP shall allow a member transitioning from another MCOP to continue to receive services from network and out-of-network providers when the member could suffer detriment to their health or be at risk for hospitalization or institutionalization in the absence of continued services. Upon notification from ODM that an individual will be switching to a different MCOP or managed care organization (MCO), the disenrolling MCOP shall provide specific information related to the disenrolling member to the enrolling plan as specified by ODM. The MCOP may prior authorize these services or assist the member to access services through a network provider when any of the following occur:
 - i. The member's condition stabilizes and the MCOP can ensure no interruption to services;
 - ii. The member chooses to change to a network provider;
 - iii. The member's needs change to warrant a change in service; or
 - iv. Quality concerns are identified with the provider.
- b. The enrolling MCOP shall honor the disenrolling MCOP's prior authorization for all new members until the enrolling MCOP is able to conduct a medical necessity review. The MCOP shall honor prior authorizations and continue services with network and out-of-network providers as specified by ODM.

36. Transition of Care Requirements for Members Disenrolling to Fee-for-Service (FFS) Medicaid. When the MCOP is notified through the HIPAA 834 files, member services, or care management that a member is ineligible for the HCBS waiver, is no longer eligible for MyCare, and will return to FFS, the MCOP must:

- a. Assist the member and coordinate with the care manager and providers to arrange for services. Care managers include but are not limited to the local behavioral health agency, hospital, nursing facility, Medicare, CBDD or CDJFS.
- b. Ensure the PCP for members with no known care manager is aware that they will no longer have MCOP care coordination services and assist with any linkages needed for continuity of care.
- c. Coordinate with ODM for continued authorization of extended home health and/or private duty

nursing services, as applicable.

- d. Supply requested documentation for disenrolled members within 5 business days of the request.

37. **Patient Liability and Cost of Care Reconciliation.** Pursuant to the approved 1915(c) MyCare Ohio waiver, following a four-month claims run-out period, the MCOP shall provide monthly reconciliation reports, as designated by ODM, to each AAA documenting any month for which the waiver member's actual cost of HCBS waiver services is less than the member's patient liability amount for the same period. For all members except those using the Assisted Living Service, the report shall specify the actual payment amount of HCBS waiver services delivered and the patient liability amount for the applicable month. The report shall be submitted to the AAA no later than the 15th of the month. If no members meet the reporting criteria, the MCOP shall enter 'N/A' in the first row of all columns and submit as instructed.
38. **Waiver Enrollment.** MCOPs will receive requests for waiver enrollment directly from members or from the Ohio Benefits LTSS (OBLTSS) agencies. For new enrollment on the MyCare waiver, as well as annual or event-based assessments, the MCOP or its designee, shall submit a level of care (LOC) assessment request to the local AAA via the ODM designated system. The MCOP shall submit waiver eligibility updates through the ODM-designated system within two business days of the eligibility determination. Waiver eligibility approval and denial notices with hearing rights will be generated from the eligibility system designated by ODM. The MCOP shall authorize waiver services in accordance with OAC 5160-58-01.1 and 5160-26-03.1.
39. **Third Party Liability (TPL) Data Submissions.** The MCOP must provide ODM with TPL information, including a change file based on reconciliation with ODM's data (Third Party Liability Data File), as specified in Appendix T, Chart of Deliverables.
40. **Health Information System Requirements.** The ability to develop and maintain information management systems capacity is crucial to successful plan performance. The MCOP shall demonstrate its ongoing capacity in this area by meeting several related specifications.
 - a. **Health Information System.**
 - i. As required by 42 CFR 438.242(a), the MCOP shall maintain a health information system that collects, analyzes, integrates, and reports data. The system shall provide information on areas including, but not limited to, utilization, grievances and appeals, and MCOP membership terminations for other than loss of Medicaid eligibility.
 - ii. As required by 42 CFR 438.242(b)(1), the MCOP shall collect data on member and provider characteristics and on services furnished to its members.
 - iii. As required by 42 CFR 438.242(b)(2), the MCOP shall ensure data received from providers is accurate and complete by verifying the accuracy and timeliness of reported data, screening the data for completeness, logic, and consistency, and collecting service information in standardized formats to the extent feasible and appropriate.

- iv. As required by 42 CFR 438.242(b)(4), the MCOP shall make all collected data available upon request by ODM or CMS.
- v. Acceptance testing of any data electronically submitted to ODM is required:
 - 1. Before the MCOP may submit production files;
 - 2. When the MCOP changes the method or preparer of the electronic media; and/or
 - 3. When ODM determines the MCOP's data submissions have an unacceptably high error rate.
- vi. When the MCOP changes or modifies information systems involved in producing any type of electronically submitted files, either internally or by changing vendors, it is required to submit to ODM for review and approval a transition plan that includes the submission of test files in the ODM-specified formats. Once an acceptable test file is submitted to ODM, as determined solely by ODM, the MCOP can return to submitting production files. ODM will inform the MCOP in writing when a test file is acceptable. Once the MCOP's new or modified information system is operational, the MCOP will have up to 90 calendar days to submit an acceptable test file and an acceptable production file.
- vii. Submission of test files can start before the new or modified information system is in production. ODM reserves the right to verify the MCOP's capability to report elements in the minimum data set prior to executing the Agreement for the next contract period. Sanctions for noncompliance with this requirement are specified in the Compliance Methodology document.

b. Claims Adjudication and Payment Processing Requirements.

- i. **Timely Filing.** The MCOP must accept claims for 365 calendar days from the date of service, as described in OAC rule 5160-1-19. In addition, the MCOP must follow the overpaid claims and timely filing exceptions described in the rule.
- ii. **Claim Adjudication.** The MCOP shall have the capacity to electronically accept and adjudicate all claims to final status (payment or denial). Information on claims submission procedures shall be provided to noncontracting providers within 30 calendar days of a request. The MCOP shall inform providers of its ability to electronically process and adjudicate claims and the process for submission. Such information shall be initiated by the MCOP and not only in response to provider requests. The MCOP shall have a sufficient number of provider service representatives who are knowledgeable of the MCOP's claims system. If there is information on the provider network management (PNM) system generated provider master file (PMF) or any other supplemental file generated by an ODM system to support claims payment, the MCOP must use the PMF or other ODM system generated supplemental file information to adjudicate the

claim(s).

- iii. **Claim Status.** The MCOP shall notify providers who have submitted claims of claims status (paid denied, and all claims not in a final paid or denied status [hereinafter referred to as “pending/suspended”]) within one month of receipt by the MCOP or its designee. Such notification may be in the form of a claim payment/remittance advice produced on a routine monthly, or more frequent, basis. The MCOP provider portal shall allow for the availability of all remittance advices upon request and should be capable of elements such as the following submission, resubmission, and adjustment. If a provider and/or a provider's clearinghouse submits a HIPAA compliant 276 EDI transaction to the MCOP and/or the MCOP’s clearinghouse, the MCOP/clearinghouse shall respond with a complete HIPAA compliant 277 EDI transaction within the required Council for Affordable Quality Healthcare, Inc. (CAQH) Committee on Operating Rules for Information Exchange (CORE) timeframes with the HIPAA compliant claim status category code(s) and claim status code(s) that will provide information on all denied, paid, or pending claims to the submitter.
- iv. **Grouping Methodology.** When the MCOP uses a grouping methodology to pay inpatient and/or outpatient hospital claims, or ambulatory surgery center (ASC) claims, they are expected to utilize the same grouper software and inpatient only procedure listing (determined by Medicare and 3M) that ODM uses to process fee-for-service claims.
 1. For inpatient hospital claims, the MCOP shall use the 3M All-Patient Refined Diagnosis Related Grouper (APR-DRG) and utilize the same version that ODM uses.
 2. For outpatient hospital claims and ASC claims, the MCOP shall use the 3M Enhanced Ambulatory Patient Grouping (EAPG) and utilize the same version that ODM uses.
- v. **Electronic Visit Verification (EVV).** The MCOP shall utilize the ODM-established EVV system for the following services: Private Duty Nursing; State Plan Home Health Aide; State Plan Home Health Nursing; RN Assessment, Waiver Nursing; Waiver Personal Care Aide; and Waiver Home Care Attendant. The MCOP shall have foundational knowledge of the EVV system and processes to issue resolve as needed and direct providers, individuals receiving services, and direct care workers to ODM-provided resources to address questions/concerns.

The MCOP shall inform providers of the use of the EVV data collection system and how the data will be utilized by the MCOP. The MCOP will use data collected from the EVV data collection system to validate all claim lines against EVV data (100% review) during the claim adjudication process. The MCOP shall inform providers on the outcome of the claim validation review for each claim line.

The MCOP shall code their claims adjudication system to post Remittance Advice Remark Code (RARC) N363 defined as “*Alert: in the near future we are implementing new policies/procedures that would affect this determination*” on a claim that does not

have an EVV visit match. The N363 will be reported on the 835 transaction to inform providers that while you've paid this claim, future claim payments may be impacted if the provider doesn't make changes. Because N363 is an "Alert" per the definition and not a type of denial, no Claim Adjustment Reason Code (CARC) is needed to post to the claim. The N363 will also be reported on the encounter. However, since ODM uses the 837 transaction for encounter data, the N363 will have to be posted at the claim/header level. RARCs cannot be posted at the detail of an 837 transaction.

The MCOP claim adjudication system shall be flexible to allow the ability of modifying or denying payment, as directed by ODM, for EVV claim lines during validation.

Upon request, the MCOP shall submit a monthly report of all EVV related claim lines to ODM in the format specified by ODM. The MCOP shall review the monthly visit report provided by ODM to identify trends, provide outreach and education to providers, and identify potential fraud, waste, or abuse. Fraud, waste, and abuse is reported to ODM in accordance with Appendix I of this Agreement.

The MCOP shall work collaboratively with the EVV vendor to establish connectivity, to conduct system testing, and to adhere to technical specifications until all scenarios are passed and the system is production ready. The MCOP shall also collaborate with the EVV vendor to implement any system updates or changes as necessary.

MCOPs must show a 1% monthly average increase in EVV claims matching by June 30, 2024, and a 3% average monthly increase in claims matching by June 30, 2025. ODM will use the July 1, 2022 – April 30, 2023 time period as the baseline for meeting these requirements.

- vi. Except in the event of fraud or abuse, the MCOP is prohibited from recovering back or adjusting any payments beyond two years from the date of payment of the claim due to the MCOP member's retroactive termination of coverage from the MCOP, unless the MCOP is required to do so by CMS, ODM, or applicable state or federal law and regulation.
- vii. **Claims Payment Systemic Errors.** For the purpose of this appendix, a claims payment systemic error (CPSE) is defined as the MCOP's electronic or manual claims adjudication, including claims adjudication by a contracted vendor, incorrectly underpaying, overpaying, or denying claims that impact, five or more providers.
 1. The MCOP shall submit the MCOP's CPSE report to ODM as specified in Appendix T, Chart of Deliverables. A late or incomplete submission is subject to sanctions in accordance with Non-Compliance with CPSEs in Appendix N.
 2. The MCOP shall submit all communications regarding CPSEs to MedicaidCPSE@medicaid.ohio.gov, unless otherwise directed by ODM.

3. The MCOP shall follow all CPSE instructions as directed by ODM, including the CPSE reporting template instructions and guidelines.
4. The MCOP shall ensure each identified error has a unique error ID to tie each reported line to a specific error the MCOP is addressing. The MCOP shall inform ODM of the status of all active CPSEs on the monthly report by including the following:
 - a. A detailed description and scope of all active CPSEs;
 - b. The date the CPSE was first identified;
 - c. The type(s) of all providers impacted;
 - d. The number of providers impacted;
 - e. The date(s) and method(s) of all provider notifications;
 - f. The timeline for fixing the CPSE;
 - g. The number of claims impacted; and
 - h. The date(s) or date span(s) for all claim adjustment projects or notifications of claim overpayments, if applicable.
5. The MCOP shall report all CPSEs on a monthly CPSE report posted on the MCOP's Ohio Medicaid website.
 - a. The CPSE report shall be public facing for anyone to view and/or on the MCOP's provider portal. If the provider portal is used, timely communication of the CPSE must also be made to those impacted providers that are unable to access the CPSE report.
 - b. The MCOP shall update the CPSE report at a minimum once a month and must label the report to reflect the updated date.
 - c. The MCOP's CPSE public report shall include, at a minimum, the following information:
 - i. A detailed description and scope of all CPSEs;
 - ii. The date of first identification;
 - iii. The type(s) of provider(s) impacted;
 - iv. The timeline for fixing the CPSE; and

- v. The date of claims adjustments or required provider action.
5. The MCOP shall have policies and procedures to identify, communicate, and correct CPSEs. The MCOP shall keep its CPSE policies and procedures current to reflect the CPSE requirements. Upon request, the MCOP shall submit its CPSE policies and procedures to ODM for review. ODM reserves the right to request changes if necessary.
6. The MCOP's CPSE policies and procedures shall include, at a minimum:
- a. The use of input from internal and/or external sources to identify a CPSE, including but not limited to:
 - i. User acceptance testing (UAT) activities;
 - ii. Claims processing activities;
 - iii. Provider complaints/inquiries; and
 - iv. ODM inquiries.
 - b. The identification of issues impacting smaller provider types (e.g., independent providers, etc.);
 - c. A description of the process, including timelines, to escalate from initial identification to definition of the error;
 - d. A full description of the root cause analysis conducted when issues or defects are found, including timelines;
 - e. The timeframe to re-adjudicate claims, if applicable, or notify providers of an overpayment and the process for providers to dispute those actions in accordance with the requirements of this Agreement;
 - f. A description of the process to complete and submit a completed CPSE report monthly to ODM; and
 - g. A communication process, including timelines, to timely notify providers of identified CPSEs as directed above, including any other appropriate methods such as phone calls, emails, etc.
- viii. The MCOP shall correct errors in provider payments that do not meet the definition of claims payment systematic errors per this appendix within 60 calendar days from the date of identification of the error.
- ix. The MCOP or its subcontractor, when applicable, shall load rate changes into applicable systems by either the rate change implementation date or within 25 calendar days of

being notified by ODM of the change, whichever date is later. The effective date of the rate change shall be the date specified by ODM, regardless of when the MCOP's system(s) are updated. If necessary, the MCOP shall backdate the effective date and reprocess claims to ensure any claim received after the effective date of the rate change is adjudicated accurately.

- x. The MCOP is prohibited from engaging in practices that unfairly or unnecessarily delay the processing or payment of any claim for MCOP members.
- xi. The MCOP is required to give a 30 calendar day advance notice to providers of any new edits or system changes related to claims adjudication or payments processing. The MCOP shall provide accurate written notification to providers at least 14 calendar days (unless otherwise stated in the plan/provider contract) in advance when the MCOP is recovering payments that were incorrectly paid for reasons other than fraud, waste, and abuse.
- xii. **ProviderWeb Portal Complaints.** The MCOP should check the ProviderWeb portal (hereinafter referred to as HealthTrack) complaint inbox daily for updates and new complaints assigned to them.
 - 1. The MCOP shall acknowledge receipt of a HealthTrack complaint within 5 business days of the complaint's submission by outreaching to the provider through an in-person visit, a phone call, or an email. If attempting to make contact via phone and the person is unavailable, a voicemail must be left. Outreach must include that the complaint was received and that the MCOP will respond by the assigned due date.
 - 2. The MCOP shall document provider initial contact in HealthTrack within 6 business days of the complaint's submission and including the following:
 - a. The date(s) that outreach was made to the provider (a future date of contact will not be accepted);
 - b. A call reference number if applicable;
 - c. The method(s) of contact;
 - d. The person that made the contact; and
 - e. The name of the individual(s) contacted.
 - 3. The MCOP shall perform internal research, contact the provider, and present its findings to the provider within 15 business days.
 - 1. Provider Contact shall include:

- i. Outreach Monday through Friday between the hours of 8:00am and 5:00pm Eastern Standard Time;
 - ii. The assigned provider representative's contact information;
 - iii. The HealthTrack complaint number or call reference number; and
 - iv. The MCOP's findings, including all relevant information, to ensure the provider is educated on how to access all supporting policies or procedures.
2. If the provider is non-responsive, prior to closure of the complaint, a minimum of three outreach attempts must be made to the provider by the MCOP.
3. The MCOP shall document the following in HealthTrack by the assigned due date:
 - i. The date(s) contact was made, including all attempted contacts, with the provider (a future date of contact will not be accepted);
 - ii. The method(s) of contact;
 - iii. The name of the individual(s) contacted;
 - iv. The findings shared with the provider;
 - v. The policies and procedures to support the findings;
 - vi. Root cause analysis or CPSE details; and
 - vii. If already reported to ODM as a CPSE then the MCOP shall include the report month and row number.
4. If the MCOP requires additional time to research a provider complaint, the MCOP shall:
 - i. Contact the provider, advise the provider of the delay in response, and indicate that the MCOP will ask ODM to grant an extension. ODM will not grant the MCOP an extension if the request does not include evidence that the MCOP contacted the provider; and
 - ii. Document this outreach in HealthTrack, including the date of the provider contact, the name(s) of the individual(s) contacted,

the requested extension date, and the justification for the delay in resolution.

5. ODM reserves the right to shorten the length of time the MCOP is allotted to address a complaint. ODM will enter a comment in HealthTrack advising the MCOP that the due date has been shortened.

c. Electronic Data Interchange (EDI).

- i. The MCOP shall comply with all applicable provisions of HIPAA including EDI standards for code sets and the following electronic transactions:
 1. Health care claims;
 2. Health care claim status request and response; and
 3. Health care payment and remittance status.
- ii. Each EDI transaction processed by the MCOP shall be implemented in conformance with the appropriate version of the transaction implementation guide, as specified by applicable federal rule or regulation.
- iii. The MCOP shall have the capacity to accept the following transactions from ODM consistent with EDI processing specifications in the transaction implementation guides and in conformance with the 820 and 834 Transaction Companion Guides issued by ODM:
 1. ASC X12 820 - Payroll Deducted and Other Group Premium Payment for Insurance Products; and
 2. ASC X12 834 - Benefit Enrollment and Maintenance.
- iv. The MCOP shall comply with the HIPAA-mandated EDI transaction standards and code sets no later than the required compliance dates as set forth in the federal regulations.
- v. The capacity of the MCOP and/or applicable trading partners and business associates to electronically conduct claims processing and related transactions in compliance with standards and effective dates mandated by HIPAA shall be demonstrated, to the satisfaction of ODM.
- vi. The MCOP shall complete and submit an EDI trading partner agreement in a format specified by ODM. Submission of the copy of the trading partner agreement prior to entering into this Agreement may be waived at the discretion of ODM. If submission prior to entering into this Agreement is waived, the trading partner agreement shall be submitted at a subsequent date determined by ODM.

- vii. Noncompliance with the EDI and claims adjudication requirements will result in the imposition of sanctions, as outlined in the Compliance Methodology document.

d. Encounter Data Submission Requirements.

- i. The MCOP shall collect data on services furnished to members through a claims system and shall report encounter data electronically to ODM as specified in Appendix L.
 - ii. The MCOP shall have the capability to report all elements in the Minimum Data Set as set forth in the ODM Encounter Data Specifications and shall submit a test file in the ODM-specified medium in the required formats prior to contracting or prior to an information systems replacement or update. Acceptance testing of encounter data is required as specified in Section 43 of this appendix.
 - iii. A certification letter shall accompany the submission of an encounter data file in the ODM-specified medium. The certification letter shall be signed by the MCOP's Chief Executive Officer (CEO), Chief Financial Officer (CFO), or an individual who has delegated authority to sign for, and who reports directly to, the MCOP's CEO or CFO.
- e. The MCOP shall submit files as specified in the *MyCare Ohio Nursing Facility Specifications and Submission Instructions* within timeframes specified by ODM. In addition, the MCOP shall collect and submit to ODM upon request the actual nursing facility admission date (any payer) of each member for whom a 100-day threshold was submitted. Pursuant to 42 CFR 438.606, the CEO or CFO remains responsible for certification regardless of delegated signee.
- f. **IDSS Data Submission and Audit Report Requirements.** In accordance with 42 CFR 438.606, the MCOP shall submit a signed data certification letter to ODM attesting to the accuracy and completeness of its audited HEDIS IDSS data submitted to ODM. The MCOP shall also submit to ODM a signed data certification letter attesting to the accuracy and completeness of its final HEDIS audit report (FAR) submitted to ODM. Each data certification letter is due to ODM on the same day the respective HEDIS IDSS data/FAR is to be submitted. For complete instructions on submitting the data certification letters, see ODM Methodology for MCOP Self-Reported, Audited HEDIS Results.
- g. **Information Systems Review.** ODM or its designee may review the information system capabilities of the MCOP at the following times: before ODM enters into a provider agreement with a new MCOP, when a participating MCOP undergoes a major information system upgrade or change, when there is identification of significant information system problems, or any time at ODM's discretion. The MCOP shall participate in the review. The review will assess the extent to which the MCOP is capable of maintaining a health information system including producing valid encounter data, performance measures, and other data necessary to support quality assessment and improvement, as well as managing the care delivered to its members. During the review, at a minimum, ODM or its designee will:
- i. Review the Information Systems Capabilities Assessment (ISCA) forms, as developed by CMS, which the MCOP will be required to complete;

- ii. Review the completed ISCA and accompanying documents;
 - iii. Conduct interviews with MCOP staff responsible for completing the ISCA, as well as staff responsible for aspects of the MCOP's information systems function;
 - iv. Analyze the information obtained through the ISCA, conduct follow-up interviews with MCOP staff, and write a statement of findings about the MCOP's information system;
 - v. Assess the ability of the MCOP to link data from multiple sources;
 - vi. Examine MCOP processes for data transfers;
 - vii. If the MCOP has a data warehouse, evaluate its structure and reporting capabilities;
 - viii. Review MCOP processes, documentation, and data files to ensure they comply with state specifications for encounter data submissions; and
 - ix. Assess the claims adjudication process and capabilities of the MCOP.
41. If the MCOP will be using the Internet functions that will allow approved users to access member information (e.g., eligibility verification), the MCOP shall ensure the proper safeguards, firewalls, etc., are in place to protect member data.
42. Pursuant to 42 CFR 438.106(b), the MCOP acknowledges it is prohibited from holding a member liable for the cost of services provided to the member in the event that ODM fails to make payment to the MCOP.
43. In the event of an insolvency of the MCOP, the MCOP, as directed by ODM, shall cover the continued provision of services to members until the end of the month in which insolvency has occurred, and shall also continue the coverage of inpatient services until the date of discharge for a member who is institutionalized when insolvency occurs.
- 44. Information Required for MCOP Provider Websites.**
- a. The MCOP shall have a secure internet-based website for contracting providers through which providers can confirm a member's enrollment and through which providers can submit and receive responses to prior authorization requests (an email process is an acceptable substitute if the website includes the MCOP's email address for such submissions). The provider website shall contain accurate enrollment information for all members including whether a member is a dual benefits member or a Medicaid-only member, specifically using those terms.
 - b. The MCOP provider website shall include, at a minimum, the following information which shall be accessible to providers and the general public without any log-in restrictions:
 - i. MCOP contact information, including the MCOP's designated contact for provider issues;

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Appendix C
Plan Responsibilities

- ii. A listing of the counties the MCOP serves unless the MCOP serves the entire state in which case the MCOP may indicate it services the entire state;
- iii. The MCOP's provider manual including the MCOP's claims submission process, as well as a list of services requiring PA, recent newsletters, and announcements;
- iv. The MCOP's policies and procedures for all providers (in-network and out-of-network) to seek payment of claims for emergency, post-stabilization, and any other services authorized by the MCOP;
- v. The MCOP's internet provider directory as referenced in Appendix H; and
- vi. The MCOP's PDL, including an explanation of the list and identification of any preferred drugs that require PA, the MCOP's list of drugs that require PA, including an explanation of the list, identification of first line drugs for drugs that require PA for step therapy, how to initiate a PA, and the MCOP's policy for coverage of generic versus brand name drugs. The MCOP shall publish a 30-calendar day's advance notice of changes to the MCOP's PDL.
- vii. A notice of changes to the MCOP's list of drugs requiring prior authorization or any other service of device requiring prior authorization via their website 30 calendar days in advance. In addition, 30 calendar days prior to all PA requirement changes, the MCOP shall notify providers, via email or standard mail, the specific location of prior authorization change information on the website, pursuant to ORC Section 5160.34(B) (9-10).
- viii. Documentation specifics for PA completion and details about Medicaid programs and their services requiring PA (e.g., drugs, devices) pursuant to ORC Section 5160.34(B)(11).
- ix. In-office access to their preferred drug and prior authorization lists to prescribers via the availability of at least one hand-held software application.
- x. All Healthchek information as specified in this appendix.
- xi. Prominent, easily understood information on its website for members and providers regarding the optimization of pregnancy outcomes. This shall include information for providers, trusted messengers (e.g., community health workers), and patients about the prevention of preterm birth by linking to the Ohio Perinatal Quality Collaborative's information about progesterone best practices at (<https://www.opqc.net/prematurity-prevention>). The MCOP shall include a link to the official ODM notification of pregnancy and risk assessment form (PRAF 2.0) located at <https://medicaid.ohio.gov/Provider/PRAF> with a statement encouraging MCOP-contracted providers to complete and submit the form to assist pregnant women in maintaining Medicaid eligibility and connecting to needed services and supports (e.g., home visiting).
- xii. Any additional information that ODM may require the MCOP to include on the provider

website as needed.

45. **Pilot and Trial Incentive Programs.** The MCOP shall submit a description of a proposed pilot, health care quality improvement activity, and/or trial incentive program to ODM for review and approval prior to implementation. A pilot is a short-term program in a specified region(s) or with a defined member population that is measured to determine if it meets the specified program goal. A health care quality improvement activity is a structured quality improvement activity meeting the requirements specified in 45 CFR 158.150. A trial incentive program is defined as a time limited monetary or non-monetary reward offered to a member who complies with the intended goals of the program as outlined by the MCOP (e.g., recommended health screenings) in the submission. The incentive shall not be considered a medically necessary Medicaid-covered service or an additional benefit as offered in the MCOP's Member Handbook. The MCOP should refer to the *ODM form 10267 Managed Care & MyCare Ohio Organization Pilot Program Request Template* for additional clarification. It is the MCOP's responsibility to ensure that any incentive program complies with applicable state and federal requirements.

This section does not apply to the quality withhold programs specified in Appendix O of this Agreement or any federally required quality improvement projects.

46. **Provider Feedback.** The MCOP shall have the administrative capacity to offer feedback to individual providers on their adherence to evidence-based practice guidelines; and positive and negative care variances from standard clinical pathways that may impact outcomes or costs. In addition, the feedback information may be used by the MCOP for activities such as provider performance improvement projects that include incentive programs or the development of quality improvement programs.

47. **Coordination of Benefits Agreement (COBA).** In compliance with 42 CFR 438.3(t), the MCOP shall maintain and update their COBA Attachment to the ODM COBA Agreement with CMS' Benefits Coordination and Recovery Center (BCRC). The MCOP shall provide ODM with a COBA communication contact to coordinate communication and attend meetings with the BCRC and ODM. The MCOP shall also provide ODM with a technical contact to answer questions about the file transfer process and attend technical meetings as required to successfully test and administer the COBA process. Technical and Communication contacts are required to attend a monthly conference call for Group 2 titled: Medicaid/Fiscal Agents, hosted by the BCRC.

- a. The MCOP shall initiate file testing with the BCRC upon request from ODM and/or the BCRC. The MCOP shall inform ODM in writing upon successful conclusion of testing and readiness for production.
- b. Production files shall be submitted on the same schedule as ODM, the 2nd and 15th of each calendar month, in accordance with the file specifications issued by the BCRC, and shall include all enrollment spans added or deleted on the MCOP's 834 C and F files.
- c. The MCOP shall submit a monthly status report ODM by the 25th of each month, documenting production file status and any issues affecting testing and/or production. Production status reports shall contain an attestation that the file submissions to the BCRC were accurate, complete, and timely; the information submission and receipt of data were made in accordance with 45 CFR 164.502 and 45 CFR 164.504(e); and all protected health information was safeguarded appropriately. If there was a problem with any production file, the status report

shall document the reason for the error

48. Unless otherwise indicated, MCOP submissions with due dates fall on a weekend or holiday are due the next business day.
49. **Transfer of PHI from ODM Incident Management and Provider Oversight Contractors.** ODM contracts with a vendor to serve as the investigative entity and provider oversight vendor for ODM with respect to the investigation of incidents and to conduct provider oversight activities for certain Ohio Medicaid waiver and Specialized Recovery Services (SRS) program enrollees. The MCOP shall report and address all incidents for MyCare Ohio waiver and SRS program members in accordance with OAC rule 5160-44-05 via entry into the ODM Incident Management System. The MCOP shall report, no later than 3 business days of discovering a provider occurrence, to the ODM provider oversight vendor via the ODM Incident Management System and/or to ODA via the ODA-established mailbox (unless otherwise directed), any discovery of provider non-compliance with the provider conditions of participation outlined in OAC rule 5160-44-31 or 173-39-02, according to the entity that certified/approved the waiver provider.
- a. ODM has instructed the incident management vendor to accept and provide data to the MCOPs. The data to be transferred includes Protected Health Information (PHI) as defined in 45 C.F.R. Parts 160 and 164 (“Privacy Regulations”).
 - b. ODM and the MCOP are covered entities under HIPAA. Both the incident management vendor and the MCOP are Business Associates of ODM, as defined in the Privacy Regulations, and have executed Business Associate Agreements directly with ODM in accordance with HIPAA and the Privacy Regulations.
 - c. With each critical incident reported, the MCOP shall also provide waiver member case notes (at least one month prior to the incident; and at least three months prior to an unexplained death), the most recent assessment, and the service plan in effect at the time of the incident. If plans are unable to submit these documents at the time the incident report is made, the MCOP shall upload them to the ODM incident management system no later than three business days after submitting the incident report to the incident management system. For the purpose of investigating critical incidents set forth in OAC rule 5160-44-05, the incident management vendor, ODM, or the incident management vendor and ODM jointly, may ask for additional information, records, data, documentation, prevention plans, etc. as deemed necessary by ODM or the incident management vendor to complete the investigation or prevention plan evaluation. If necessary, to ensure the immediate health and welfare of the members, the request may be made before the three-business day standard. The MCOP shall respond promptly to the incident management vendor and/or ODM requests for documentation (to ensure incident investigations may be completed within the required timeframe established in OAC rule 5160-44-05 or as otherwise instructed by ODM). The MCOP and incident management vendor shall exchange such information as necessary for the MCOP to meet both entities’ contractual duties under this Agreement. The MCOP shall be held to the requirements set forth in the ODM MyCare Ohio Waiver Incident Escalation Procedure (revised 2019). If ODM learns the MCOP has not promptly submitted required materials, ODM may impose a sanction on the MCOP in accordance with Appendix N.

- d. For each Provider Occurrence reported into the IMS, the MCOP shall submit the following documentation: waiver member case notes (at least one month prior to the occurrence); The waiver service plan in effect at the time of the occurrence; Any documents the MCOP has obtained related to the occurrence; Any historical incident information the MCOP has regarding issues involving the provider related to the occurrence. The Provider Oversight vendor may request more documentation, or other documentation pertinent to their review of the occurrence and if so, the MCOP shall provide it.
 - e. ODM represents and warrants that separate from this Agreement, a Business Associate agreement fully compliant with the Health Insurance Portability and Accountability Act of 1996 and the HITECH provisions of the American Recovery and Reinvestment Act of 2009 (collectively "HIPAA") and with 45 C.F.R. Parts 160 and 164 (the "Privacy Regulations") has been executed by the incident management vendor and is currently effective and will remain in effect for the Term of this Agreement.
50. Pursuant to ORC Section 5167.14, the MCOP shall enter into a data security agreement with the State of Ohio's Board of Pharmacy that governs the MCOP's use of the Board's drug database established and maintained under ORC Section 4729.75.
51. Upon request by ODM, the MCOP shall share data with ODM's actuary. ODM and the MCOP are covered entities under HIPAA. ODM represents and warrants that separate from this Agreement, a Business Associate agreement that complies fully with HIPAA and the Health Information Technology for Economic and Clinical Health Act ("HITECH") and the implementing federal regulations under both Acts, has been executed by Mercer, is currently in effect, and will remain in effect for the Term of this Agreement.
- 52. Conducting Business Outside the United States.**
- a. The MCOP shall comply with Executive Order 2019-12D. A copy of Executive Order 2019-12D can be found at <https://governor.ohio.gov/wps/portal/gov/governor/media/executive-orders/2019-12d>. This Executive Order prohibits the use of public funds to purchase services that will be provided outside of the United States except under certain circumstances. Such services include the use of offshore programming or call centers. Additionally, the MCOP shall not transfer PHI to any location outside the United States or its territories.
 - b. Pursuant to 42 CFR 438.602, no MCOP claim paid to any provider, out-of-network provider, subcontractor, or financial institution located outside of the United States is considered in capitation rates. In addition, no contracting ODM MCOP shall be located outside the United States or its territories.
 - c. In conjunction with Executive Order 2019-12D, the MCOP must comply with Executive Order 2022-02D. A copy of Executive Order 2022-02D can be found at <https://governor.ohio.gov/media/executive-orders/executive-order-2022-02d>. This executive order prohibits the purchases of services from or investments in Russian institutions or companies and requires service providers or prospective service providers to: affirm that they understand and will abide by the requirements of this Order; and disclose the principal location of business for the contractor and all subcontractors who are supplying services to the State

under the proposed contracts.

53. **National Committee for Quality Assurance (NCQA) Requirements.** The MCOP shall hold and maintain accreditation by the NCQA for the Medicare or Medicaid line of business as specified in 2.2.4 of the Three-Way and shall achieve and/or maintain a minimum status of Accredited. If the MCOP receives a provision or denied status from NCQA, the MCOP will be subject to sanctions as noted in Appendix N. Compliance will be assessed annually based on the MCOP's accreditation status posted on the NCQA 'Report Cards' webpage as of November 1st of each year.

Upon ODM's request, the MCOP shall provide any and all documents related to accreditation.

54. **Advisory Councils.** In addition to the requirements listed in Section 2.9.5 of the Three-Way, the MCOP shall report the following to ODM on the 15th of July, October, January, and April of each calendar year, as specified in Appendix T, Chart of Deliverables:

- a. List of attending members during the prior quarter for each regional Consumer Advisory Board;
- b. Meeting dates, agenda, and the minutes from each regional meeting that occurred during the prior quarter; and
- c. The MCOP's method for determining the Board's membership reflects the diversity of its enrolled population and includes members with disabilities.

55. **Home and Community Based Services (HCBS) Waiver Requirements.** For reconciliation of existing waiver enrollees to the MyCare waiver, the MCOP shall report to ODM any MyCare member for whom an active waiver span is indicated on the 834 file that documents any waiver but the MyCare Ohio waiver. The MCOP shall submit monthly waiver enrollment information to ODM and shall participate in an annual waiver enrollment reconciliation process at the end of each waiver year.

56. **Payment/Adjustment to Capitation in Consideration of the ACA Section 9010 Health Insurance Providers Fee.** The following payment/adjustment to capitation information applies only to an MCOP that is a covered entity under Section 9010 of the Patient Protection and Affordable Care Act, as amended by Section 10905 of the same Act, and as further amended by Section 1406 of the Health Care and Education Reconciliation Act of 2010 (collectively, the "ACA"), and thus required to pay an annual fee ("Annual Fee") for United States health risks.

- a. The ACA requires the MCOP to pay the Annual Fee no later than September 30th (as applicable to each relevant year, the "Fee Year") with respect to premiums paid to the MCOP in the preceding calendar year (as applicable to each relevant year, the "Data Year"), and continuing similarly in each successive year.
- b. In order to satisfy the requirement for actuarial soundness set forth in 42 CFR 438.6(c) with respect to amounts paid by ODM under this Agreement, the parties agree ODM shall make a payment or an adjustment to capitation to the MCOP for the full amount of the Annual Fee allocable to this Agreement, as follows:

- i. Amount and method of payment: For each Fee Year, ODM shall make a payment or an adjustment to capitation to the MCOP for the portion of the Annual Fee attributable to the premiums paid by ODM to the MCOP (the "Ohio Medicaid-specific Premiums") for risks in the applicable Data Year under the Agreement, less any applicable exclusions and appropriate credit offsets. These payments or adjustments to be made by ODM will include the following:
 1. The amount of the Annual Fee attributable to this Agreement;
 2. The corporate income tax liability, if any, the MCOP incurs as a result of receiving ODM's payment for the amount of the Annual Fee attributable to this Agreement; and
 3. Any Ohio state and local Sales and Use taxes and Health Insuring Corporation taxes.

Because the amount of the Annual Fee will not be determinable until after ODM makes the regular capitation payment to the MCOP, ODM shall annually make this payment or adjustment to capitation separately from the regular capitation rate paid to the MCOP.

- ii. Documentation Requirements: ODM shall pay the MCOP after it receives sufficient documentation, as determined by ODM, detailing the MCOP's Ohio Medicaid-specific liability for the Annual Fee. The MCOP shall provide documentation including:
 1. Total premiums reported on IRS Form 8963;
 2. Ohio Medicaid-specific premiums included in the premiums reported on Form 8963;
 3. The amount of the Annual Fee as determined by the IRS; and
 4. The corporate income tax rate applicable to the year of such payments.

Payment by ODM is intended to put the MCOP in the same position as the MCOP would have been in had no Annual Fee been imposed upon the MCOP.

This provision shall survive the termination of the Agreement.

57. The MCOP shall have a listing of available independent providers and assist a member in finding an independent provider when requested by the member.

58. **MCOP Portfolio Expansion.** The MCOP shall immediately report to ODM all arrangements wherein services or contracts may overlap with Medicaid plans when seeking to expand its portfolio through contracts with other entities.

59. **Subcontractual Relationships and Delegation.**

a. General Requirements

- i. The MCOP may delegate administrative responsibilities subject to the requirements in this section.
- ii. Unless otherwise specified by ODM, administrative services include care management, marketing, utilization management, quality improvement, enrollment, disenrollment, membership functions, claims administration, provider network management, and coordination of benefits.
- iii. For any other administrative functions not listed above that could impact a member's health, safety, welfare, or access to covered services, the MCOP must contact ODM to request a determination of whether the function may be included as an administrative service that complies with the provisions listed herein.
- iv. With the exception of transportation vendors, the MCOP must not publish a delegated entity's general call center number.
- v. For purposes of this Agreement, parties to administrative services arrangements and related terms are defined as follows:
 1. "First tier entity" means any party that enters into a written arrangement, acceptable to ODM, with the MCOP to provide administrative services for Ohio Medicaid-eligible individuals.
 2. "Downstream entity" means any party that enters into a written arrangement, acceptable to ODM, with a first tier or related entity or below the level of a first tier or related entity to provide administrative services for Ohio Medicaid-eligible individuals. These arrangements continue down to the level of the ultimate provider of the administrative services.
 3. "Related entity" means any related party to the MCOP by common ownership or control under an oral or written arrangement to perform some of the administrative services under the MCOP's contract with ODM. A related party includes but is not limited to agents, managing employees, individuals with an ownership or controlling interest in the MCOP and their immediate families, subcontractors, wholly-owned subsidiaries or suppliers, parent companies, sister companies, holding companies, and other entities controlled or managed by any such entities or individuals.
 4. "FDR" is the collective term for first tier, downstream, and related entities.
 5. "FDR agreement" is the written agreement between the MCOP and an FDR to delegate administrative responsibilities or service.

b. First Tier, Downstream, and Related Entities Agreements

- i. If the MCOP delegates administrative responsibilities or services under this Agreement to any first tier, downstream, and related entities (FDR), the MCOP must ensure it has an FDR agreement with the FDR to perform administrative services on the MCOP's behalf.
- ii. The following requirements apply to all FDR agreements.
 1. The MCOP must evaluate the FDR's ability to perform the administrative services before the executing or renewing any FDR agreement.
 2. The MCOP must notify ODM of a proposed new or amendment of a FDR agreement at least 45 calendar days prior to the execution of the FDR agreement using the ODM approved notification process so that ODM can review the information provided. ODM, in its sole discretion, may require the MCOP to submit the complete and exact text of the proposed new or amendment of an FDR agreement for ODM review. Unless otherwise specified by ODM, FDR agreements may not be executed until ODM has completed its review of the information contained in the notification, and its review of the FDR agreement as applicable.
 3. The MCOP must allow ODM to review the terms of any FDR arrangement upon ODM's request.
 4. The MCOP must completely and accurately respond to ODM's questions and requests for information about the FDR and any provisions in the FDR agreement within the timeframes established by ODM.
 5. ODM has the right and authority to designate the FDR agreement, or any portion thereof, incompatible with this Agreement; incompatible with the Ohio Medicaid state plan or other federal authorities; incompatible with federal, state, or local regulations and laws; or unacceptable to ODM for any other reason, without limitation.
 6. If ODM determines that the FDR agreement as a whole or any part of the FDR agreement is unacceptable or incompatible as stated above, the MCOP must amend the FDR agreement to ODM's satisfaction or seek a new FDR agreement.
 7. ODM reserves the ability to review and approve all FDR agreements. Standard form contracts that apply to numerous provider entities, however, are generally excluded from this initial review and prior approval process. If any uncertainty exists regarding whether a potential agreement needs to be disclosed to ODM, the MCOP should seek guidance from ODM.
 8. The FDR disclosure, review, and approval processes are subject to change at ODM's discretion.
- c. Transparency Requirements

- i. The MCOP must include a term in all FDR agreements that requires the FDR to grant ODM access to documents and other records ODM deems relevant to evaluate the FDR's performance thereunder.
- ii. Upon ODM's request, the MCOP must disclose to ODM all financial terms and arrangements for payment of any kind that apply between the MCOP or the MCOP's FDR, and any provider of a Medicaid service, except where federal and state law restricts disclosing the terms and arrangements.
 - 1. If applicable, the MCOP and FDR must narrowly designate portions of any FDR agreement as proprietary information. Portions of any FDR agreement designated as proprietary information must be limited to the following: Portions of the FDR agreement that meet the definition of proprietary information in Article VII.B of the Baseline Provider Agreement; and Portions of the FDR agreement that consist of unique business or pricing structures that a competitor may use to gain an unfair market advantage over the FDR.
 - 2. Proprietary designations in every FDR agreement must be limited, consistent with the foregoing.
 - 3. Every portion of an FDR agreement that is not designated as proprietary may be deemed by ODM to be a public record as defined in ORC 149.43.
- d. **FDR Agreement Provisions.** The MCOP must ensure all FDR agreements include the following enforceable provisions:
 - i. A description of the administrative services to be provided by the FDR and any requirements for the FDR to report information to the MCOP;
 - ii. The beginning date and expiration date or automatic renewal clause for the arrangement, as well as applicable methods of extension, renegotiation, and termination;
 - iii. Identification of the service area and Medicaid population the FDR will serve;
 - iv. A provision stating that the FDR must release to the MCOP and ODM any information necessary for the MCOP to perform any of its obligations under the MCOP's provider agreement with ODM, including compliance with reporting and quality assurance requirements;
 - v. A provision that the FDR's applicable facilities and records will be open to inspection by the MCOP, ODM, ODM's designee, or other entities as specified under the MCOP's provider agreement with ODM or in OAC rule;
 - vi. A provision that the agreement is governed by and construed in accordance with all applicable state or federal laws, regulations, and contractual obligations of the MCOP; and that the agreement is automatically amended to conform to any changes in laws,

- regulations, and MCOP contractual obligations to ODM without the necessity for written amendment;
- vii. A provision that Medicaid-eligible members and ODM are not liable for any cost, payment, co-payment, cost-sharing, down payment, or similar charge, refundable or otherwise for services performed, including in the event the FDR or the MCOP cannot or will not pay for the administrative services. This provision does not prohibit waiver entities from collecting patient liability payments from MCOP members as specified in OAC rule 5160:1-6-07.1;
 - viii. The procedures to be employed upon the ending, nonrenewal, or termination of the agreement, including, at a minimum, to promptly supply any documentation necessary for the settlement of any outstanding claims or services;
 - ix. A provision that the FDR must abide by the MCOP's written policies regarding the False Claims Act and the detection and prevention of fraud, waste, and abuse;
 - x. A provision that requires the FDR to adhere to all screening and disclosure requirements as described in Appendix I, Program Integrity;
 - xi. A provision that the FDR and all employees of the FDR are subject to the applicable provider qualifications in OAC rule 5160-26-05;
 - xii. For an FDR providing administrative services that result in direct contact with a Medicaid-eligible member, a provision that the FDR must meet the member information requirements as stated in this Agreement and identify, and where indicated, arrange pursuant to the mutually agreed upon policies and procedures between the MCOP and FDR for the following at no cost to the member or ODM:
 - 1. Sign language services;
 - 2. Oral interpretation; and
 - 3. Auxiliary aids and services.
 - xiii. For an FDR providing administrative services that result in the selection of providers, a provision that the MCOP retains the right to approve, suspend, or terminate any such selection;
 - xiv. A provision that permits ODM or the MCOP to seek revocation of the MCOP's contractor with the FDR or other remedies as applicable if ODM or the MCOP determines that the FDR has not performed satisfactorily, or the arrangement is not in the best interest of the MCOP's members;
 - xv. A provision stating that all provisions in an FDR agreement must conform to and be consistent with all of the provisions of the MCOP's provider agreement with ODM;

- xvi. A provision that all of the provisions applicable to the FDR under the MCOP's provider agreement with ODM supersede all applicable provisions in the FDR agreement. If a provision in an FDR agreement contradicts or is incompatible with any applicable provision in the MCOP's provider agreement with ODM, the applicable provision in the FDR agreement is rendered null and void, unenforceable, and without effect;
 - xvii. A provision stating that all FDRs must fully assist and cooperate with the MCOP in fulfilling the MCOP's obligations under this Agreement;
 - xviii. A provision that allows the MCOP, ODM, and ODM's designee to obtain and gather data, documents, and information from FDRs for purposes of an audit, evaluation, or inspection of its premises, physical facilities, equipment, books, records, contracts, computer or other electronic systems relating to its Medicaid members; and states that the right to audit will exist through ten years from the final date of the contract period or from the date of completion of any audit, whichever is later, for the purpose of any audit conducted by Ohio Auditor of State, pursuant to ORC Chapter 117;
 - xix. A provision that requires FDRs to provide all data and information to the MCOP needed for the MCOP to provide complete reporting to ODM for the requirements and standards set forth in Appendix N, Compliance Actions; and
 - xx. A provision stating that FDRs must provide any information that ODM requests for purposes of compliance assessments as described in Appendix N, Compliance Actions.
- e. MCOP Accountability
- i. The MCOP is ultimately responsible for meeting all contractual obligations under the MCOP's Provider Agreement with ODM, regardless of delegation.
 - ii. For all MCOP delegated responsibilities under this Agreement, the MCOP must:
 - 1. Monitor FDR performance on an ongoing basis and conduct a formal review at least annually to identify any deficiencies or areas for improvement;
 - 2. Communicate the results of the performance review to the FDR and impose corrective action on the FDR as necessary;
 - 3. Notify ODM and submit a corrective action plan to ODM if at any time the FDR is found to be in noncompliance with MCOP's delegated contractual obligations; and
 - 4. Ensure there is no disruption in meeting the MCOP's contractual obligations to ODM, if the FDR or the MCOP terminates the arrangement between the FDR and the MCOP.

- iii. Unless otherwise specified by ODM, all information must be submitted to ODM directly by the MCOP.
- iv. The MCOP must report termination of FDR arrangements to ODM no less than 15 calendar days prior to the effective date of the termination. For terminated FDR arrangements, the report to ODM must include:
 - 1. A description of whether the activity previously performed by the FDR will be transitioned to the MCOP or another FDR, or terminated entirely. If the activity will be transitioned to another FDR, the MCOP shall indicate the entity that will be responsible for the activity after termination of the FDR arrangement and submit an FDR agreement notification to ODM as described in this Agreement for the new entity.
 - 2. A transition plan describing how the MCOP will ensure minimal disruption to members as a result of the termination.
- v. In accordance with 42 CFR 438.602, the MCOP must post on its website the name and title of individuals included in 42 CFR 438.604(a)(6). For the purposes of this requirement, "subcontractor" is defined as any individual or entity that has a contract with the MCOP that relates directly or indirectly to the performance of the MCOP's obligations under this Agreement, not including a network provider.

60. **Appeals and Grievances.** The MCOP shall have written policies and procedures for an appeal and grievance system for members, in compliance with the requirements of OAC rule 5160-58-08.4, 42 CFR 422.564, and 42 C.F.R. 438 Subpart F, and shall include the participation of individuals authorized by the MCOP to require corrective action. The MCOP is prohibited from delegating the appeal or grievance process to another entity unless approved by ODM. The policies and procedures shall include a process by which members may file grievances and appeals with the MCOP, and a process by which members may access the state's fair hearing system through the Ohio Department of Job and Family Services (ODJFS) Bureau of State Hearings (BSH).

- a. **State Hearing Process.** The MCOP shall develop and implement written policies and procedures that ensure the MCOP's compliance with the state hearing provisions specified in division 5101:6 of the Administrative Code. Upon request, the MCOP's state hearing policies and procedures shall be made available for review by ODM. When the MCOP is notified by BSH that a member has requested a state hearing, the MCOP shall review the state hearing request and within two business days of receipt of the BSH notice, confirm via email to State_Hearings_Scheduling@jfs.ohio.gov one of the following:
 - i. The MCOP has no record that the member has requested a plan appeal pertaining to the state hearing request;
 - ii. The MCOP made an adverse appeal resolution pertaining to the state hearing request, whether or not the appeal was expedited, and attach a copy of the State Hearing Notice issued to the member;

- iii. The MCOP made a decision to authorize the services pertaining to the state hearing request and identify the date the member and provider were notified of the authorization; or
- iv. The MCOP has not yet made a decision on the appeal request pertaining to the state hearing request and identify the date the MCOP received the appeal request and the date the MCOP is currently required to decide an appeal resolution.

Unless the timeframe for a member to file an appeal to the MCOP is exhausted in accordance with OAC 5160-58-08.4, if the MCOP confirms to BSH that there is no record of the member requesting a plan appeal, the MCOP shall attempt to contact the member to initiate the plan appeal process.

- b. **Logging and Reporting of Appeals and Grievances.** The MCOP shall maintain records of all appeals and grievances, including resolutions, for a period of ten years. Upon request, the records shall be made available to ODM and the Medicaid Fraud Control Unit.
 - i. The record of each grievance or appeal shall contain, at a minimum:
 - 1. The name of the member for whom the appeal or grievance was filed;
 - 2. The date the appeal or grievance was received;
 - 3. A general description of the reason for the appeal or grievance;
 - 4. The date of each review or, if applicable, review of meeting;
 - 5. If applicable, the resolution of the appeal or grievance; and
 - 6. If applicable, the date of the resolution.
 - ii. The MCOP shall identify a key staff person responsible for the logging and reporting of appeals and grievances and ensuring the grievance and appeals system is in accordance with this rule.
 - iii. The MCOP shall submit information regarding appeal and grievance activity, including any additional ad hoc reporting as specified by ODM.

61. **Ventilator Program.** The MCOP shall comply with requirements outlined in OAC rule 5160-3-18 with regard to the alternative purchasing model for the provision of nursing facility services to ventilator dependent individuals.

62. **Utilization Management Programs.** In accordance with Sections 2.4 and 2.8 of the Three-Way, and OAC rules 5160-58-01.1 and 5160-26-03.1, the MCOP shall implement utilization management programs with clearly defined structures and processes to maximize the effectiveness of the care provided to dual benefits and Medicaid only members. Pursuant to the criteria in ORC Section 5160.34, the MCOP is prohibited from retroactively denying a prior authorization (PA) request as a utilization management

strategy. When performing a pre-payment review of a claim the MCOP may not deny the claim due to medical necessity when the service was prior authorized. In addition, the MCOP shall permit the retrospective review of a claim submitted for a service where PA was required, but not obtained, pursuant to the criteria in ORC Section 5160.34. In accordance with ORC Section 5160.34, the MCOP is required to establish a streamlined provider appeal process relating to adverse PA determinations.

- a. The MCOP will participate in clinical and policy collaborative workgroups as specified by ODM to identify methods for improvement in the standardization of prior authorization processes and standards for services determined by ODM. The MCOP will ensure appropriate subject matter experts are included and adhere to timelines established by ODM.
- b. **Drug Utilization Management Programs.** The MCOP may, pursuant to ORC Section 5167.12, implement strategies for the management of drug utilization for Medicaid covered drugs not covered by Medicare Part D. The MCOP may, subject to ODM prior approval, require prior authorization of certain drug classes, and place limitations on the type of provider and locations where certain drugs may be administered. Concurrently, the MCOP cannot require PA for drugs used to prevent preterm birth nor can they require PA for the location of administration.
- c. **ODM Review and Approval.** The MCOP shall establish its PA system so it does not impede member access to medically necessary Medicaid covered services. The MCOP shall comply with the provisions of OAC 5160-58-03.1 regarding the timeframes for PA of covered outpatient drugs. All proposed pharmacy programs and drug utilization management programs, such as PA, step therapy, partial fills, specialty pharmacy, pill-splitting, etc. are subject to ODM review and approval.
- d. **Behavioral Health Expedited Prior Authorization.** Assertive community treatment (ACT), intensive home-based treatment (IHBT) and substance use disorder (SUD) residential treatment (beginning with the third stay in a calendar year), shall be prior authorized as expeditiously as the member's health condition requires but no later than 48 hours after receipt of the request in accordance with OAC rules 5160-26-03.1 and 5160-58-01.1.
- e. **Medicaid Covered Nursing Facility Stays.** The MCOP shall evaluate the member's need for the level of services provided by a nursing facility. To make this decision, the MCOP shall use the criteria for nursing facility-based level of care pursuant to OAC rules 5160-3-08, and 5160-1-01. The MCOP shall evaluate for both intermediate and skilled levels of care concurrently when making a level of care determination. The MCOP shall provide documentation of the member's level of care determination to the nursing facility. If properly submitted by a provider, the MCOP is required to accept the Ohio Medicaid Managed Care/MyCare Ohio Nursing Facility Request Form to prior authorize nursing facility services and determine level of care. The MCOP shall maintain a written record that the criteria were met, or if not met, the MCOP shall maintain documentation that a Notice of Action was issued in accordance with OAC 5160-58-08.4. In accordance with OAC rule 5160-3-14, the preadmission screening and resident review (PASRR) process must be completed before a level of care determination can be issued. The MCOP shall have processes in place to ensure that PASRR requirements are met in accordance with OAC chapter 5160-3 prior to issuing a level of care determination.

At a minimum, the MCOP shall pay nursing facility providers in accordance with ORC section

5165.15. Additionally, the MCOP shall ensure accurate claims payment to nursing facility (NF) and home and community-based services (HCBS) waiver providers by appropriately modifying payment pursuant to 5160-3-39.1 when a member has patient liability obligations, lump sum amounts and/or restricted Medicaid coverage periods (RMCP). Patient liability shall be applied as an offset against the amount Medicaid would otherwise reimburse for the claim. If the patient liability exceeds the amount Medicaid would reimburse, the claim shall be processed with a payment of zero dollars. The MCOP is prohibited from paying for NF services and LTSS during an RMCP. The MCOP shall utilize HIPAA compliant enrollment files for patient liability obligations and RMCPs.

The MCOP must provide ODM a PASRR Report as specified in appendix T, Chart of Deliverables.

- f. **Home Health Assessment Prior Authorization.** If the MCOP requires a prior authorization for home health assessments, the MCOP must complete their prior authorization review within 48 hours of the request.
 - g. **Behavioral Health Service Authorizations.** The MCOP is prohibited from requiring prior authorization for:
 - i. Ohio Children’s Initiative Child and Adolescent Needs and Strengths (CANS) assessments; and
 - ii. Mobile response activities and the first six weeks of stabilization services in accordance with OAC rule 5160-27-13.
63. The MCOP shall utilize ongoing medication reconciliation, employment of advanced practice pharmacy management programs, including medication therapy management, and in-person pharmacy consultation to increase adherence to medication regimens and eliminate contra-indicated drugs.
64. **Notification of Plan Specific Policy Changes.** In instances when the MCOP is required to provide notice to a provider regarding a change in policy as specified in this Agreement, the MCOP shall provide direct communication (e.g. email, letter, in-person meeting, etc.) to any applicable provider association(s) at least 30 calendar days prior to implementation. The communication must include an outline or a summary specifying the changes and their impact to specific providers receiving the policy changes.
65. **OhioRISE Plan Coordination Requirements.** The MCOP shall communicate and coordinate with the OhioRISE Plan as specified by ODM in the *MyCare Member Accessing OhioRISE Service* process document, for members requiring state plan services covered by the OhioRISE Plan as specified in Appendix G of this Agreement.
66. **Pharmacy Reference Guide.** The MCOP must provide ODM with updates to the pharmacy reference guide, as specified in Appendix T, Chart of Deliverables.
67. **Provider Relief Payments.** In accordance with Amended Substitute House Bill 169 as passed by the 134th General Assembly, and upon approval of the state directed payment preprint [OH_Fee_Oth2_New_20220101-20221231] submitted to the Centers for Medicare and Medicaid Services (CMS), the MCOP shall pay providers of community-based Durable Medical Equipment,

MyCare Ohio
Appendix C
Plan Responsibilities

Community Behavioral Health Services, State Plan Home Health Services, Hospice services and providers of HCBS Waiver services an added payment amount determined by ODM for members receiving these services. The payments will be made based on historic utilization for services provided to MyCare dual enrollees from a timeframe specified by ODM and later adjusted based on actual utilization. The value of provider one-time payments will be equivalent to a 10% increase in a provider's base rate, based on the total value of claims paid for services rendered during the specified timeframe. The same uniform percentage increase will apply across the eligible class of providers and shall be distributed to providers by the MCOP as a lump sum. If a provider's calculated amount is less than \$100, the minimum payment will be \$100. ODM will provide the MCOP a list of the providers receiving these payments and the amounts that should be paid to each provider. The initial payments will be limited to 50% of the amount owed to the provider and ODM will reconcile the 12-month payment amount against current year utilization and adjust the amount owed to the provider and the direct the MCOP to pay the reconciled amount at a later date.

The sanctions for non-compliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX D

ODM RESPONSIBILITIES

The following are the Ohio Department of Medicaid (ODM) responsibilities not otherwise stated in Ohio Administrative Code (OAC) Chapters 5160-26, 5160-58 or elsewhere in the Agreement.

1. ODM will provide the MCOP with an opportunity to review and comment on the rate-setting timeline, proposed rates, proposed changes to the OAC program rules and the amended provider agreement.
2. ODM will notify the MCOP of managed care program policy and procedural changes and, whenever possible, offer sufficient time for comment and implementation.
3. ODM will provide regular opportunities for the MCOP to receive program updates and discuss program issues with ODM staff.
4. ODM will provide technical assistance sessions where MCOP attendance and participation is required. ODM will also provide optional technical assistance sessions to the MCOP.
5. ODM will provide the MCOP with linkages to organizations that can provide guidance on the development of effective strategies to eliminate health disparities.
6. ODM will conduct an annual analysis of Medicaid eligible individuals to identify whether there are prevalent common primary languages other than English in the MCOP's service area. ODM will notify the MCOP of any languages identified as prevalent for the purpose of translating marketing and member materials outlined in Appendix F.
7. ODM will provide the MCOP with an annual MCOP Calendar of Submissions outlining major submissions and due dates.
8. ODM will identify contact staff, including the Contract Administrator (CA), selected for the MCOP.
9. ODM will provide the MCOP with an electronic Provider Master File containing all Ohio Medicaid fee-for-service (FFS) providers, which includes their Medicaid Provider Numbers, for current encounter data purposes. This file will also include NPI information when available.
10. **Member Information.**
 - a. ODM, or its designee, will provide membership notices, informational materials, and instructional materials to members and eligible individuals in a manner and format that may be easily understood. At least annually, ODM or its designee will provide current MCOP members with an open enrollment notice which describes the MyCare Ohio program and includes information on the MCOP options in the service area and other information regarding the MyCare Ohio program.

- b. ODM will notify members or ask the MCOP to notify members about significant changes affecting contractual requirements, member services or access to providers.
- c. If the MCOP elects not to provide, reimburse, or cover a counseling service or referral service due to an objection to the service on moral or religious grounds, ODM will provide coverage and reimbursement for these services for the MCOP's members.
- d. As applicable, ODM will provide information to the MCOP's members on what services the MCOP will not cover and how and where the MCOP's members may obtain these services.

11. Membership Selection.

- a. The Ohio Medicaid Consumer Hotline (hereafter referred to as the "Hotline") is responsible for providing unbiased education and selection services for the Medicaid managed care program. The Hotline operates a statewide toll-free telephone center to assist eligible individuals in selecting an MCOP or choosing a health care delivery option.
- b. Eligible individuals who fail to select a plan will be auto-assigned to an MCOP at the discretion of ODM in accordance with 42 CFR 438.54.
- c. ODM or its designated entity shall provide Consumer Contact Record (CCR) to the MCOP on no less than a weekly basis. A CCR is a record of each consumer-initiated MCOP enrollment, change, or termination, and each Hotline-initiated MCOP assignment processed through the Hotline.
- d. ODM verifies MCOP enrollment via a membership roster. ODM or its designated entity provides HIPAA compliant 834 compliant daily and monthly transactions.

12. Monthly Premium Payment. ODM will remit monthly premium payment to the MCOP via an electronic funds transfer (EFT), or at the discretion of ODM, by paper warrant.

- a. ODM will confirm all premium payments paid to the MCOP during the month via a monthly remittance advice (RA).
- b. ODM or its designated entity will provide a record of each recipient detail level payment via HIPAA compliant 820 transactions. ODM or its designee will keep a record of the MCOP's Accounts Payable (e.g. Pay 4 Performance, and Health Insurance Provider Fee) and Accounts Receivable (e.g. Penalty, Credit Balance) transaction on the MITS or OMES Provider Portal Report Tab.

13. ODM will make available a website which includes current program information.

14. ODM will regularly provide information to the MCOP regarding different aspects of MCOP performance including, but not limited to, information on MCOP-specific and statewide external quality review organization surveys, focused clinical quality of care studies, consumer satisfaction surveys, and provider profiles.

15. The Office of Managed Care (OMC) is responsible for the oversight of the MCOP's provider agreement with ODM. Within the OMC, a specific Contract Administrator (CA) has been assigned to each MCOP. Unless expressly directed otherwise, the MCOP shall first contact its designated CA for questions/assistance related to Medicaid and/or the MCOP's program requirements /responsibilities. If its CA is not available and the MCOP needs immediate assistance, MCOP staff should request to speak to a supervisor within the Bureau of Managed Care Compliance and Oversight.

APPENDIX E
RATE METHODOLOGY

APPENDIX F

MARKETING AND MEMBER COMMUNICATIONS

The following are the MCOP's responsibilities related to communicating with eligible individuals' pre-enrollment and MCOP members post-enrollment. Upon request, the MCOP will provide both members and eligible individuals with a copy of their practice guidelines.

1. The MyCare Ohio logo shall be on all member communications and marketing materials, excluding nominal gifts.
2. **Marketing Activities.** Marketing means any communication from an MCOP to an eligible individual who is not a member of that MCOP that can reasonably be interpreted as intended to influence the individual to select membership in that MCOP, or to not select membership in or to terminate membership from another MCOP. When marketing, the MCOP shall:
 - a. Ensure representatives, as well as materials and plans, represent the MCOP in an honest and forthright manner, and do not make statements which are inaccurate, misleading, confusing, or otherwise misrepresentative, or which defraud the eligible individuals or ODM.
 - b. Ensure no marketing activity directed specifically toward the Medicaid population begins prior to approval by ODM.
 - c. Not engage directly or indirectly with cold-call marketing activities including, but not limited to, door-to-door or telephone contact. Cold-call marketing means any unsolicited personal contact by the MCOP with an eligible individual for the purpose of marketing.
 - d. Receive prior approval from any event or location where the MCOP plans to provide information to eligible individuals.
 - e. Not offer material or financial gain, including but not limited to, the offering of any other insurance, to an eligible individual as an inducement to select MCOP membership.
 - f. Not offer inducements to any county department of job and family services (CDJFS) or Ohio Medicaid Consumer Hotline staff or to others who may influence an individual's decision to select MCOP membership.
 - g. Be permitted to offer nominal gifts prior-approved by ODM to an eligible individual as long as these gifts are offered whether or not the individual selects membership in the MCOP.
 - h. Be permitted to reference member incentive/appreciation items in marketing presentations and materials; however, such member items shall not be made available to non-members.
 - i. Not make marketing presentations, defined as a direct interaction between an MCOP's marketing representative and an eligible individual, in any setting unless requested by the eligible individual.

- j. Offer the ODM-approved solicitation brochure to the eligible individual at the time of the marketing presentation and shall provide:
 - i. An explanation of the importance of reviewing the information in the ODM-approved solicitation brochure, how the individual can receive additional information about the MCOP prior to making an MCOP membership selection, and the process for contacting ODM to select an MCOP.
 - ii. Information that membership in the particular MCOP is voluntary and a decision to select or not select the MCOP will not affect eligibility for Medicaid or other public assistance benefits.
 - iii. Information that each member shall choose a PCP and shall access providers and services as directed in the MCOP's member handbook and provider directory. Upon request, the MCOP shall provide eligible individuals with a provider directory.
 - iv. Information that all medically necessary Medicaid covered services, as well as any additional services provided by the MCOP, will be available to all members.
 - k. Identify and resolve any confusion or service issues that may have motivated the member's request for a change in enrollment prior to initiating member-requested Medicare marketing contact with a current or pending member for any corporate-family Medicare Advantage (MA) or Medicare Special Needs Plan (SNP) product. MCOP member services representatives or care managers shall also educate the member about the MCOP's dual benefits membership option. Once the issues are resolved and clarification about MCOP integrated enrollment is made, the member shall be invited to rescind the marketing request.
 - l. Never offer eligible individuals the use of a portable device (laptop computer, cellular phone, etc.) to assist with the completion of an online application to select and/or change MCOPs, as all enrollment activities shall be completed by the Hotline.
3. **Marketing Representatives and Training.** An MCOP that utilizes marketing representatives for marketing presentations requested by eligible individuals shall comply with the following:
- a. All marketing representatives shall be employees of the MCOP. A copy of the representative's job description shall be submitted to ODM.
 - b. No more than 50% of each marketing representative's total annual compensation, including salary, benefits, and bonuses may be paid on a commission basis. For the purpose of this rule, any performance-based compensation would be considered a form of commission. Upon ODM request, the MCOP shall make available for inspection, the compensation packages of marketing representatives.
 - c. Marketing representatives shall be trained and duly licensed by the Ohio Department of Insurance to perform such activities.

- d. The MCOP shall develop and submit to ODM for prior approval (at initial development and at the time of revision) a marketing representative training program which shall include:
 - i. A training curriculum including:
 1. A full review of the MCOP's solicitation brochure, provider directory, and all other marketing materials including all video, electronic, and print.
 2. An overview of the applicable public assistance benefits designed to familiarize and impart a working knowledge of these programs.
 3. The MCOP's process for providing sign language, oral interpretation, and oral translation services to an eligible individual to whom a marketing presentation is being made, including a review of the MCOP's written marketing materials.
 4. Instruction on acceptable marketing tactics, including a requirement that the marketing representatives may not discriminate on the basis of age, gender, gender identity, sexual orientation, disability, race, color, religion, national origin, military status, genetic information, ancestry, health status, or the need for health services.
 5. An overview of the ramifications to the MCOP and the marketing representatives if ODM rules are violated.
 6. Review of the MCOP's code of conduct or ethics.
 - ii. Methods that the MCOP will utilize to determine initial and ongoing competency with the training curriculum.
- e. Any MCOP staff person providing MCOP information or making marketing presentations to an eligible individual shall:
 - i. Visibly wear an identification tag and offer a business card when speaking to an eligible individual and provide information which ensures the staff person is not mistaken for an Ohio Medicaid Consumer Hotline, federal, state or county employee.
 - ii. Inform eligible individuals the following MCOP information or services are available and how to access the information or services:
 1. Sign language, oral interpretation, and oral translation services at no cost to the member.
 2. Written information in the prevalent non-English languages of eligible individuals or members residing in the MCOP's service area.
 3. Written information in alternative formats.

- iii. Not discriminate on the basis of age, gender, gender identity, sexual orientation, race, color, religion, national origin, military status, ancestry, disability, genetic information, health status, or the need for health services.
 - iv. Not ask eligible individuals questions related to health status or the need for health services.
 - f. Only ODM approved MCOP marketing representatives may make a marketing presentation upon request by the eligible individual or in any way advise or recommend to an eligible individual that he or she select MCOP membership in a particular MCOP. As provided in ORC Chapter 1751. and Section 3905.01, all non-licensed agents, including providers, are prohibited from advising or recommending to an eligible individual that he or she select MCOP membership in a particular MCOP as this would constitute the unlicensed practice of marketing.
 - g. MCOP informational displays do not require the presence of a marketing representative if no marketing presentation will be made.
4. **Marketing Materials.** Marketing materials are those items produced in any medium, by or on behalf of the MCOP, including gifts of nominal value (i.e., items worth no more than \$15.00), which can reasonably be interpreted as intended to market to eligible individuals as defined in OAC 5160-58-01.
- a. Marketing materials shall comply with the following requirements:
 - i. Be available in a manner and format that may be easily understood.
 - ii. Written materials developed to promote membership selection in the MCOP shall be available in the prevalent non-English languages of eligible individuals in the service area and in alternative formats in an appropriate manner that takes into consideration the special needs of eligible individuals including but not limited to visually-impaired and LRP eligible individuals.
 - iii. Oral interpretation and oral translation services shall be available for the review of marketing materials at no cost to eligible individuals.
 - iv. Be distributed to the MCOP's entire service area.
 - v. The mailing and distribution of all MCOP marketing materials shall be prior-approved by ODM and may contain no information or text on the outside of the mailing that identifies the addressee as a Medicaid recipient.
 - vi. Not contain any assertion or statement (whether written or oral) that the MCOP is endorsed by the Centers for Medicare and Medicaid Services (CMS), the federal or state government or similar entity.
 - b. ODM or its designee may, at the MCOP's request, mail MCOP marketing materials to the eligible individuals. Postage and handling for each mailing will be charged to the requesting MCOP. The MCOP address shall not be used as the return address in mailings to eligible individuals

processed by ODM.

- c. **Solicitation Brochure.** The MCOP shall have a solicitation brochure available to eligible individuals which contains, at a minimum:
- i. Identification of the Medicaid recipients eligible for the MCOP's coverage.
 - ii. Information that the MCOP's ID card replaces the member's monthly Medicaid card.
 - iii. A statement that all medically necessary Medicaid-covered services will be available to all members, including Healthchek services for those individuals under age 21.
 - iv. A description of any additional services available to all members.
 - v. Information that membership selection in a particular MCOP is voluntary, a decision to select MCOP membership or to not select MCOP membership in the MCOP will not affect eligibility for Medicaid or other public assistance benefits, and individuals may change MCOPs under certain circumstances.
 - vi. Information on how the individual can request or access additional MCOP information or services, including clarification on how this information can be requested or accessed through:
 1. Sign language, oral interpretation, and oral translation services at no cost to the eligible individual;
 2. Written information in the prevalent non-English languages of eligible individuals or members in the MCOP's service area;
 3. Written information in alternative formats.
 - vii. Clear identification of corporate or parent company identity when a trade name or DBA is used for the Medicaid product.
 - viii. A statement that the brochure contains only a summary of the relevant information and more details, including a list of providers and any physician incentive plans the MCOP operates will be provided upon request.
 - ix. Information that the individual shall choose a PCP from the MCOP's provider panel and the PCP will coordinate the member's health care.
 - x. Information that a member may change PCPs at least monthly.
 - xi. A statement that all medically necessary health care services shall be obtained in or through the MCOP's providers except emergency care, behavioral health services provided through facilities, and any other services or provider types designated by ODM.

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- xii. A description of how to access emergency services including emergency services are available within and outside the service area.
 - xiii. A description of the MCOP's policies regarding access to providers outside the service area.
 - xiv. Information on member-initiated termination options in accordance with OAC rule 5160-58-02.1.
 - xv. Information on the procedures an eligible individual shall follow to select membership in an MCOP including any applicable ODM selection requirements.
 - xvi. If applicable, information on any member co-payments the MCOP has elected to implement in accordance with OAC rule 5160-26-12.
5. **Marketing Plan.** The MCOP shall submit an annual marketing plan to ODM, as specified in Appendix T, Chart of Deliverables, including all planned activities for promoting membership in or increasing awareness of the MCOP. The marketing plan submission shall include an attestation by the MCOP that the plan is accurate and is not intended to mislead, confuse, or defraud the eligible individuals or ODM.
6. **ODM Approval.** The MCOP is responsible for ensuring all new and revised marketing materials (including materials used for marketing presentations) and member materials (including mailing and distribution) are approved by ODM prior to distribution to eligible individuals or members. The MCOP shall include with each marketing submission an attestation that the material is accurate and is not intended to mislead, confuse, or defraud the eligible individuals or ODM. In accordance with 42 CFR 438.104(c), ODM will consult with the Medical Care Advisory Committee on the review process for MCOP submitted marketing materials.
7. **Alleged Marketing Violations.** The MCOP shall immediately notify ODM in writing of its discovery of an alleged or suspected marketing violation. ODM will forward information pertaining to alleged marketing violations to the Ohio Department of Insurance and the Medicaid Fraud Control Unit as appropriate.
8. Upon ODM's request, the MCOP may be required to provide written notice to members of any significant change affecting contractual requirements, member services or access to providers.
9. The MCOP shall assist members with maintenance of Medicaid eligibility by providing timely reminders of annual redetermination dates.
10. **Member Materials.** Member materials are those items developed by or on behalf of the MCOP to fulfill MCOP program requirements or to communicate to all members or a group of members. Member materials include member education, member appreciation, and member incentive program information. Member health education materials produced by a source other than the MCOP which do not include any reference to the MCOP are not considered to be member materials.
- a. Member materials shall be:

- i. Available in written format and alternative formats in an appropriate manner that takes into consideration the special needs of the member including, but not limited to, visually-limited and LRP members.
 - ii. Provided in a manner and format that may be easily understood;
 - iii. Printed in the prevalent non-English languages of members in the service area upon request; and
 - iv. Consistent with the practice guidelines specified in paragraph (B) of OAC rule 5160-26-05.1.
- b. MCOP member materials shall not include statements that are inaccurate, misleading, confusing, or otherwise misrepresentative, or which defraud eligible individuals or ODM.

11. **Issuance of Member Materials.** The MCOP shall provide members with a variety of materials, including at a minimum those specified in OAC rules, this Agreement, and the Three-Way. The following provides clarification regarding the issuance of specific member materials.

- a. **New Member Materials.** The MCOP shall provide to each member or assistance group that selects or changes MCOP, or changes Medicaid-only or dual benefit status, an MCOP identification (ID) card, a new member letter, waiver handbook, and a member handbook postcard, if provided in lieu of the full handbook.
 - i. **ID Cards.** The MCOP shall mail ID cards to each member via a method that will ensure receipt no earlier than 15 calendar days prior to the member's effective date of coverage and no later than one calendar day prior to the member's effective date of coverage.
 - 1. The MCOP will meet the timeliness requirement for mailing ID cards to members who select or change MCOPs, or change Medicaid-only or dual benefit status within the 5 business days prior to the end of the month, if the ID cards are mailed within:
 - a. 5 business days of the MCOP receiving the ODM produced HIPAA 834C listing the individual as a Medicaid-only member; or
 - b. 10 business days of the MCOP receiving the ODM-produced HIPAA 834C listing the individual as a dual benefits member.
 - 2. The MCOP ID card shall contain:
 - a. The MCOP's name as stated in its article of incorporation and any other trade or DBA name used;

- b. The name of the member(s) enrolled in the MCOP and each member's medical management information system billing number;
 - c. The name and telephone numbers of the PCPs assigned to the members;
 - d. Information on how to obtain the current eligibility status of the members;
 - e. Pharmacy information;
 - f. The MCOP's emergency procedures including the toll-free call-in system phone numbers; and
 - g. The toll-free 24-hour behavioral health crisis and care management telephone numbers as prescribed by ODM.
3. For Medicaid Only members when a contracted primary care provider (PCP) is not identified on the consumer contact record (CCR) and the member does not select a PCP, the ID card PCP field shall read "Refer to Medicare PCP".
- ii. **Advance Directives.** Information concerning a member's right to formulate, at the member's option, advance directives including a description of applicable state law shall be provided to the member no later than the effective date of coverage.
 - iii. **Member Handbook and New Member Letter.** The MCOP shall use the model language specified by ODM and/or CMS for the new member letter and member handbooks.
 1. The MCOP shall mail the new member letter, waiver handbook, if applicable, and member handbook postcard that provides how a member can obtain a printed or electronic version of the member handbook, separate from the ID card. The MCOP will meet the timeliness requirement for mailing these materials if they are mailed to members within five business days of the MCOP receiving the ODM produced HIPAA 834C, that lists the individual as a new member.
 2. The MCOP New Member Letter shall inform each member of the following:
 - a. The new member materials issued by the MCOP, what action to take if he or she did not receive those materials, and how to access the MCOP's provider directory;
 - b. How to access MCOP-provided transportation services;
 - c. How to change primary care providers;

- d. The population groups not required to select MCOP membership and what action to take if a member believes he or she meets these criteria and does not want to be an MCOP member;
 - e. The need and time frame for a member to contact the MCOP if he or she has a health condition the MCOP should be aware of in order to most appropriately manage or transition the member's care; and
 - f. The need and how to access information on medications that require prior authorization.
3. The MCOP Member Handbook shall be clearly labeled as such and shall include:
- a. The rights of members including all rights found in OAC rule 5160-26-08.3 and any member responsibilities specified by the MCOP. With the exception of any prior authorization (PA) requirements the MCOP describes in the member handbook, the MCOP cannot establish any member responsibility that would preclude the MCOP's coverage of a Medicaid-covered service.
 - b. Information regarding services excluded from MCOP coverage and the services and benefits available through the MCOP and how to obtain them, including at a minimum:
 - i. All services and benefits requiring PA or referral by the MCOP or the member's PCP;
 - ii. Self-referral services, including Title X services, and women's routine and preventative health care services provided by a woman's health specialist as specified in OAC rule 5160-26-03;
 - iii. FQHC, RHC, and certified nurse practitioner services specified in OAC rule 5160-26-03; and
 - iv. Any applicable pharmacy utilization management strategies prior-approved by ODM.
 - c. Information regarding available emergency services, the procedures for accessing emergency services and directives as to the appropriate utilization, including:
 - i. An explanation of the terms "emergency medical condition," "emergency services," and "post-stabilization services," as defined in OAC rule 5160-26-01;
 - ii. A statement that PA is not required for emergency services;

- iii. An explanation of the availability of the 911 telephone system or its local equivalent;
 - iv. A statement that members have the right to use any hospital or other appropriate setting for emergency services; and
 - v. An explanation of the post-stabilization care services requirements specified in OAC rule 5160-26-03.
- d. The procedure for members to express their recommendations for change to the MCOP.
 - e. Identification of the categories of Medicaid recipients eligible for MCOP membership;
 - f. Information stating that the MCOP's ID card replaces the member's monthly Medicaid card, how often the card is issued, and how to use it;
 - g. A statement that medically necessary health care services shall be obtained through the providers in the MCOP's provider network with any exceptions such as emergency care;
 - h. A description of Healthchek services, including who is eligible and how to obtain Healthchek services through the MCOP;
 - i. Information on additional services available to members including care management;
 - j. A description of the MCOP's policies regarding access to providers outside the service area for non-emergency services and if applicable, access to providers within or outside the service area for non-emergency after hours services;
 - k. Information on member-initiated termination options in accordance with OAC rule 5160-58-02.1;
 - l. Information about MCOP-initiated terminations;
 - m. An explanation of automatic MCOP membership renewal in accordance with OAC rule 5160-58-02;
 - n. The procedure for members to file an appeal, a grievance, or state hearing request as specified in OAC rule 5160-58-08.4, the MCOP's mailing address, and a copy of the optional form(s) that members may use to file an appeal or grievance with the MCOP. Copies of the form(s) to file an appeal or grievance shall also be made available through the

MCOP's member services program;

- o. The standard and expedited state hearing resolution time frames as outlined in 42 CFR 431.244.
- p. The member handbook issuance date;
- q. A statement that the MCOP may not discriminate on the basis of race, color, religion, gender, gender identity, sexual orientation, age, disability, national origin, military status, ancestry, genetic information, health status, or need for health services in the receipt of health services;
- r. An explanation of subrogation and coordination of benefits;
- s. A clear identification of corporate or parent identity when a trade name or DBA is used for the Medicaid product;
- t. Information on the procedures for members to access behavioral health services;
- u. Information on the MCOP's advance directives policies, including a member's right to formulate advance directives, a description of applicable state law, and a statement of any limitation regarding the implementation of advance directives as a matter of conscience;
- v. A statement that the MCOP provides covered services to members through a provider agreement with ODM, and how members can contact ODM;
- w. The toll-free call-in system phone numbers;
- x. A statement that additional information is available from the MCOP upon request including, at a minimum, the structure and operation of the MCOP and any physician incentive plans the MCOP operates;
- y. Process for requesting or accessing additional MCOP information or services including at a minimum:
 - i. Oral interpretation or translation services;
 - ii. Written information in the non-English language identified as a member's primary language;
 - iii. Written information in alternative formats; and

- iv. Other auxiliary aids or services for persons with disabilities.
- z. If applicable, detailed information on any member co-payments the MCOP imposes in accordance with OAC rule 5160-26-12;
- aa. How to access the MCOP's provider directory;
- iv. The MCOP shall provide access to provider panel information to members via the MCOP's website and printed provider directories.
 - 1. The MCOP may mail ODM prior-approved provider directory notices to all new members in lieu of mailing printed directories. The notices shall be mailed with the member materials specified in this appendix and, at a minimum, advise members they may call the MCOP to request printed provider directories and access the information on the MCOP's website.
 - 2. An MCOP that does not use an ODM prior-approved provider directory notice shall mail printed provider directories to all new members with the member materials specified in this appendix.
 - 3. When a member requests a printed provider directory, the printed provider directory shall be sent to the member within seven calendar days of the request.
- v. **Waiver Handbook.** A waiver handbook must be provided to an individual enrolled in the MyCare Ohio Waiver.
- b. **Annual material.** If a member's name, date of birth, or Medicaid identification number changes, the MCOP shall issue a new ID card. prior to the new effective date of coverage. Additional annual member materials include:
 - i. The member handbook postcard if the member handbook has been revised since the initial MCOP membership date;
 - ii. Waiver handbooks to members enrolled in the MyCare Ohio Waiver. The MCOP is responsible for ensuring each MyCare Ohio Waiver enrollee receives the Waiver Member Handbook at the time of enrollment, and also at the time of each annual reassessment. The MCOP is responsible for ensuring the Waiver Care Manager or Waiver Service Coordinator has verbally reviewed the content of the handbook, and the MCOP shall maintain documentation signed by the enrollee of receipt of this information.
 - 1. For a member who has chosen waiver services, the MCOP shall have an ODM-developed freedom of choice form signed by the member indicating he or she has chosen waiver services over institutional care. This form shall be signed at the time the member enrolls in the waiver. In addition, it shall be signed annually thereafter at the time of reassessment of waiver eligibility, closest to

the member's level of care redetermination.

2. The MCOP will provide an ODM-approved handbook on self-direction detailing processes, to all members directing their own care.
 - c. The MCOP shall use the model language specified by ODM for the new member letter and as applicable, model language for CMS letters regarding Cancellation of Enrollment and Confirmation of Voluntary Disenrollment Following CMS Daily Transaction Reply Report (DTRR).
12. No information or text that identifies the addressee as a Medicaid recipient may appear on the outside of any MCOP or MCOP subcontractor marketing or member material mailing.

13. Information Required for MCOP Websites.

- a. **On-line Provider Directory.** The MCOP's website must have a link to ODM's provider directory and provider network management (PNM) system. The MCOP shall have an internet-based provider directory in the same format as its ODM-approved provider directory, that allows members to electronically search for the MCOP panel providers based on name, provider type, and geographic proximity (as specified in Appendix H and the Three-Way Contract). MCOP provider directories shall include all MCOP-contracted providers (except as specified by ODM) as well as all federally qualified health centers, rural health centers, qualified family planning providers, and free-standing birth centers (FBCs) as defined in OAC 5160-18-01 located in the MCOP's service regions. If the MCOP does not have contracted certified nurse midwives (CNMs) or certified nurse practitioners (CNPs) in a service region, then the MCOP shall specify that CNM and CNP services are available and members can contact the MCOP for information on accessing those services. The provider directory shall be the same for both Medicaid-only and dual eligible members.
- b. **On-line Member Website.** The MCOP shall have a secure internet-based website which provides members the ability to submit questions, comments, grievances, and appeals, and receive a response. Members shall be given the option of a response by return email or phone call. The MCOP's responses to questions or comments shall be made within one business day of receipt. The MCOP's responses to grievances and appeals shall adhere to the timeframes specified in OAC rule 5160-58-08.4. The member website shall be regularly updated to include the most current ODM-approved materials, although this website shall not be the only means for notifying members of new and/or revised MCOP information (e.g., change in holiday closures, changes in additional benefits, and revisions to approved member materials). The MCOP shall make a copy of its Authorized Representative request form available to members through its online member portal located on the MCOP's website.
- c. The MCOP member website shall also include, at a minimum, the following information which shall be accessible to members and the general public without any log-in restriction:
 - i. MCOP contact information, including the MCOP's toll-free member services phone number, service hours, and closure dates;

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- ii. A listing of the counties the MCOP serves unless the MCOP serves the entire state in which case the MCOP may indicate it services the entire state;
- iii. The ODM-approved MCOP member handbook, waiver handbook, recent newsletters and announcements;
- iv. The MCOP's on-line provider directory as referenced in this appendix;
- v. A list of services requiring prior authorization (PA);
- vi. The MCOP's preferred drug list (PDL), including an explanation of the list and identification of any preferred drugs that require PA, the MCOP's list of drugs that require PA, including an explanation of the list, identification of first line drugs for drugs that require PA for step therapy, how to initiate a PA, and the MCOP's policy for coverage of generic versus brand name drugs;
- vii. A 30 calendar days advance notice of changes to the list of all services requiring PA, as well as the MCOP's PDL and list of drugs requiring PA. The MCOP shall provide a hard copy of notification of any PA changes upon request;
- viii. The toll-free telephone numbers for the 24/7 medical advice, behavioral health crisis, and care management support services call-in systems specified in section 28 of this appendix;
- ix. A statement that the MCOP may not discriminate on the basis of race, color, religion, gender, gender identity, sexual orientation, age, disability, national origin, military status, ancestry, genetic information, health status, or need for health services in the receipt of health services;
- x. Information about the process to request or access information or services, including how to request translation of information into non-English languages or in alternative formats;
- xi. Contact information to schedule non-emergency transportation assistance, including an explanation of the available services and to contact member services for transportation services complaints.
- xii. The toll-free member services, 24/7 call-in systems, and transportation scheduling telephone numbers shall be easily identified on either the MCOP's website home page or a page that is a direct link from a contact button on the home page. ODM may require the MCOP to include additional information on the member website as needed; and
- xiii. All Healthchek information as specified in Appendix C.

14. The MCOP shall receive prior written approval from ODM before adding any information to its website that would require ODM prior approval in hard copy form (e.g., provider listings, member handbook

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information). The MCOP may make the website changes available for public use during ODM's review period, however the MCOP shall indicate that the website change is pending ODM review until ODM has either approved or disapproved of the update.

15. The MCOP shall provide members with a printed version of its Preferred Drug List (PDL) and Prior Authorization (PA) lists upon request.

The sanctions for noncompliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX G

COVERAGE AND SERVICES

1. **Basic Benefit Package.** After consideration of third party liability, including Medicare coverage pursuant to OAC rules 5160-58-01.1 and 5160-26-09.1, the MCOP shall ensure its members have timely access to all medically necessary medical, drug, emergency and post-stabilization, behavioral health, nursing facility, and home and community-based waiver services covered by Medicaid pursuant to OAC rules 5160-58-03, 5160-58-04, and 42 CFR 438.114 in an amount, duration, and scope that is no less than the amount, duration, and scope for the same services furnished to members under FFS Medicaid in accordance with 42 CFR 438.210. This coverage shall be with limited exclusions, limitations, and clarifications (see OAC rule 5160-58-03 and specified in this appendix). The MCOP shall also ensure its members have access to any additional services specified in this Agreement. For information on Medicaid-covered services, the MCOP shall refer to the Ohio Department of Medicaid (ODM) website.

Services covered by the MCOP benefit package include:

- a. Inpatient hospital services;
- b. Outpatient hospital services;
- c. Services provided by rural health clinics (RHCs) and federally qualified health centers (FQHCs);
- d. Physician services whether furnished in the physician's office, the member's home, a hospital, or elsewhere;
- e. Laboratory and x-ray services;
- f. Screening, diagnosis, and treatment services to children under the age of 21 under the Healthcheck, Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) program. These services include all mandatory and optional medically necessary services (including treatment) and items listed in 42 U.S.C. 1396d(a) to correct or ameliorate defects and physical and mental illness and conditions. Such services and items, if approved through prior authorization, include those services and items listed at 42 U.S.C. 1396d(a), including services provided to members with a primary diagnosis of autism spectrum disorder, in excess of state Medicaid plan limits applicable to adults. An EPSDT screening is an examination and evaluation of the general physical and mental health, growth, development, and nutritional status of an individual under age 21. It includes the components set forth in 42 U.S.C. 1396d(r) and shall be provided by plans to children under the age of twenty-one;
- g. Family planning services and supplies;
- h. Home health and private duty nursing services in accordance with OAC Chapter 5160-12. State plan home health and private duty nursing services shall be accessed prior to using the same or similar waiver funded services. For home health services, the MCP shall not apply a hard limit of 60 calendar days for the authorization period, but rather must prior authorize services in a manner that maximizes the effectiveness of the care provided in accordance with OAC 5160-26-

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- 03.1. The MCOP must take into consideration the member's specific health needs (e.g., whether the member is covered under Healthchek, and whether the health condition is stable, chronic, and/or debilitating) when determining the length of time for which to authorize services. Individual Care Plans must reflect needs and interventions, including services authorized and provided.
- i. Podiatry;
 - j. Chiropractic services;
 - k. Physical therapy, occupational therapy, developmental therapy, and speech therapy;
 - l. Nurse-midwife, certified family nurse practitioner, and certified pediatric nurse practitioner services;
 - m. Free-standing birth center services in free-standing birth centers as defined in OAC rule 5160-18-01;
 - n. Prescribed drugs and Pharmacist services;
 - o. Ambulance and ambulette services;
 - p. Dental services;
 - q. Durable medical equipment and medical supplies, including expedited wheelchair fitting, purchase, maintenance and repair, professional evaluation, home assessment, the services of skilled wheelchair technicians, pick-up and delivery, timely repairs, training, demonstration, and loaner chairs;
 - r. Vision care services, including eyeglasses;
 - s. Nursing facility services;
 - t. Hospice care;
 - u. Behavioral health services including those provided by Ohio Department of Mental Health and Addiction Services (OhioMHAS)-certified providers, as described in OAC Chapter 5160-27. For members under the age of 21, MCOP covered behavioral health services include Child and Adolescent Needs and Strengths (CANS) assessments as described in OAC rule 5160-27-02 and Mobile Response and Stabilization Services (MRSS) as described in OAC rule 5160-27-13.
 - v. Immunizations, following the coverage requirements provided by ODM for any newly approved vaccine under the Vaccines for Children (VFC) program. The MCOP may, at their discretion, elect to pay non-VFC providers for both the toxoid and the administration of vaccines outside of the VFC program;

- w. Preventive services covered by Ohio Medicaid in accordance with Section 4106 of the Affordable Care Act and 42 CFR 440.130(c);
- x. All U.S. Preventive Services Task Force (USPSTF) grade A and grade B preventive services and approved vaccines recommended by the Advisory Committee on Immunization Practices (ACIP) and their administration, without cost-sharing, as provided in Section 4106 of the Affordable Care Act. Additionally, the MCOP shall cover, without cost-sharing, services specified under Public Health Service Act Section 2713, in alignment with the Alternative Benefit Plan;
- y. Screening and counseling for obesity provided during an evaluation and management or preventive medicine visit, as described in OAC rule 5160-1-16.;
- z. Telemedicine;
- aa. Services for members with a primary diagnosis of Autism Spectrum Disorder (ASD) including coverage mandated by ORC section 1751.84;
- bb. Home and community-based waiver services as listed in OAC rule 5160-58-04; and
- cc. Acupuncture services covered by Ohio Medicaid as described in OAC rule 5160-8-51.

2. Exclusions.

- a. The MCOP is not required to pay for services not covered by the Medicaid program, except as specified in OAC rule 5160-58-03, 5160-1-61, or this Agreement. Prior to denying coverage of a service, the MCOP shall review applicable OAC rules (e.g. 5160-1-61) and conduct a medical necessity review if appropriate. Information regarding non-covered services can be found on the ODM website.
- b. The MCOP is not required to pay for the State Plan services targeted case management for youth with moderate or significant behavioral health challenges, intensive home-based treatment (IHBT), and psychiatric residential treatment facilities (PRTF) which are the responsibility of the OhioRISE plan through a separate non-risk payment arrangement.

3. Clarifications.

- a. **Member Cost-Sharing.** As specified in Appendix A, Section 3.3 of the Three-Way, the MCOP may elect to implement co-payments for Medicaid-covered drugs but shall not charge cost sharing to members above levels established under the Medicare Part D Low Income Subsidy. Pursuant to Appendix C, Section 3.3(C) of the Three-Way, members who reside in a nursing facility or are enrolled in the MyCare 1915(c) waiver may be required to contribute to the cost of care the amount of patient liability established by the County Department of Job and Family Services.
- b. **Abortion and Sterilization.** The use of federal funds to pay for abortion and sterilization services is prohibited unless the specific criteria found in federal law and OAC rules 5160-17-01 and 5160-21-02.2 are met. The MCOP shall verify all of the information on the applicable required forms [ODM 03197, ODM 03199, HHS-687 and HHS-687-1 (SPANISH VERSION)] is provided and the service meets the required criteria before any such claim is paid.

Additionally, payment shall not be made for associated services such as anesthesia, laboratory tests, or hospital services if the abortion or sterilization itself does not qualify for payment. The MCOP is responsible for educating its providers on the requirements; implementing internal procedures including systems edits to ensure claims are only paid once the MCOP has determined if the applicable forms are completed and the required criteria are met, as confirmed by the appropriate certification or consent forms; and for maintaining documentation to justify any such claim payments. If the MCOP determines the requirements associated with an abortion, sterilization, or hysterectomy were sufficiently met by the provider, no additional information (i.e. operative notes, history and physical, ultrasound) is required from ancillary providers.

- c. **Boards of Alcohol, Drug Addiction and Mental Health Services.** Pursuant to ORC Chapter 340, boards of alcohol, drug addiction and mental health services serve as the community addiction and mental health planning agencies for the county or counties under their jurisdiction. These boards may advocate on behalf of Medicaid recipients enrolled in managed care whom have been identified as needing behavioral health services and are required to:
 - i. Evaluate the need for facility services, addiction services, mental health services, and recovery supports; and
 - ii. Establish a unified system of treatment for mentally ill persons and persons with addictions.
- d. **Institutions for Mental Disease (IMDs) for Mental Health Stays.** In accordance with 42 CFR 438.6(e), the MCOP may provide mental health services to members ages 21 through 64 for up to 15 days per calendar month while receiving inpatient treatment in an IMD as defined in Section 1905(i) of the Social Security Act. The MCOP is not prohibited from contracting with an IMD to provide mental health services to members' ages 21 through 64, but Medicaid will not compensate the MCOP for the provision of such services beyond 15 days per calendar month either through direct payment or considering any associated costs in Medicaid rate setting. MCOP payments to the IMD are established in the plan's contractual agreement with the provider. The MCOP is required to report quarterly on IMD stays exceeding 15 days per calendar month to ODM as specified in Appendix T, Chart of Deliverables.
- e. **Substance Use Disorder (SUD) Treatment.** The MCOP will continue to work with ODM in development of the 1115 SUD demonstration waiver to provide services to individuals with a SUD diagnosis. The MCOP must utilize the American Society of Addiction Medicine (ASAM) level of care criteria and cannot add additional criteria when reviewing level of care for SUD treatment provided in a community behavioral health center or a hospital billing outpatient hospital behavioral health (OPHBH) services. The MCOP must use the ASAM criteria in determining coverage for inpatient hospital services for individuals, however, the MCOP must also use other clinical criteria (i.e. MCG or InterQual) and must authorize services when either criteria indicate inpatient services are necessary. The MCOP must use the adolescent ASAM level of care criteria for individuals under the age of 21 years. Additional work will include increasing care coordination efforts and monitoring IMD network adequacy. Upon implementation of a standardized substance use disorder (SUD) treatment form, when properly submitted by a

provider, the MCOP is required to accept the identified form to prior authorize SUD services and determine level of care.

- f. **Urine Drug Screening.** The MCOP shall abide by the urine drug screening guidelines for individuals with substance use disorder as specified by ODM.
- g. **Substance Use Disorder Treatment – Emergency Hospitalizations.** In accordance with ORC 5122.10 regarding emergency hospitalizations, also referred to as “pink slips”, the MCOP must cover initial evaluation for up to 24 hours and stabilization services for up to 3 court days thereafter.
- h. **Gender Transition.** The MCOP is prohibited from having or implementing a categorical coverage exclusion or limitation for all health services related to gender transition. This does not prevent the MCOP from determining whether a particular health service is medically necessary or otherwise meets applicable coverage requirements in individual cases. When an individual who has transitioned needs medically necessary services related to their gender at birth, the MCOP must review for medical necessity and cannot categorically deny a service due to gender.
- i. **Hospice Services.** In accordance with 1905(o)(3)(C), 1902(a)(13)(B) and 1902(a)(32) of the Act, and 42 CFR 447.10, the MCOP shall pay room and board payments to the hospice provider instead of the nursing facility if the member resides in a nursing facility and is receiving hospice services. Room and board payments to hospice providers must be at least 95% of the nursing facility rate.
- j. **Inpatient Hospital Services.**
 - i. The MCOP shall enforce the three-calendar day roll-in requirements as described in OAC rule 5160-2-02.
 - ii. The MCOP is required to follow the readmission policies as outlined in OAC Chapter 5160-2 for inpatient hospital stays as follows:
 - 1. For readmissions within 30 calendar days, that are due to complications or other circumstances that arose because of an early discharge and/or other treatment errors, the two inpatient hospital stays will be combined into one claim, and the second admission cannot be denied due to being a readmission.
 - a. The MCOP will maintain an exceptions list of type of conditions or admissions that are exempt from review to combine claims.
 - b. Behavioral health admissions are exempt from readmission considerations unless otherwise approved by ODM.
 - 2. The decision to have two admissions combined as one claim requires a clinical review to make the determination.

3. A prior authorization request cannot be denied solely based on a readmission request. Prior to making a determination regarding a readmission, the MCOP shall conduct a medical necessity review to determine if the readmission is related to the original admission.
 - k. **Pharmacist Services.** Coverage for pharmacist services is limited to those services described in OAC rule 5160-8-52. Payment may be made for a pharmacist service rendered within a pharmacist’s scope of practice when medically necessary. The service must be rendered for the purpose of managing medication therapy, administering immunizations, or administering medications in accordance with the rule.
 - l. **Emergency Room Services.** For members under the age of 21 presenting to an emergency room precipitated by a behavioral health problem, the MCOP must arrange for the member to receive a CANS assessment/eligibility determination.
 - m. **Child and Adolescent Needs and Strengths (CANS) Assessments.** The MCOP must reimburse for CANS assessments conducted by CANS providers at 100% of the current Medicaid FFS rate. The MCOP must comply with ODM’s guidance for coding and billing requirements for CANS assessments.
 - n. **Mobile Response and Stabilization Services (MRSS).** The MCOP must reimburse for MRSS rendered by MRSS providers at 100% of the current Medicaid FFS rate. The MCOP must comply with ODM’s guidance for coding and billing requirements for MRSS.
 - o. **Telehealth .** At a minimum, the MCOP shall follow OAC rule 5160-1-18 “Telehealth”, including any emergency rule versions of OAC rule 5160-1-18, and any future telehealth rules or services developed during the time that this appendix is enacted, including OAC rule 5160-1-21, but may be less restrictive if appropriate. In addition to OAC rules, the MCOP shall cover telehealth services as specified in the ODM Telehealth Services: Guidelines for Managed Care Organizations manual. The MCOP shall implement any changes outlined in the Telehealth Services: Guidelines for Managed Care Organizations manual within 30 calendar days of being notified by ODM of the change.
 - p. **COVID-19 Treatment.** The MCOP shall cover treatment and vaccinations for COVID-19 without restrictions or cost-sharing.
4. **In Lieu of Services.** In accordance with 42 CFR 438.3(e)(2), the MCOP may propose coverage for services that are in lieu of services under the Ohio Medicaid state plan (in lieu of services). In lieu of services must be prior approved by ODM in writing. The MCOP must not require a member to use an in lieu of service as an alternative to a service covered under the state plan.
 - a. The MCOP’s proposal must demonstrate that any in lieu of service is medically appropriate and cost-effective substitute for a service covered under the Ohio Medicaid state plan.
 - b. The MCOP proposal must include a cost-benefit analysis for any in lieu of service it proposes to provide, including how the proposed service would be a medically appropriate and cost-

effective substitute for a service covered under the Ohio Medicaid state plan.

5. **Information Sharing with Non-Panel Providers.** To assist members in accessing medically necessary Medicaid-covered services, the MCOP is required to share specific information with certain non-panel providers. The information is to assist non-panel providers to recognize MCOP membership, access information needed to provide services, and, if applicable, successfully submit claims to the MCOP.
 - a. **ODM-Designated Providers.** The MCOP shall share specific information with FQHCs/RHCs, qualified family planning providers (QFPs), hospitals, and if applicable, certified nurse midwives (CNMs), certified nurse practitioners (CNPs), and free-standing birth centers (FBCs) as defined in OAC rule 5160-18-01 within the MCOP's service area and in bordering regions if appropriate based on member utilization information. The information shall be shared within the first month after the MCOP has been awarded a Medicaid provider agreement for a specific region and annually thereafter. At a minimum the information shall include:
 - i. The information's purpose;
 - ii. Claims submission information including the MCOP's Medicaid provider number for each region (this information is only required to be provided to non-panel FQHCs/RHCs, QFPs, CNMs, CNPs, and hospitals);
 - iii. The MCOP's prior authorization and referral procedures;
 - iv. A picture of the MCOP's member ID card (front and back);
 - v. Contact numbers for obtaining information for eligibility verification, claims processing, referrals, prior authorization, post-stabilization care services, and if applicable, information regarding the MCOP's behavioral health administrator; and
 - vi. A listing of the MCOP's pharmacies, laboratories, and radiology providers.
 - b. **MCOP-Authorized Providers.** The MCOP authorizing the delivery of services from a non-panel provider shall ensure it has a mutually agreed upon compensation amount for the authorized service and shall notify the provider of the applicable provisions of OAC rules 5160-58-01.1 and 5160-26-05. This notice is provided when the MCOP authorizes a non-panel provider to furnish services on a one-time or infrequent basis to the MCOP member and shall include required ODM-model language and information.
 - c. Upon request, the MCOP shall provide information to ODM to document the non-contracting providers identified by the MCOP and the information provided to each provider. An MCOP that requires referrals to specialists shall ensure information on referral approvals and denials is made available to ODM upon request.
6. **Mental Health Parity and Addiction Equity Act (MHPAEA) Requirements.** The MCOP shall comply with MHPAEA requirements outlined in 42 CFR Part 438 Subpart K, with regard to services provided to

managed care members. The following requirements apply to the provision of all covered benefits to all populations included under the terms of this Agreement. The MCOP shall:

- a. Demonstrate to ODM that all covered services are being delivered in compliance with the MHPAEA regulation.
 - i. Prior to implementing a change in any behavioral health policy, including pharmacy, inpatient, outpatient, and emergency benefits, the MCOP must complete the MHPAEA Compliance Assessment Tool to determine compliance.
 - ii. At least 30 calendar days prior to implementing a change to BH policy, the MCOP must submit to ODM the completed MHPAEA Compliance Assessment Tool and attest to ODM in writing that the MHPAEA analysis was completed and that the policy change does not impact MHPAEA compliance.
- b. Participate in ODM requested meetings, respond to ODM information requests, work with ODM to resolve compliance risks, and notify ODM of any changes to benefits or limitations that might impact compliance.
- c. Conduct an analysis each calendar year to determine compliance with MHPAEA and provide results of the analysis to ODM. If no changes have been made to the MCOP's covered services, the MCOP may attest to compliance with MHPAEA. The analysis or attestation will be due to ODM during the month of December, no later than December 31st, as specified in Appendix T, Chart of Deliverables.
- d. Work with ODM to ensure all members are provided access to a set of benefits that meets the MHPAEA requirements regardless of which behavioral health services are provided by the MCOP.

The sanctions for noncompliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX H

PROVIDER PANEL SPECIFICATIONS

1. **Federal Access Standards.** The MyCare Ohio Plan (MCOP) shall provide or arrange for the delivery of all medically necessary, Medicaid-covered health services in a timely manner, and ensure compliance with federally defined provider panel access standards as required by 42 CFR 438.206.
 - a. In establishing and maintaining its provider panel, the MCOP shall consider the following:
 - i. The anticipated Medicaid membership.
 - ii. The expected utilization of services, taking into consideration the characteristics and health care needs of specific Medicaid populations represented in the MCOP.
 - iii. The number and types (in terms of training, experience, and specialization) of panel providers required to deliver the contracted Medicaid services.
 - iv. The geographic location of panel providers and Medicaid members, considering distance, travel time, the means of transportation ordinarily used by Medicaid members, and whether the location provides physical access, reasonable accommodations, and accessible equipment for Medicaid members with physical or mental disabilities.
 - v. The MCOP shall adequately and timely cover services from an out-of-network provider if the MCOP's contracted provider panel is unable to provide the services covered under the MCOP's provider agreement. The MCOP shall cover the out-of-network services for as long as the MCOP network is unable to provide the services. The MCOP shall coordinate with the out-of-network provider with respect to payment and ensure the provider agrees with the applicable requirements.
 - b. Contracting providers shall offer hours of operation no less than the hours of operation offered to commercial members or comparable to Medicaid FFS, if the provider serves only Medicaid members. The MCOP shall ensure services are available 24 hours a day, 7 days a week, when medically necessary. The MCOP shall establish mechanisms to ensure panel providers comply with timely access requirements and shall take corrective action if there is failure to comply.
 - c. In order to comply with 42 CFR 438.206 and 438.207, and demonstrate adequate provider panel capacity and services, the MCOP shall submit documentation as specified to the Ohio Department of Medicaid (ODM), in a format specified by ODM, demonstrating the MCOP offers an appropriate range of preventive, primary care, specialty, behavioral health, family planning, and waiver services adequate for the anticipated number of members in the service area, while maintaining a provider panel that is sufficient in number, mix, and geographic distribution to meet the needs of the number of members in the service area. This documentation of assurance of adequate capacity and services shall be submitted to ODM no less frequently than at the time the MCOP enters into a contract with ODM; at any time there is a significant change (as defined by ODM) in the MCOP's operations that would affect adequate capacity and services (including

changes in services, benefits, geographic service or payments); on an annual basis; and at any time there is enrollment of a new population in the MCOP.

- d. When a waiver enrollee expresses a preference for an independent (non-agency) provider for an eligible service identified on the member's person-centered service plan, the MCOP shall make available the following:
 - i. A directory of all non-agency providers of the following waiver services:
 1. Personal Care;
 2. Waiver Nursing;
 3. Home Care Attendant; and
 4. State Plan Nursing.
 - ii. The directory will be organized by service and location and clearly identify which providers are accepting new members; and
 - iii. The MCOP will offer members assistance with the provider enrollment process incorporating easily understood guidance to facilitate provider enrollment.
 - iv. The MCOP's provider recruitment plan will be modified to include the recruitment of independent providers.
2. **General Provisions.** The MCOP shall remain in compliance with the following requirements for the duration of this Agreement.
- a. If the MCOP is unable to provide the medically necessary, Medicaid-covered services through its contracted provider panel, the MCOP shall ensure access to these services on an as needed basis. For example, if the MCOP meets the orthopedist requirement but a member is unable to obtain a timely appointment from an orthopedist on the MCOP's provider panel, the MCOP will be required to secure an appointment from a panel orthopedist or arrange for an out-of-panel referral to an orthopedist.
 - b. If the MCOP offers transportation to its members as an additional benefit and this transportation benefit only covers a limited number of trips, the required transportation listed above may not be counted toward this trip limit as specified in Appendix C.
 - c. In developing the provider panel requirements, ODM considered the population size and the potential availability of the designated provider types. ODM integrated existing utilization patterns into the provider network requirements to avoid disruption of care. Most provider panel requirements are county-specific but in certain circumstances, ODM requires providers to be located anywhere in the region or within a set number of miles from a zip code.

- d. The MCOP shall ensure that providers submitted to the provider network management system, or listed in MCOP published directories, are available to both dual benefits and Medicaid only members of the MCOP.
 - e. ODM will recalculate the minimum provider panel specifications if ODM determines significant changes have occurred in the availability of specific provider types and the number and composition of the eligible population. The provider network management system is the tool that will be used for ODM to determine if the MCOP meets all the panel requirements identified within Appendix H; therefore, the plans shall enter all network providers as specified within the file specs.
 - f. On a monthly basis, ODM or its designee will provide each MCOP with an electronic file containing the MCOP's provider panel as reflected in the provider network management system.
3. **Provider Subcontracting.** Unless otherwise specified in this appendix or OAC rules 5160-58-01.1 and 5160-26-05, the MCOP is required to enter into fully-executed subcontracts with its providers. These subcontracts shall include a baseline contractual agreement, as well as the appropriate ODM-approved Model Medicaid Addendum. The Model Medicaid Addendum incorporates all applicable OAC rule requirements specific to provider subcontracting and therefore cannot be modified except to add personalizing information such as the MCOP's name.
- a. **Contracting with ODM-Enrolled Providers**
 - i. To reduce provider burden and promote consistency across the Ohio managed care program, ODM has retained the administrative responsibilities for provider enrollment and for credentialing and re-credentialing. ODM's provider network management (PNM) system is the State's system of record for Medicaid provider data.
 - ii. In accordance with 42 CFR 438.608 and this Agreement, the MCOP must contract only with providers that are enrolled with ODM and are active providers in ODM's provider network management system.
 - iii. Prior to contracting with a provider or listing the provider as a network provider, the MCOP must validate that the provider is active in ODM's provider network management system and, for eligible to render the specific waiver service, when applicable, using the PMF or ODA-certified provider file. If a provider is not active in ODM's provider network management system, the MCOP must direct the provider to ODM's portal to submit an application for screening and enrollment prior to contracting.
 - iv. The MCOP must conduct a daily reconciliation of the MCOP's provider network and ODM's provider network management system using PNM system data (the provider master file (PMF) and all supplemental files generated by ODM systems) to ensure that network providers and staff affiliations remain active in ODM's provider network management system.
 - v. Except for waiver providers, in accordance with 42 CFR 438.602, an MCOP may execute a temporary 120 calendar day network provider agreement pending the outcome of the

ODM screening, enrollment, and revalidation process. If a provider is not enrolling with ODM because they are operating under an out-of-network contract, or when the provider applicant does not identify with a provider type that is available on the web application, the MCOP must complete the form specified by ODM (ODM 10282) and submit the form to ODM for screening and enrollment. The application can be found at: <https://medicaid.ohio.gov/stakeholders-and-partners/legal-and-contracts/forms/forms>. The MCOP must immediately terminate the provider and notify affected members upon notification from ODM that the provider cannot be enrolled. In this instance, no advance contract termination notice to the provider is required.

- vi. The MCOP may only pay a provider who is enrolled with ODM unless the provider is rendering services with a temporary 120 calendar day agreement, a single-case agreement, or for emergency services in accordance with 42 CFR 438.114.
 - vii. Prior to execution of the subcontract, and prior to furnishing waiver services, and in accordance with 5160-58-04 of the Administrative Code. All waiver service providers must be enrolled with ODM in active status and must be certified by ODA or approved by ODM appropriately in MITS or Ohio Medicaid Enterprise System (OMES) for each waiver service to be subcontracted or included in a single case agreement by the MCOP. Waiver providers are not eligible for the temporary 120 calendar day contract and must have each waiver service for which they are subcontracting identified in MITS or OMES.
- b. The MCOP may not employ or contract with providers excluded from participation in federal health care programs under either Section 1128 or Section 1128A of the Social Security Act. Only those providers who meet the applicable criteria specified in this document, and as determined by ODM, will be counted toward meeting minimum panel requirements.
- c. **Credentialing**
- i. The MCOP shall credential/re-credential providers in accordance with OAC rule 5160-26-05. The MCOP shall ensure the provider has met all applicable credentialing criteria before the provider can, be listed as a panel provider. Upon implementation of centralized credentialing, the process by which all Medicaid providers shall go through the credentialing process adhering to CMS standards directly at ODM, the MCOP shall only utilize ODM-credentialed providers within their provider panel, and shall provide the following information about credentialed providers to ODM upon request:
 - 1. Date of last credentialing approval of both facilities and practitioners;
 - 2. Name, NPI, and MCN of facilities and practitioners;
 - 3. Full file utilized to credential facilities and practitioners (include all PSV);

4. Date and result of last site survey or name of certification/expiration date of certification for facilities; and

5. Demographic information for practitioners including: malpractice insurance information, self-disclosed malpractice claims, hospital privileges, board certification names and expiration dates, DEA numbers and expiration dates, work history information, and education and training.

- ii. At the direction of ODM, the MCOP shall submit documentation verifying that all necessary provider contract documents have been appropriately completed.
- iii. As specified in Appendix T, Chart of Deliverables, the MCOP must submit a monthly report (Monthly Appeal and Grievance Activity Report) of member grievances regarding providers. The report must include NPI/Medicaid ID of the provider, grievance receive date, grievance resolution date, and a narrative.

d. MCOP Provider Network Information.

- i. The MCOP must submit provider network information, including provider additions and deletions, to ODM in the format and at the frequency specified by ODM to ODM's provider network management system.
- ii. As directed by ODM, the MCOP must provide documentation verifying the accuracy of information submitted to ODM's provider network management system.
- iii. ODM will use the information provided by MCOP and uploaded into ODM's provider network management system to determine if the MCOP meets the provider network access standards specified in this Agreement, which includes Sections 2.6 and 2.7 of the Three-Way with the exception of independent providers.
- iv. The MCOP must immediately notify ODM of any discrepancy between the MCOP's provider network information in ODM's provider network management system and the MCOP's system and resubmit the correct information within one business day of becoming aware of the discrepancy.

4. **Provider Panel Requirements.** Failure to contract with, and properly report to the provider network management (PNM) system, all MCOP contracted providers will result in sanctions as outlined in Appendix N. ODM will grant an 'exception to the issuance of sanction' only when an action taken by ODM has adversely impacted a plan's ability to meet the provider panel network or when a provider is not available in the required zip code, county, and/or region.
- a. All MCOPs shall provide all medically necessary Medicaid-covered services to their members. The MCOP shall ensure all network providers follow community standards in the scheduling of routine appointments (i.e., the amount of time members shall wait from the time of their request to the first available time when the visit can occur).

- b. In addition to requirements set forth in the Three-Way, the MCOP shall comply with all provider network requirements set forth in this appendix except as explicitly noted herein.
- i. **Certified Nurse Midwives (CNMs) and Certified Nurse Practitioners (CNPs).** The MCOP shall ensure access to CNM and CNP services in the region if such provider types are present within the region. The MCOP may contract directly with the CNM or CNP providers, or with a physician or other provider entity which is able to obligate the participation of a CNM or CNP. If the MCOP does not contract for CNM or CNP services and such providers are present within the region, the MCOP will be required to allow members to receive CNM or CNP services outside of the MCOP's provider network.
 - ii. **Vision Care Providers.** The MCOP shall contract with at least the minimum number of ophthalmologists and optometrists for each specified county and region, all of whom shall maintain a full-time practice at a site(s) located in the specified county and region to count toward minimum panel requirements listed in Table 3. All ODM-approved vision providers shall regularly perform routine eye exams. The MCOP will be expected to contract with an adequate number of ophthalmologists as part of its overall provider panel, but only ophthalmologists who regularly perform routine eye exams can be used to meet the vision care provider panel requirement. If optical dispensing is not sufficiently available in a region through the MCOP's contracting ophthalmologists/optometrists, the MCOP shall separately contract with an adequate number of optical dispensers located in the region.
 - iii. **Dental Care Providers.** The MCOP shall contract with at least the minimum number of dentists listed in Table 3.
 - iv. **Waiver Providers.** The MCOP shall ensure all MyCare Ohio HCBS waiver providers, including but not limited to those listed in Table 1 meet the requirements set forth in OAC Chapters 173-39, 5160-44, and 5160-45, as appropriate, and have an active Medicaid provider agreement with ODM. The MCOP shall validate that waiver providers hold applicable approval from ODM or certification from the Ohio Department of Aging for each waiver service to be rendered prior to rendering waiver services.
 - v. **Independent Providers.** The MCOP shall have a written policy setting forth a regular payment cycle for clean claims submitted by independent providers. The MCOP shall adhere to the policy and any communications from the MCOP to a provider shall be consistent with the policy.
 - vi. **Nursing Facilities.** The MCOP shall contract with at least the minimum number of facilities identified in Table 2. If a contracted nursing facility experiences a CHOP, the plan shall not require the new nursing facility to request a new authorization for members who had a previous authorization that is still current.
 - vii. **Behavioral Healthcare Providers.** The MCOP shall evaluate each region's network capacity of behavioral health (BH) services (both Medicare and Medicaid). The MCOP shall perform an assessment of no less than its contracted Medicare providers in each region and county regarding providers' willingness and preparedness to become

Medicaid providers of the behavioral health services. The MCOP shall also assess whether each region and county's behavioral healthcare providers are currently certified for Medicare or are prepared and willing to pursue certification for Medicare services. The MCOP shall report the results to ODM upon request.

1. **Substance Use Disorder (SUD) Treatment Providers.** The MCOP shall contract with at least the minimum number of Ohio Department of Mental Health and Addiction Services (OhioMHAS)-certified SUD treatment providers identified in Table 4
 2. **Medication Assisted Treatment (MAT) Prescribers.** The MCOP shall contract with at least the minimum number of MAT prescribers identified in Table 6, as well as all willing Opioid Treatment Programs (OTPs) licensed by OhioMHAS and certified by Substance Abuse and Mental Health Services Administration (SAMHSA). Contracted OTPs count towards the MCOP's required number of contracted MAT prescribers. Noncompliance with MAT prescriber contracting requirements will be enforced beginning July 1, 2020. The MCOP shall report any additional providers prescribing MAT not previously identified by ODM as specified by ODM.
 3. **Community Mental Health Centers (CMHCs).** The MCOP shall contract with at least the minimum number of OhioMHAS-certified CMHCs identified in Table 4. In addition, the MCOP shall ensure adequate provider panel capacity to provide its members with reasonable and timely access to the following services within the region, if available; Community Psychiatric Supportive Treatment, Crisis Intervention, individual counseling, group counseling, injections (long-acting antipsychotic medications), mental health assessment, partial hospitalization, pharmacological management, psychiatric diagnostic interview, and psychological testing.
 4. **Other Behavioral Health Treatment Providers.** The MCOP shall contract with at least the minimum number behavioral health providers identified in Table 5. This includes independent marriage and family therapists, licensed independent chemical dependency counselors, licensed independent social workers, and psychologists who contract with the MCOP to provide behavioral health services privately and unrelated to the SUD treatment providers and CMHCs listed above.
- viii. **Federally Qualified Health Centers (FQHCs).** Pursuant to the Three-Way Contract, MCOP payments to FQHCs should be no less than the sum of the following:
1. The level and amount of payment that the MCOP would make for such services provided by a non-FQHC provider; and
 2. The difference between 80% of the Medicare fee-for-service rate for the FQHC and the Medicaid prospective payment system (PPS) amount for the FQHC, where the Medicaid PPS amount exceeds 80% of the Medicare rate. The MCOP

shall provide an expedited unbundled payment on a per-service basis (by procedure code) in an amount no less than the payment made to other providers for the same or similar service.

- ix. **Assisted Living and Adult Day Health.** As Specified in Appendix T, Chart of Deliverables, the MCOP shall submit a quarterly Time and Distance Report for Assisted Living and Adult Day Health providers, meeting the standards determined in the 3-Way Agreement.
5. **Provider Directories.** The MCOP's provider directory shall include all MCOP-contracted providers as well as certain non-contracted providers as specified by ODM with the exception of those providers operating under single case agreements. At the time of ODM's review, the information listed in the MCOP's provider directory for all MCOP contracted providers shall exactly match the data submitted to the provider network management system except plans may submit panel providers to the provider network management system who are not listed in the provider directory and are not yet enrolled with ODM for purposes of meeting panel standards. The MCOP may supplement ODM provider network management system data with MCOP information to the extent needed to comply with the provider directory content requirements in this Agreement.
- a. The MCOP's provider directory shall utilize a format specified by ODM. The directory may be region-specific, include multiple regions, or, with prior-approval from ODM, be proximity-based to the member; however, the providers within the directory may be divided by county and provider type. The directory shall also specify the following when available and applicable:
 - i. Provider's name as well as any group affiliation;
 - ii. Provider's street addresses;
 - iii. Provider's telephone numbers;
 - iv. Provider's website URL;
 - v. Provider's specialty;
 - vi. Indication of the provider's office/facility accessibility and accommodations (e.g. offices, exam room(s), and equipment);
 - vii. Indication of whether the provider offers telehealth, and if so, when telehealth is available;
 - viii. Indication of whether the provider is accepting new members;
 - ix. Indication of the provider's linguistic capabilities, including the specific language(s) offered, including ASL, and whether they are offered by the provider or a skilled medical interpreter at the provider's office;
 - x. Provider's cultural competence training status; and

- xi. How members may obtain directory information in alternate formats that takes into consideration the special needs of eligible individuals including but not limited to, visually-limited, LEP, and LRP eligible individuals.
- xii. For the CY 2021 provider directory, the MCOP must describe in detail any sole-sourced or selectively contracted network providers (e.g. durable medical equipment). The description must clearly identify:
 - 1. The services, including supplies or equipment, that must be obtained from the provider;
 - 2. How to obtain the services;
 - 3. How to contact the provider; and
 - 4. How to obtain services to meet an urgent need (i.e. additional supplies needed post-surgery or for vacation).
- b. **Printed Provider Directory.** The MCOP's printed provider directory shall be prior-approved by ODM. Once approved, in accordance with 42 CFR 438.10, this directory may be updated with provider additions or deletions by the MCOP without ODM prior-approval; however, a copy of the revised directory (or inserts) shall be submitted to ODM prior to distribution to members. Any revisions to the printed provider directory format must be approved by ODM before distribution.
- c. **Internet Provider Directory.** The MCOP is required to have an internet-based provider directory available in a format prior approved by ODM. This internet directory shall allow members to electronically search for MCOP panel providers based on name, provider type, provider specialty, and geographic proximity. If the MCOP has one internet-based directory for multiple populations, each provider shall include a description of which population they serve. Any revisions to the internet provider directory format must be approved by ODM before implementation. If the MCOP receives updated provider information, this directory shall be updated in accordance with the timeframes listed in 42 CFR 438.10

Table 1. Waiver Provider Panel.

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Provider Panel Specifications

MyCare Region	Community Transition	Emergency Response	Home Maintenance/Chore	Home Medical Equipment & Supplies	Home Modifications	Homemaker	Community Integration	Meals Home Delivered	Out of Home Respite	Social Work Counseling	Waiver Transportation	Waiver Nursing Agency	Personal Care-Agency
Central	2	19	18	19	8	56	2	9	1	2	2	42	124
East Central	2	10	11	10	15	24	2	9	1	2	6	22	97
Northeast	2	16	16	6	6	34	2	13	1	2	8	28	119
Northeast Central	2	5	2	4	2	10	2	5	1	2	2	10	43
Northwest	2	3	4	3	2	4	2	10	1	2	2	20	45
Southwest	2	10	15	6	7	16	2	19	1	2	4	21	75
West Central	2	4	8	7	8	6	2	8	1	2	5	28	75

Table 2. Nursing Facility Provider Panel.

MyCare Region	County	NFs
Central	Delaware	3
Central	Franklin	16
Central	Madison	1
Central	Pickaway	2
Central	Union	1
East Central	Portage	2
East Central	Stark	11
East Central	Summit	14
East Central	Wayne	5
Northeast	Cuyahoga	31
Northeast	Geauga	2
Northeast	Lake	4
Northeast	Lorain	4
Northeast	Medina	4

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Provider Panel Specifications

Northeast Central	Columbiana	5
Northeast Central	Mahoning	7
Northeast Central	Trumbull	7
Northwest	Fulton	2
Northwest	Lucas	12
Northwest	Ottawa	2
Northwest	Wood	4
Southwest	Butler	7
Southwest	Clermont	4
Southwest	Clinton	1
Southwest	Hamilton	23
Southwest	Warren	6
West Central	Clark	4
West Central	Greene	3
West Central	Montgomery	12
	Grand Total	199

Table 3. Vision/Dental Provider Panel.

Northeast	Vision	Dental
Cuyahoga	32	85
Geauga	0	1
Lake	2	7
Lorain	3	11
Medina	1	4
Total	38	110

East Central	Vision	Dental
Portage	0	3
Stark	7	17
Summit	11	23
Wayne	0	3
Total	18	46

Northeast Central	Vision	Dental
Columbia	0	2
Mahoning	5	11
Trumbull	4	8
Total	9	21

Central	Vision	Dental
Delaware	3	3
Franklin	20	60
Madison	0	1
Pickaway	1	1
Union	1	1
Total	25	66

Northwest	Vision	Dental
Fulton	0	0
Lucas	9	26
Ottawa	0	1
Wood	2	2
Total	11	31

West Central	Vision	Dental
Clark	3	6
Greene	3	3
Montgomery	13	23
Total	19	32

Southwest	Vision	Dental
Butler	4	13

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Clermont	1	5
Clinton	1	1
Hamilton	14	34
Warren	2	3
Total	22	56

Table 4. Community Behavioral Health Center (CBHC) Provider Panel.

MyCare Region	OhioMHAS-certified Community Mental Health Centers	OhioMHAS-certified Substance Use Disorder (SUD) Treatment Providers
Central	18	8
East Central	19	8
Northeast	50	8
Northeast Central	10	6
Northwest	10	6
Southwest	28	8
West Central	19	6

Table 5. Other Behavioral Health Provider Panel (not provider types 84 or 95).

Region	Required Number
Northwest	43
Central	30
West Central	39
Southwest	53
Northeast	99
East Central	54
Northeast Central	33

Table 6. Medication Assisted Treatment Provider Panel.

County	MAT	County	MAT	County	MAT	County	MAT
Butler	8	Fulton	0	Madison	1	Stark	6
Clark	2	Geauga	1	Mahoning	12	Summit	14
Clermont	4	Greene	5	Medina	1	Trumbull	4
Clinton	0	Hamilton	30	Montgomery	18	Union	0
Columbiana	3	Lake	4	Ottawa	0	Warren	4
Cuyahoga	34	Lorain	2	Pickaway	2	Wayne	1
Delaware	1	Lucas	14	Portage	2	Wood	2
Franklin	43						

The sanctions for noncompliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX I

PROGRAM INTEGRITY

The MCOP shall comply with all applicable state and federal program integrity requirements, including, but not limited to, those specified in 42 CFR Part 455, 42 CFR Part 1002 and 42 CFR Part 438 Subpart H.

1. **Fraud, Waste, and Abuse Program.** In addition to the specific requirements of OAC rules 5160-58-01.1 and 5160-26-06, and in accordance with Ohio Department of Medicaid's (ODM's) 1915(c) and 1915(b) CMS-approved waiver, the MCOP shall have a program that includes administrative and management arrangements or procedures to detect and prevent fraud, waste, and abuse. The MCOP's compliance program shall address the following:
 - a. **Compliance Program.** In accordance with 42 CFR 438.608, the MCOP shall implement and maintain a compliance program that includes all the following:
 - i. An Ohio-specific compliance plan (Compliance Plan) that describes the MCOP's compliance program for this Agreement and includes the MCOP's monitoring and auditing work plan for the upcoming year. As specified in Appendix T, Chart of Deliverables, the MCOP shall submit the Ohio-specific compliance plan on January 15 and annually thereafter.
 - ii. A compliance plan that includes designated staff responsible for administering the plan and clear goals, milestones or objectives, measurements, key dates for achieving identified outcomes, and an explanation of how the MCOP will determine the effectiveness of the compliance plan.
 - iii. Written policies, procedures, and standards of conduct that demonstrate compliance with all applicable requirements and standards under this Agreement, as well as all federal and state requirements related to program integrity.
 - iv. A designated Compliance Officer who is responsible for developing and implementing policies and procedures designed to ensure compliance with the program integrity requirements. The Compliance Officer shall report to the Chief Executive Officer and the Board of Directors.
 - v. A Regulatory Compliance Committee, consisting of members of the Board of Directors and senior management, which is responsible for oversight of the MCOP's compliance program.
 - vi. A system for training and education for the Compliance Officer, the MCOP's senior management, and the MCOP's employees regarding the MCOP's compliance program and program integrity related requirements.
 - vii. Effective lines of communication between the Compliance officer and the MCOP's employees.

- viii. Enforcement of standards through well-publicized disciplinary guidelines.
 - ix. A system of dedicated staff with established and implemented procedures for routine internal monitoring and auditing of service patterns of providers and subcontractors, compliance risks, prompt response to compliance issues, investigations of potential compliance problems identified in the course of self-evaluation and audits, correction of identified compliance problems, and ongoing compliance with program integrity related requirements.
 - x. Establishment and/or modification of internal MCOP controls to ensure the proper submission and payment of claims.
- b. **Fraud, Waste, and Abuse Program.** In accordance with 42 CFR 438.608, the MCOP shall create, implement, and maintain a fraud, waste, and abuse program that includes all of the following:
- i. Education of providers and delegated entities about fraud, waste, and abuse.
 - ii. Prompt reporting of all instances of suspected provider fraud, waste, and abuse to ODM and suspected member fraud, waste, and abuse to ODM's Bureau of Program Integrity.
 - iii. An Ohio specific fraud, waste, and abuse plan. As specified in Appendix T, Chart of Deliverables, the MCOP shall submit the Ohio specific fraud, waste, and abuse plan on January 15th and annually thereafter. ODM shall provide notice of approval, denial or modification of the plan to the MCOP within 30 days of receipt. The MCOP shall make any requested updates or modifications available for review and approval as requested by ODM within 30 calendar days of receipt.
 - a. A fraud, waste, and abuse plan that includes a risk-based assessment, designated staff responsible for administering the plan, clear goals, milestones or objectives, key dates for achieving identified outcomes, and an explanation of how the MCOP will determine effectiveness of the plan. The fraud, waste, and abuse plan shall include, but is not limited to, the following:
 - b. A risk-based assessment shall include the MCOP's evaluation of its fraud, abuse, and program integrity processes.
 - c. A risk-based assessment shall include the MCOP's evaluation of risk for fraud and abuse in the provision of services by providers to Medicaid beneficiaries.
 - d. An outline of activities proposed by the MCOP for the next reporting year which is established from the risk-based assessment results.
 - e. An outline of activities proposed by the MCOP for the next reporting year regarding provider education of federal and state laws and regulations related to Medicaid program integrity and on identifying and educating targeted providers with patterns of incorrect billing practices and/or overpayments.

- f. A description of the specific controls in place for prevention and detection of potential or suspected fraud and abuse, such as:
 - a. A list of automated pre-payment claims edits;
 - b. A list of automated post payment claims edits;
 - c. A list of desk audits on post payment review of claims;
 - d. A list of reports of provider profiling and credentialing used to aid program and payment reviews; and/or
 - e. A list of surveillance and/or utilization management protocols used to safeguard against unnecessary or inappropriate use of Medicaid services.
 - g. Work plans for conducting both announced and unannounced site visits and field audits to providers defined as high risk to ensure services are rendered and billed correctly.
- c. **Employee Education about False Claims Recovery.** The MCOP shall comply with Section 6032 of the Deficit Reduction Act of 2005, regarding employee education and false claims recovery, specifically the MCOP shall:
- i. Establish and make readily available to all employees, including the MCOP's management, the following written policies regarding false claims recovery:
 - 1. Detailed information about the Federal False Claims Act and other state and federal laws related to the prevention and detection of fraud, waste, and abuse, including administrative remedies for false claims and statements, as well as civil or criminal penalties;
 - 2. The MCOP's policies and procedures for detecting and preventing fraud, waste, and abuse; and
 - 3. The laws governing the rights of employees to be protected as whistleblowers. In addition, the MCOP shall communicate the following whistleblower fraud and/or abuse reporting contacts to all employees, providers and subcontractors:
 - a. Medicaid Fraud Control Unit (MFCU) by phone 1-800-282-0515 or online at: <http://www.ohioattorneygeneral.gov/Individuals-and-Families/Victims/Submit-a-Tip/Report-Medicaid-Fraud>; and
 - b. The Ohio Auditor of State (AOS) 1-866-FRAUD-OH or by email at: fraudohio@ohioauditor.gov.

- ii. Include the required written policies regarding false claims recovery in any employee handbook;
 - iii. In accordance with 42 CFR 438.608, establish written policies for any MCOP contractors and agents that provide detailed information about the Federal False Claims Act and other state and federal laws related to the prevention and detection of fraud, waste, and abuse, including administrative remedies for false claims and statements as well as civil or criminal penalties; the laws governing the rights of employees to be protected as whistleblowers; and the MCOP's policies and procedures for detecting and preventing fraud, waste, and abuse. The MCOP shall make such information readily available to their subcontractors; and
 - iv. Disseminate the required written policies to all contractors and agents, who shall abide by those written policies.
- d. **Monitoring for Fraud, Waste, and Abuse.** The MCOP shall specifically address the MCOP's strategies for prevention, detection, investigation, and reporting in at least the following areas:
- i. **Credible Allegations of Fraud.** The MCOP shall monitor activities on an ongoing basis to prevent and detect activities involving suspected fraud, embezzlement, and theft (e.g., by staff, providers, contractors) and report findings promptly to ODM as specified in this appendix.
 - ii. **Underutilization of Services.** In order to ensure all Medicaid-covered services are provided, as required, monitoring of the following areas shall occur:
 - 1. The MCOPs shall annually review their prior authorization (PA) procedures to determine if they unreasonably limit a member's access to Medicaid-covered services;
 - 2. The MCOP shall annually review their appeals process for providers following the MCOP's denial of a prior authorization request for a determination as to whether the appeals process unreasonably limits a member's access to Medicaid-covered services;
 - 3. The MCOP shall monitor, on an ongoing basis, service denials, and utilization in order to identify member services which may be underutilized; and
 - 4. If any underutilized services or limits to a member's access to Medicaid-covered services are identified, the MCOP shall immediately investigate and, if indicated, correct the problem(s).
 - iii. **Claims submission and billing.** On an ongoing basis, the MCOP shall identify and correct claims submission and billing activities which are potentially fraudulent including, at a minimum, double-billing and improper coding, such as upcoding and unbundling, to the satisfaction of ODM.

2. **Special Investigative Unit (SIU).**

- a. At a minimum, the MCOP shall utilize a full-time, single lead investigator based in Ohio to identify risk and guard against fraud, waste, and abuse, monitor aberrant providers, and refer potential fraud, waste, and abuse to ODM by:
 - i. Conducting fraud, waste, and abuse investigations;
 - ii. Preparing investigatory reports;
 - iii. Submitting and monitoring deconflictions; and
 - iv. Implementing the Compliance Plan and Fraud, Waste, and Abuse Plan.
 - v. Documenting required investigations in the Incident Management System.
- b. The lead investigator shall be dedicated solely to ODM program integrity work and meet the following qualifications:
 - i. A minimum of two years in healthcare field working in fraud, waste, and abuse investigations and audits;
 - ii. A Bachelor's degree, or an Associate's degree with an additional two years working in health care fraud, waste, and abuse investigations and audits, or ODM will accept experience and certifications commensurate with the educational requirements. ODM will evaluate the experience and certifications in lieu of the educational requirements; and
 - iii. Ability to understand and analyze health care claims and coding.
- c. The lead investigator shall participate in SIU coordination with ODM Program Integrity in areas such as fraud referrals, audits and investigations, deconflictions, overpayments, provider terminations, among other activities, as well as attend any required meetings as prescribed by ODM.
- d. **Education and Training.** The MCOP shall ensure that the SIU lead participates in all MCPiG meetings, the Biweekly Home Health Care Fraud meeting and holds quarterly SIU lead meetings to discuss fraud referrals and other program integrity issues.

3. **Reporting MCOP Monitoring of Fraud, Waste, and Abuse Activities.** Pursuant to OAC rules 5160-58-01.1 and 5160-26-06 and as specified in Appendix T, Chart of Deliverables, the MCOP shall report annually to ODM a summary of the MCOP's monitoring of credible allegations of fraud, waste, and abuse, underutilization of member services, limits to Medicaid-covered services, audits and reviews performed, referrals to ODM for fraud and abuse, overpayments identified and recovered, provider terminations for cause, and suspicious claims submission and billing. The MCOP's report shall also identify any proposed changes to the MCOP's compliance plan for the coming year.

- a. **Reporting Suspected Fraud, Waste, and Abuse.** The MCOP is required to promptly report all instances of suspected provider fraud, waste, and abuse to ODM and member fraud, waste, and abuse to ODM's Bureau of Program Integrity (BPI), copying the appropriate county department of job and family services (CDJFS). If the MCOP fails to properly report a case of suspected fraud,- waste or abuse before the suspected fraud, waste or abuse is identified by the State of Ohio, its designees, the United States or private parties acting on behalf of the United States, any portion of the fraud, waste or abuse recovered by the State of Ohio or designees shall be retained by the State of Ohio or its designees.
 - i. **Credible Allegation of Provider Fraud.** The MCOP shall promptly refer suspected cases of provider fraud in the ODM specified form to ODM for investigation and determination of whether a credible allegation of fraud exists. If a credible allegation of fraud exists, at the direction of ODM, the MCOP shall immediately suspend all payments to the provider and shall immediately suspend the provider in accordance with ORC section 5164.36. At the request of ODM staff, ODM's designee, the Ohio Attorney General's Office (AGO) or federal agencies, the MCOP shall produce copies of all MCOP fraud, waste, and abuse investigatory files and data (including, but not limited to records of recipient and provider interviews) within 30 calendar days unless otherwise agreed upon by ODM.
 - ii. **Credible Allegation of Member Fraud.** All suspected member fraud, waste, and abuse shall be immediately reported to Bureau of Program Integrity (BPI) at Program_Integrity_County_Referral@medicaid.ohio.gov and a copy reported to the appropriate CDJFS.
- b. **Referrals and Attestations.** The MCOP shall submit fraud, waste, and abuse referrals to ODM through the Fraud Referral and Coordination System . Each fraud referral submitted to ODM is distributed to all MCOs.
- c. The ODM Clearinghouse shall review all fraud, waste, and abuse referrals from MCOPs to determine whether there is a credible allegation of fraud or if the allegation evidences abuse or waste. ODM will submit all fraud referrals to the AGO MFCU and return the abuse and waste referrals to the MCOP.
- d. The MCOP shall respond to all fraud referrals by submitting their Attestation of exposure into the Fraud Referral and Coordination System within 60 calendar days. A failure to file an attestation timely, completely, and accurately may result in the MCOP waiving its right to participate in any Attorney General Office (AGO) MFCU recoveries.
- e. **Monitoring for Prohibited Affiliations.** The MCOP's policies and procedures for ensuring, pursuant to 42 CFR 438.610, the MCOP will not knowingly have a relationship or prohibited affiliation with individuals debarred by Federal Agencies, as specified in Article XII of this Agreement. Pursuant to 42 CFR 438.608, it is the duty of the MCOP to disclose to ODM any prohibited affiliations under 42 CFR 438.610.
- f. The MCOP shall disclose to ODM any information regarding change in ownership and control within 35 calendar days in accordance with 42 CFR 455.104, OAC rule 5160-1-17.3, and subcontractors as governed by 42 CFR 438.230.

- g. In accordance with 42 CFR 455.105, the MCOP shall submit within 35 calendar days of the date requested by ODM or the U.S. Department of Health and Human Services full and complete information about:
 - i. The ownership of any subcontractor with whom the MCOP has had business transactions totaling more than \$25,000 during the 12-month period ending on the date of the request.
 - ii. Any significant business transactions between the MCOP and any wholly owned supplier, or between the provider and any subcontractor, during the 5-year period ending on the date of the request.
- h. The MCOP shall disclose the following information on persons convicted of crimes in accordance with 42 CFR 455.106 who have:
 - i. Ownership or control interest in the provider, or is an agent or managing employee of the provider; and
 - ii. Been convicted of a criminal offense related to that person's involvement in any program under Medicare, Medicaid, or the Title XX services program since the inception of those programs.

This information shall also be disclosed at any time upon written request by the Medicaid agency. The Medicaid agency may refuse to enter into or may terminate a provider agreement if it determines the provider did not fully and accurately make any disclosure referenced in this section.

- i. The MCOP shall notify ODM when the MCOP denies a request for a network provider contract from a provider that is active in ODM's PNM system, including the reason for the denial.
- j. In accordance with 42 CFR 438.608, the MCOP shall notify ODM when there is a change in a network provider's circumstances that may affect the provider's eligibility to participate in the managed care program, including when a network provider contract is terminated.
- k. **Provider Indictment.** If an indictment is issued, charging a non-institutional Medicaid provider or its owner, officer, authorized agent, associate, manager, or employee with committing an offense specified in ORC Section 5164.37(E), and ODM suspends the provider agreement held by the non-institutional Medicaid provider, at the direction of ODM, the MCOP shall immediately suspend the provider and terminate Medicaid payments to the provider for Medicaid services rendered in accordance with ORC Section 5164.37(D). The MCOP's contracts with providers must include a provision for the return of episode, quality, or other value-based payments to the MCOP when the provider is convicted of fraud, and the time period of the fraudulent activity overlaps with the time period on which the episode, quality, or other value-based payment is based.
- l. As specified in Appendix T, Chart of Deliverables, the MCOP shall provide to ODM a quarterly

report of all open program integrity related audits and investigations related to fraud, waste, and abuse activities for identifying and collecting overpayments, utilization review, and provider compliance. The report shall include, but is not limited to, audits and investigations performed, overpayments identified, overpayments recovered, and other program integrity actions taken; such as, corrective action plans, provider education, financial sanctions, and sanctions by a provider, during the previous contracting period and for each ongoing quarter.

m. **Coordination with Law Enforcement.** The MCOP shall stand down upon submission of either a fraud, waste, or abuse referral or a submission of a request for deconfliction.

i. **Referrals.**

1. Upon MCOP submission of a fraud, waste, or abuse referral to ODM, the MCOP shall stand down.
2. The stand down time period will last for the shortest of the following events:
 - a. ODM determines there is no credible allegation of fraud contained in the referral;
 - b. AGO MFCU closes their investigation for lack of prosecutorial merit; or
 - c. An initial period of one year, starting when the referral is received by ODM. This period may be extended once for an additional time period of six months upon the Program Integrity Director's discretion.

ii. **Deconflictions.** Prior to initiating an audit, investigation, review, recoupment or withhold, or involuntarily terminating a provider, the MCOP must submit a request for deconfliction into the Fraud Referral and Coordination System and receive permission from ODM to proceed.

1. The MCOP retains the right to recovery for the costs arising out of provider fraud or abuse as defined by rule 5160-26-01 of the Administrative Code in the following circumstance:
2. The AGO MFCU has an open case and the MCOP requested deconfliction and received leave to proceed since there wasn't a conflict with an active law enforcement investigation, and
3. The date of the de-confliction request occurred prior to the date that the AGO MFCU agency opened their case on the same provider, and
4. The MCOP submits a referral regarding the same provider after completion of its previously approved audit, investigation or review.
5. The MCOP must stand down upon submission of a deconfliction request for fraud, waste or abuse. ODM will either grant the deconfliction request or notify

the MCOP to stand down. The stand down time-period or the time-period to conduct approved program integrity activities is valid for six months. After the six month period expires, the MCOP shall submit another deconfliction request to conduct activities as identified above to ensure that the requested action will not interfere in a law enforcement investigation. The deconfliction request must be granted by ODM for the MCOP to proceed with the requested action.

6. The Program Integrity Director may extend the stand down an additional six months upon the request of the AGO MFCU and a showing that the extension is warranted.
7. This provision does not apply to federal cases, joint task force cases or other cases which are not under the AGO MFCU's control.

iii. Recoupments and Recoveries

1. The MCOP may not act to recoup improperly paid funds or withhold funds potentially due to a provider when the issues, services or claims upon which the recoupment or withhold is based on the following:
 - a. The improperly paid funds were recovered from the provider by ODM, the State of Ohio, the federal government or their designees, as part of a criminal prosecution where the MCOP had no right of participation, or
 - b. The improperly paid funds are currently being investigated by the State of Ohio, are the subject of pending federal or state litigation or investigation, or are being audited by ODM, the Ohio Auditor of State (AOS), CMS, OIG or their agents.
2. Absent any restrictions on recovery, the MCOP may otherwise recover from a provider any amount collected from the MCOP by ODM, the Ohio Auditor of State, the federal government, any other regulatory agency, or their designees, relating to an improper payment to such provider by the MCOP which resulted from an audit, review or investigation of the provider. The MCOP shall retain recovery rights to any amount paid to ODM when a provider self-reports an overpayment arising from a payment made by the MCOP to the provider.
3. The MCOP may recover overpayments made to providers if the overpayment is identified and the provider notified within two years of the date the MCOP improperly paid the provider, within 6 months of the AGO MFCU returning a fraud referral to the MCOP, within any applicable statute limitations for fraud, or if ODM recovers an overpayment made by the MCOP to the provider directly from the MCOP, whichever is later. ODM may recover overpayments made to the MCOP or made by the MCOP to a provider under the time limits in R.C. 5164.57.
4. The MCOP shall notify ODM when it proposes to recoup or withhold improperly

paid funds already paid or potentially due to a provider and obtain ODM approval to recoup or withhold, prior to taking action.

This provision does not apply to any amount of a recovery to be retained under False Claims Act cases or through other investigations.

- n. An MCOP that is not a qualified health maintenance organization shall report to ODM a description of certain transactions with parties of interest as outlined in Section 1903(m)(4)(A) of SSA [42 U.S.C. 1396b(m)(4)(A)].
- o. **Treatment of Recoveries made by the MCOP from Overpayments to Providers.**
 - i. Pursuant to 42 CFR 438.608, the MCOP shall:
 - 1. Immediately notify ODM BPI if the MCOP acts to recoup an overpayment related to fraud, waste or abuse without requesting deconfliction. ODM BPI will issue written instructions, including any applicable timeframes, in response to the notification of overpayment and the MCOP shall comply with those instructions; and
 - 2. Require any network provider to report to the MCOP when it has received an overpayment, to return the overpayment to the MCOP within 60 calendar days after the date on which the overpayment was identified, and to notify the MCOP in writing of the reason for the overpayment.
 - ii. If the MCOP seeks to recoup an overpayment made to a provider, the MCOP shall provide the provider all of the details of the recoupment as specified in ORC section 5167.22.

This provision does not apply to any amount of a recovery to be retained under the False Claims Act cases or through other investigations.

- 4. **Data Certification.** Pursuant to 42 CFR 438.604 and 42 CFR 438.606, the MCOP is required to provide certification as to the accuracy, completeness, and truthfulness of data and documents submitted to ODM which may affect MCOP payment.
 - a. The MCOP shall submit the appropriate ODM-developed certification concurrently with the submission of the following data or documents:
 - i. Encounter Data, Care Management Data, and HEDIS IDSS Data/FAR as specified in Appendix L; and
 - ii. Prompt Pay Reports and Cost Reports as specified in Appendix J;
 - iii. Quarterly Inventory Reports as specified in Appendix I.
 - b. The above MCOP data submissions shall be certified by one of the following:

- i. The MCOP's Chief Executive Officer;
 - ii. The MCOP's Chief Financial Officer; or
 - iii. An individual who has delegated authority to sign for, and who reports directly to, the MCOP's Chief Executive Officer or Chief Financial Officer. When the authorization is delegated to another MCOP employee, the CEO or CFO remains responsible.
 - c. The MCOP shall provide certification as to the accuracy, completeness, and truthfulness of additional submissions.
5. **Explanation of Benefits (EOB) Mailings.** Pursuant to 42 CFR 455.20, the MCOP shall have a method for verifying with enrollees whether services billed by providers were received; therefore, the MCOP is required to conduct a mailing of EOBs to a 95% confidence level (plus or minus 5% margin of error) random sample of the MCOP's enrollees once a year. As an option, the MCOP may meet this requirement by using a strategy targeting services or areas of concern as long as they number of mailed EOBs is no less than the number generated by the random sample described above. Any MCOP opting to use a targeted mailing shall submit the proposed strategy in writing to ODM and receive written prior approval from ODM. The EOB mailing shall only include those members that have received health care services within the last six months, comply with all state and federal regulations regarding release of personal health information, outline the recent services identified as having been provided to the enrollee and request the enrollee report any discrepancies to the MCOP. As specified in Appendix T, Chart of Deliverables, the MCOP shall inform the Program Integrity Liaison for Managed Care and their Contract Administrator of the date of the EOB mailing and provide results of the mailing 60 to 90 calendar days after the mailing (i.e., number mailed, number of enrollees reporting discrepancies). The MCOP shall perform ad hoc EOB targeted mailings at the request of the Program Integrity Director.
6. **Breaches of Protected Health Information.** As specified in Appendix T, Chart of Deliverables, the MCOP shall submit an annual report to ODM regarding the number of breaches of protected health information (PHI) and specify how many breaches were reported to HHS as required by 45 CFR 164.408(b) and (c).
7. **Waiver Integrity Reporting Requirements.** The MCOP shall perform unit of service /claims validation for waiver services claims in accordance with Ohio's approved 1915(c) waiver and shall respond promptly to requests for claims verification in support of Provider Certification and Structural Compliance processes administered by ODM, ODA or their designee. In accordance with ODM's 1915(c) CMS-approved waiver, the MCOP shall report, as specified in Appendix T, Chart of Deliverables, the following information to ODM:
 - a. In accordance with ODM's 1915(c) CMS-approved waiver, the MCOP shall report semi-annually (January 31 and July 31) or as requested by ODM the number and percent of waiver services claims that have been verified through a review of provider documentation to have been paid in accordance with individuals' person-centered service plans. The MCOP shall review a representative sample stratified by waiver service type, with a confidence interval of 95% with a margin of error of +/- 5%.

- b. The MCOP shall report semi-annually (January 31 and July 31) or as requested by ODM the number and percent of claims identified in a., above, for which the MCOP recovered payment. The report shall include verifications that cover the entire period back to the MCOP's MyCare Ohio start-up date.
 - c. The MCOP shall report the number of providers and members affected in regard to subparagraphs a. and b. above. This information is also due on January 31 and July 31.
 - d. The MCOP shall submit to ODM on an annual basis (July 31) a copy of its independently audited annual financial reports. These annual financial reports shall be audited in accordance with Generally Accepted Auditing Standards by an independent certified public accountant.
8. **Cooperation with State and Federal Authorities.** The MCOP shall provide all data, documentation, information, and other records requested by ODM, the Ohio Attorney General, the Auditor of State, law enforcement, etc. in the manner and format requested; unless an exception is granted by ODM's Director of Program Integrity, the MCOP shall provide the data within thirty calendar days. The MCOP shall cooperate fully with State and Federal Authorities and:
- a. The MCOP shall cooperate fully in any investigation or prosecution by any duly authorized government agency, whether administrative, civil, or criminal including providing, upon request, information, access to records, and access to interview MCOP subcontractors, employees, and consultants in any manner related to the investigation, and witnesses for trial and other legal or administrative proceedings. The MCOP shall provide the information requested, even if the information is housed with the MCOP's subcontractor or vendor. The MCOP shall fulfill the request(s) for production of information, records, and witnesses, as well as, other items requested by law enforcement's interview within 30 days, unless the MCOP received leave from ODM to extend the time.
 - b. The MCOP, subcontractors and the MCOP's providers, shall, upon request, make available to ODM BPI, ODM OMC and AGO MFCU/OIG any and all administrative, financial and medical records relating to the delivery of items or services for which ODM monies are expended. Such records will be made available at no cost to the requesting entity.
 - c. The MCOP must inform ODM before providing Ohio Medicaid related information to state and federal authorities. .

The sanctions for noncompliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX J

FINANCIAL PERFORMANCE

1. Pursuant to Section 2.13, Financial Requirements, of the Three-Way Contract, as specified in Appendix T, Chart of Deliverables, the MyCare Ohio Plan (MCOP) shall adhere to the financial measures, standards, and reporting requirements contained therein.
2. As specified in Appendix T, Chart of Deliverables, the MCOP shall adhere to the prompt pay standards set forth in Section 5.1.9. of the Three-Way Contract.
3. As specified in Appendix T, Chart of Deliverables, annual and quarterly cost reports shall be revised in accordance with the actuaries' observation log or as otherwise instructed by ODM.
4. In keeping with the requirements set forth in 42 CFR 438.8, for its opt-out population, the MCOP shall comply with documentation and submission requirements as specified by ODM for the annual MLR calculation.

APPENDIX K
QUALITY CARE

This appendix establishes program requirements and expectations related to the MyCare Ohio Plan's (MCOP's) responsibilities for developing and implementing a care delivery model, which includes the establishment of a primary care provider for individuals; health promotion and wellness activities; a care management program; and utilization management programs. The MCOP shall also develop Quality Assessment and Performance Improvement programs and participate in external quality review activities. These program requirements are applicable to dual benefits (opt in) members and Medicaid only (opt out) members and support the priorities and goals set forth in the Ohio Medicaid Quality Strategy.

1. Care Delivery Model.

- a. **Primary Care.** In accordance with Section 2.5.1 of the Three-Way, the MCOP is required to ensure each Medicaid only member has a primary care provider who will serve as an ongoing source of primary and preventive care and will perform care coordination activities appropriate to the member's needs.
- b. **Health Promotion and Wellness Activities.** In accordance with Section 2.5.2 of the Three-Way, the MCOP shall develop and offer a range of health and wellness programs and informational material that target specific health needs and risk behaviors identified for the MCOP's membership.
- c. **Direct Access to Specialists.** In accordance with Section 2.6.1.16 of the Three-Way, the MCOP shall implement a provision for members, specifically those with special health care needs, to directly access a specialist (e.g., for an approved number of visits or a standing referral) as appropriate for the member's condition and health care needs. The MCOP shall inform members of their right to directly access a specialist.
- d. **Transitions of Care.** The MCOP shall effectively and comprehensively manage transitions of care between settings in order to prevent unplanned or unnecessary readmissions, emergency department visits, and/or adverse outcomes. The MCOP shall at a minimum:
 - i. Identify members who require assistance transitioning between care settings;
 - ii. Develop a method for evaluating risk of readmission in order to determine the intensity and urgency of follow up required for the member after the date of discharge;
 - iii. Designate MCOP staff who will regularly communicate with the discharging facility and inform the facility of the designated MCOP contacts;
 - iv. Ensure timely notification and receipt of admission dates, discharge dates, and clinical information is communicated between internal MCOP departments and between care settings, as appropriate;

- v. Participate in discharge planning activities with the facility including making arrangements for safe discharge placement and facilitating clinical hand-offs between the discharging facility and the MCOP;
 - vi. Obtain a copy of the discharge/transition plan;
 - vii. Arrange for services specified in the discharge/transition plan; and
 - viii. Conduct timely follow up with the member and member's providers to ensure post discharge services have been provided.
 - ix. When the MCOP is contacted by an inpatient facility for the MCOP's member, who is not identified in 1.f.i and 1.f.ii, with a request for assistance with discharge planning, the MCOP shall initiate and implement steps 1.f.iii – viii, as applicable, to ensure adequate discharge planning occurs for the member.
 - x. The MCOP shall ensure the transition/discharge plan and post-discharge services are integrated into the member's care plan. Upon request, the MCOP may be required to submit the transition of care strategy as prescribed by ODM for approval.
- e. **Assessments.** Pursuant to Section 2.5.3.2.1. of the Three-Way, the MCOP must have a clear description for conducting or arranging for an assessment that is appropriate for the member's unique circumstances and needs (e.g. medical, behavioral, LTSS, and social needs).
- i. The MCOP shall use the ODM-standardized health risk assessment tool or incorporate the standardized health risk assessment questions into the MCOP's current Assessment no later than July 1, 2019.
 - ii. The MCOP is not required to conduct a new initial comprehensive assessment or annual reassessment if an assessment or reassessment was previously conducted by the current or prior MCOP and one of the following conditions apply:
 - 1. A member remains enrolled with the MCOP; or
 - 2. A member was previously enrolled with the current MCOP in the prior 90 calendar days; or
 - 3. A member had an assessment completed with a prior MCOP and the assessment was transferred from the disenrolling MCOP to the enrolling MCOP per Appendix C.
 - iii. Updates to the initial assessment shall comply with Section 2.5.3.2.1.8 of the Three-Way agreement.

- f. **Care Management Program Requirements.** Pursuant to Section 2.5.3 of the Three-Way, the MCOP shall provide care management services to all members, including dual benefits and Medicaid only. In addition, the MCOP shall also adhere to the following requirements:
- i. For Medicaid only members, the MCOP shall coordinate with any Medicare Advantage Plan that is the primary payer of Medicare services, if applicable, in an effort to reduce gaps or duplication of services.
 - ii. The MCOP shall also adhere to all operational standards articulated in the approved Ohio Home and Community-Based Services 1915I waiver for MyCare Ohio.
 - iii. In accordance with federal regulations, the MCOP must obtain a signature from any waiver service provider acknowledging and affirming agreement to provide the service as authorized on the person-centered service plan per ODM's specifications by December 31, 2018.
 - iv. The MCOP shall provide identified ODM staff access to the MCOP's care management system to reduce administrative burden on the MCOP and ODM, and to improve the efficiency of ongoing incident management and other health, safety, and welfare reviews or investigations of reportable incidents in accordance with OAC rule 5160-44-05.
- g. **Member Safeguards.** The MCOP is required to develop and implement safeguards, systems, and processes to detect, prevent, and mitigate harm and/or risk factors that could impact an individual's health, welfare, and safety. When the MCOP identifies or becomes aware of risk factors, it shall put in place services and supports to mitigate and address the identified issues as expeditiously as the situation warrants.
- i. When a member enrolled in waiver services poses, or continues to pose, a risk to his or her health, safety, and welfare, the MCOP shall develop and implement a health and safety action plan between the MCOP, the member and/or the legal guardian, as applicable. For a member who is not enrolled in waiver services, a health and safety action plan may be used as a tool to mitigate harm and/or risk factors. The health and safety action plan shall identify the risks and set forth interventions recommended by the MCOP to remedy risks to the individual's health, safety, and welfare. The MCOP's process for development and implementation of a health and safety action plan shall be in accordance with ODM's specifications, as described in ODM's "Health and Safety Action Plan Guidance", as a mechanism to facilitate the MCOP's ability to ensure an individual's health, welfare, and safety. The MCOP shall document, in the clinical record, the member's consent or refusal to sign the health and safety action plan, and/or lack of adherence to the agreed upon actions or interventions. The MCOP may submit a request for disenrollment from the 1915(c) waiver, for ODM consideration, when it is believed the health, welfare, and safety of the member cannot be ensured on the waiver program.
 - ii. ODM or its designee will conduct administrative reviews, in-home checks, and/or other oversight activities to ensure an individual's health, welfare, and safety. The penalties

for noncompliance that places a member at risk for a negative health outcome or jeopardizes the health, safety, and welfare of the member are located in Appendix N.

- iii. Once the MCOP is notified by ODM of a current or planned loss of provider who delivers ongoing services, including, but not limited to, home health, nursing facilities, etc. the MCOP must immediately identify which individuals are authorized to receive services and ensure that health and safety needs are met (e.g., securing informal support, etc.). The MCOP shall support the individual with selecting a new provider and ensure documentation is reflective of the individual's choice of MCOP-contracted service providers. For a planned loss of a provider, this support should be initiated as expeditiously as possible prior to the provider's end of service date. For a current loss of a provider, support should be initiated no later than two business days after the notification, but as expeditiously as possible.
- h. **Conflict Free Care Management.** The MCOP shall abide by the conflict free case management standards set forth in 42 CFR 441.301(c)(1)(vi) and 42 CFR 441.730(b). The MCOP shall submit attestation upon ODM request that conflict free case management standards are being followed by all care managers and waiver service coordinators, including any delegated entities.
- i. **Care Management Training Attestation.** The MCOP shall annually attest that professional training sessions have been conducted for MCOP Care Managers, Transdisciplinary Care Team Members and Waiver Service Coordinators in accordance with the Three-way Contract, Section 2.5.3.4.1. Newly hired Care Managers and Waiver Service Coordinators must receive training before assignment of any cases.
- j. **Care Management Staffing.** The MCOP shall employ a methodology for assigning consistent and appropriate caseloads for care managers that ensures health, welfare, and safety for members. The MCOP shall incorporate the following factors into its caseload assignment methodology:
 - i. Population;
 - ii. Acuity status mix;
 - iii. Care manager qualifications, years of experience, and responsibilities;
 - iv. Provision of support staff; location of care manager (community, MCOP office, provider office);
 - v. Geographic proximity of care manager to members (if community based); and
 - vi. Access to and capabilities of technology/IT systems.

The MCOP shall ensure there is a method to periodically evaluate caseload assignments, including identification of circumstances that automatically trigger a review or adjustment of caseload sizes. The MCOP shall submit a description of the methodology to ODM as specified and when requested.

- k. **Care Management Performance Reviews.** ODM will evaluate the MCOP's care management performance via reviews conducted by ODM, or its designee, in accordance with the MyCare Care Management Performance Review Scoring Methodology.
 - i. **Measure:** Overall percentage of cases reviewed that received a met rating on the care management performance focus elements.
 - ii. **Measurement Periods:** TBD
 - iii. **Minimum Performance Standard:** TBD
- l. **Measures, Measurement Periods and Compliance Determination.** ODM reserves the right to revise the measures and measurement periods established in this appendix (and their corresponding periods), as needed due to unforeseen circumstances. Unless otherwise noted, the most recent report or study finalized prior to the end of the contract period will be used in determining the MCOP's performance level for that contract period. In the event the MCOP's performance cannot be evaluated for a care management program evaluation measure and measurement period established in this appendix, ODM in its sole discretion will deem the MCOP to have met or to have not the standard(s) for that particular measure and measurement period depending on the circumstances involved.
- m. **Data Submission:** The MCOP shall submit four electronic files as follows:
 - i. **Population Stream.** The MCOP shall submit to ODM a file that contains a population stream for all specified members. The assigned population stream shall align with ODM's population streams: women's health, behavioral health, chronic condition, and healthy adults. Requirements for this file submission are specified in MyCare Ohio Population Stream Data Submission Specifications and as specified in Appendix T, Chart of Deliverables.
 - ii. **Risk Stratification Level.** The MCOP shall submit a file to ODM that contains a risk stratification for all specified members. The assigned risk stratification level will be intensive, high, medium, low or monitoring. Requirements for this file submission are specified in the MyCare Ohio Risk Stratification Data Submission Specifications and as specified in Appendix T, Chart of Deliverables.
 - iii. **Care Management Status.** The MCOP shall submit a file to ODM that contains a care management status for all specified members. The three care management status indicators are outreach and coordination, engaged, and inactive. Requirements for this file submission are specified in the MyCare Ohio Care Management Status Submission specifications and as specified in Appendix T, Chart of Deliverables.
 - iv. **Health Risk Assessment.** As specified in Appendix T, Chart of Deliverables, the MCOP shall submit a file to ODM that contains health risk assessment results for all specified members. Requirements for this file submission are specified in MyCare Ohio Health Risk Assessment Submission Specifications.

Submissions to ODM will occur quarterly and in accordance with the specifications referenced in 1.k.i-iv.

- n. **HCBS Waiver Operational Reporting Requirements.** As specified in Appendix T, Chart of Deliverables, the MCOP shall report the following to ODM on the 15th of July, October, January, and April of each calendar year:
- i. Total number of individuals who have a health and safety action plan by the following categories: drug/alcohol issues, unsafe smoking, noncompliance with healthcare, other.
 - ii. Total number of individuals with behavior support plans by category: mechanical restraints, chemical restraints, physical, seclusion, and restrictive interventions.
 - iii. Total number of behavior support plans by category as indicated above by authorizing entity: physician, psychologist, county board of developmental disabilities, and other behavioral health professional.
 - iv. Total number of individuals with behavior support plans for which the MCOP activated the behavioral support plan with an indication of the used restraint or seclusion.
 - v. Total number of individuals with behavior support plans for which the MCOP activated the behavioral support plan with an indication of the restrictive intervention used.
 - vi. In the event the MCOP activates the Emergency Response Plan (ERP) pursuant to Section 2.5.3.3.5.4.6 of the Three-Way, the MCOP shall document the outcomes of the ERP and submit to ODM when requested.
- o. **Waiver Service Coordination Assignment.** Pursuant to the Three-Way, the MCOP is required to contract with AAAs and may contract with other entities with experience working with people with disabilities as the primary waiver service coordination option for individuals age 60 and older.
- i. The MCOP may assume the responsibility of waiver service coordination entity for any individual regardless of age, if the individual selects or requests a change in the waiver service coordination entity, or if the MCOP, CMS or ODM identify a performance issue that affects an individual's health, welfare, and safety.
 - ii. The MCOP shall complete the "Monthly Waiver Service Coordination Log" provided by ODM. The monthly log will reflect the number of waiver service coordination assignments for individuals age 60 and older to the MCOP and AAA. The MCOP will make these logs available to ODM upon request.
 - iii. The MCOP shall share with any AAA that performs waiver service coordination for the MCOP's waiver members the following data elements: care plans, most recent comprehensive assessment and due dates, risk stratification and approved contact schedule, claims including inpatient hospitalizations, emergency departments and waiver services, and risk agreements, as applicable.

- p. **Specialized Recovery Services (SRS) Program.** Members who may be eligible to receive Specialized Recovery Services (i.e., recovery management, peer recovery support and individualized placement and support – supported employment), will be assigned a recovery manager who will perform assessments, person-centered planning, and coordination of SRS once determined eligible. Recovery managers will be employed by an Independent Entity. As such, the MCOP is not permitted to perform recovery management services and shall contract with at least one Independent Entity in the MyCare Ohio service area.
- i. The MCOP is responsible for the payment of SRS. The MCOP shall allow members to maintain current service levels at the time of enrollment for at least 180 calendar days after the initial enrollment effective date with the MCOP. After a beneficiary's transition period concludes, the MCOP may prior authorize SRS in accordance with 42 CFR 438.210.
 - ii. The MCOP will include the recovery manager as part of the member's MyCare Ohio care management team. The SRS person-centered care plan will be integrated into the member's comprehensive care plan. The MCOP's care manager will adhere to ODM's incident management rule specified in OAC 5160-44-05. If an incident is reported to the MyCare care manager for a member receiving SRS, the care manager shall inform the recovery manager. Prevention plans will be jointly developed by the MCOP care manager and the recovery manager.
 - iii. The MCOP will refer a member who is potentially eligible for SRS to its contracted Recovery Management Agency to initiate the SRS eligibility determination process.
 - iv. The MCOP must adhere to all operational requirements in the 1915(i) state plan and Ohio Administrative Code (OAC) Chapter 5160-43.
 - v. The MCOP must ensure that contracted Recovery Management Agencies comply with operational requirements, including contact and care plan requirements as stated in OAC Chapter 5160-43, the 1915(i) State Plan Amendment, and the Recovery Management Guide.
- q. **HOME Choice.** HOME Choice is a program designed to assist eligible individuals in moving from institutional settings to community settings. This program will work in tandem with other Medicaid services and community supports, including home and community-based services waiver programs. The MCOP shall adhere to the following:
- i. Upon request from HOME Choice staff or their designated entity, the MCOP shall submit a level of care assessment request to the local Area Agency on Aging (AAA).
 - ii. The MCOP shall authorize community transition services for waiver consumers as appropriate and needed, in accordance with OAC 5160-44-26.

- iii. The MCOP shall reimburse authorized community transition services purchases upon invoicing from the Community Transition Services provider.
2. **Quality Improvement (QI) Program.** For the purposes of this Agreement, ODM defines “quality improvement” as a deliberate and defined, science-informed approach that is responsive to member needs and incorporates reliable methods for improving population health. Consistent with this definition, the MCOP shall make continuous and ongoing efforts to achieve measurable improvements in efficiency, effectiveness, performance, accountability, outcomes and other indicators of quality in services or processes that achieve equity and improve population health.
- a. **Quality Assessment & Performance Improvement (QAPI).** In accordance with 42 CFR 438.330, the MCOP shall establish & implement an ongoing comprehensive QAPI program for the services it furnishes to its enrollees. As specified in Appendix T, Chart of Deliverables, updates to the MCOP’s QI program shall be submitted to ODM annually within the QAPI template and shall include, but not be limited to, the following elements:
 - i. **QI Program Structure.** The MCOP’s quality improvement efforts shall be integrated throughout the organization so that staff at all levels of the organization are (1) fully equipped and have a commitment to improving health outcomes, (2) the results of successful and unsuccessful QI efforts are openly and transparently communicated across the organization and externally in order to foster a culture of innovation in which lessons are quickly learned from failures and successes are sustained and spread, and (3) staff across all levels of the organization are empowered to seek out the root cause of problems and collaboratively test improvement strategies.
 - ii. **Administrative Oversight.** The MCOP shall establish appropriate administrative oversight arrangements and accountability for the QAPI program. This includes: assignment of a senior QI leadership team responsible for the QI program (e.g., Quality Improvement Director, Medical Director) with a specific focus on the use of improvement projects to optimize health outcomes and reduce disparities; provision for ongoing transparent communication and coordination between the QI leadership team, the CEO and relevant functional areas of the organization; assurance that the Medical Director is involved in all clinically-related projects, and a commitment to providing staff at all levels across the organization with the appropriate education, experience, training, and authority to test and implement improvements that promote population health.
 - b. **Senior QI Leadership Team.** The MCOP’s senior-level QI leadership team provides direction and routine oversight of improvement initiatives. The senior-leadership team is responsible for ensuring that all improvement activities are evaluated on an ongoing basis and that results are used to inform future activities.

The lead for this team shall report directly to the organization’s CEO. The team shall manage the organization’s QI portfolio and shall be responsible for promoting a culture of QI throughout the organization with improved health outcomes and reductions in health disparities for the Medicaid population as the primary goals. The MCOP shall indicate commitment to improved outcomes and encourage improvement at all levels of the organization through activities that may include the following: clearly linking the MCOP’s quality improvement strategy to the

organization's and ODM's mission and vision, integrating the voices of members and providers into quality improvement activities (e.g., GEMBA walks, active involvement on QI teams) to determine barriers and intervention strategies, developing the capacity of MCOP staff at all levels of the organization to apply quality improvement tools and principles, dedicating resources and tools to quality initiatives, consistently and frequently using data and analytics strategically to identify improvement opportunities, and track improvement initiative success, transparently sharing quality improvement opportunities and the results of quality improvement initiatives throughout the organization and with ODM.

The MCOP senior level QI leadership team structure should include:

- i. Position role and responsibility on the QI leadership team;
- ii. Quality improvement training and experience;
- iii. The role of each team member in the quality improvement process;
- iv. Framework for frequently and transparently sharing information and data throughout the organization to inform improvement activities (e.g. dashboards; newsletters; staff meetings);
- v. Dedicated analytic and project management support;
- vi. Methods for identifying and assigning needed quality improvement resources;
- vii. Methods for building and sustaining quality improvement culture and capacity throughout the organization;

The MCOP shall have established an ODM-approved, senior leadership QI structure that is responsible for ensuring continual improvement of the quality of care and services and championing improvement efforts through such high-impact leadership activities as described in *High-Impact Leadership: Improve Care, Improve the Health of Populations, and Reduce Costs*.

- c. **QI Initiative Staffing.** The MCOP shall develop an organization-wide QI culture with dedicated staff devoted to fulfilling a set of clearly defined QI functions and responsibilities that are proportionate to, and adequate for, the planned number and types of QI initiatives. This staffing shall ensure the effectiveness of initiatives on a small scale through quality improvement science-based methods prior to plan-wide implementation, as well as allowing for long-term maintenance and spread of effective efforts.
 - i. **Quality Improvement Teams.** Quality improvement teams shall be composed of MCOP staff dedicated to the Ohio Medicaid line of business that represent the following areas of expertise:
 1. Continuous quality improvement,

2. Analytics,
3. Subject matter expertise in clinical and/or nonclinical improvement topic(s) being addressed through improvement efforts,
4. Health equity,
5. Member- and provider-perspectives; and
6. MCOP policies and processes related to the topic.

Team members shall be empowered to test and promote improved MCOP operations, as illustrated by at least one member of the team having decision-making authority for testing and evaluating changes to plan processes as part of quality improvement activities.

In order for improvement projects to actively incorporate the perspective of members and providers and be responsive to areas identified for improvement, at least one member of the team shall be designated as the direct contact for physician and/or member partners. Direct contacts for physician or member partners in the QI effort help ensure the voice of the customer is integrated into improvement efforts. These individuals may be staff of or liaisons with the plan member and provider services.

ii. Required QI Responsibilities.

1. Use of Plan-Do-Study-Act (PDSA) cycles, along with frequent and ongoing data analysis to quickly determine the need for, choice of, and effectiveness of interventions.
2. Use of data to identify improvement opportunities, as well as longitudinal data monitoring and analysis using methods such as statistical process control to differentiate common and special cause variation in order to identify successes and additional opportunities for improvement.
3. Frequent communication with MCOP staff, improvement project team members, the senior leadership team regarding improvement data, lessons learned, opportunities, and progress.
4. Full preparation for and active participation in ODM-sponsored QI meetings and trainings
5. Inter-and intra-organization collaboration to further ODM's quality goals.
6. Analyzing data to identify disparities in services and/or care and tailoring interventions to specific populations when needed in order to reduce disparities

7. Active incorporation of member and provider perspectives into improvement activities

- d. **QI Capacity Building.** The MCOP shall build internal quality improvement capacity at all levels of the organization through investment in staff training and hands-on application of ODM-approved quality improvement science tools, methods, and principles in daily work and strategic initiatives.

As a foundation to build upon, MCOP Medical Directors, Quality Improvement Directors, analytic support staff, and at least one MCOP staff person assigned to each improvement team shall complete training, from an ODM approved entity, which includes the active application of rapid cycle quality improvement tools and methods. The MCOP's QI capacity building efforts shall be clearly illustrated in the annual QAPI submission.

This QI training does not substitute for the certification required in Section 2.2 of the Three-Way.

- e. **QI Training Content.** Content shall include, but not be limited to:
- i. The Model for Improvement developed by the Associates in Process Improvement and popularized by the Institute for Healthcare Improvement (IHI);
 - ii. Edward W. Deming's System of Profound Knowledge;
 - iii. Listening to and incorporating the Voice of the Customer (VOC);
 - iv. Process mapping/flow charting;
 - v. SMART Aim development and the use of key driver diagrams for building testable hypotheses;
 - vi. Methods for barrier identification and intervention selection (e.g., root cause analyses, Pareto charts, failure mode and effects analysis, the 5 whys technique, etc.);
 - vii. Selection and use of process, outcome, and balancing measures;
 - viii. Testing change through the use of PDSA cycles;
 - ix. The use of statistical process control, such as the Shewart control chart; and
 - x. Tools for spread and sustainability planning.
- f. **QI Training Completion.** Training curricula for staff outlined in this appendix shall be submitted to ODM for approval prior to enrollment. Evidence of training completion shall be submitted as specified by ODM within one month of completion.

- g. **Applying QI Training Concepts.** During and subsequent to quality improvement training, MCOP staff shall actively be involved as team members in at least one quality improvement project in order to continue to build the quality improvement capacity of the MCOP. Active involvement in quality improvement projects involves the applying of quality improvement tools, methods and concepts to a clinical or nonclinical problem, including: analyzing data to determine opportunities for improvement, process mapping, simplified failure mode and effects analysis, root cause determination, barrier assessment, intervention design and testing using PDSA cycles, and longitudinal measurement, and assessment of intervention impact on outcome measures using statistical process control methods. Improvement projects shall include the perspective of those whose outcomes are being improved (i.e., members)
- h. **QI Training Exemptions.** MCOP staff may be exempted from the training requirement if one of the following is completed within the two years prior to this contract's effective date: 1) an accredited/certified education course in quality improvement science or 2) satisfactory completion of NCQA, CPHQ or ASQ CQIA certification. Medical Directors with a substantial role in improvement projects or who are accountable for the QAPI program, as well as Quality Improvement Directors who are hired after July 1, 2016, shall complete the course work within six (6) months of their start date unless they have evidence of course completion within the two years prior to their effective start date, in which case they are exempt.
- i. **ODM funded QI training efforts.** MCOP staff at all levels of the organization shall be required to participate in all ODM-funded QI training, as illustrated by being prepared for class and ODM QI meetings, active engagement in class activities and QI meetings, meeting with team and sponsor prior to class and QI meetings, and applying learned concepts to current MCOP improvement projects
- j. **MCOP Quality Improvement Strategy.** The MCOP shall submit a clearly delineated, outcomes-driven strategy for improvement as part of its annual QAPI submission. The strategy shall measure, analyze, and track performance indicators that reflect the ODM Quality Strategy population health focus, including: population streams (e.g., women's health, chronic conditions, and behavioral health), value based purchasing strategies (e.g., comprehensive primary care, episode-based payments), and health equity focus. The MCOP's quality improvement strategy shall, at minimum describe:
 - i. The MCOP leadership team, including leadership positions and how each role supports and champions the MCOP's quality improvement strategy and related initiatives and projects;
 - ii. How the MCOP strategy aligns with the ODM Quality Strategy, including how the MCOP will collaborate with other MCOPs on ODM directed population health efforts;
 - iii. The MCOP's quality improvement initiatives, including:
 - 1. How the initiative relates to other MCOP initiatives and the current MCOP and

ODM quality strategies;

2. Criteria considered when choosing and prioritizing the MCOP's improvement projects and initiatives by population stream;
 3. The process for identifying the root causes of prioritized improvement initiatives;
 4. The theory of change for each improvement project (i.e., cause and effect diagrams, key driver diagrams);
 5. The process for incorporating the voice of the customer (e.g., member, provider) into continual efforts to identify areas for improvement, design and prioritize interventions, and improve services and population health;
 6. The roles and responsibilities of staff assigned to the project and resources allocation to support the improvement effort;
 7. Baseline, measures, and measure frequency, target goals and the timeline for their achievement;
 8. How newly identified areas for improvement from data analysis and customer input, as well as from the previous year's evaluation are reflected in the MCOP's quality strategy; and
 9. The development and implementation of mechanisms for sustaining and spreading improvement in health outcomes, enrollee satisfaction, and other targets of improvement efforts.
- k. **Improvement Projects.** For the purposes of this Agreement, ODM defines "improvement projects" as projects using rapid-cycle continuous quality improvement methods to identify and address root causes of poor outcomes which prioritize and test interventions, monitor intervention results, and sustain and scale up interventions found through testing to improve health outcomes, quality of life, and satisfaction of providers and consumers.

MCOP leadership shall sponsor improvement projects by regularly monitoring project progress and assigning appropriate staffing resources as described in this appendix. In addition to operationalizing the MCOP's improvement strategy, improvement projects shall be designed and implemented to build confidence among internal and external customers regarding the MCOP's commitment to population health and focus on continuous improvement of services and outcomes.

The MCOP shall evaluate all improvement projects, interventions, and initiatives and integrate the results into its overall quality assessment and improvement program.

The MCOP shall use ongoing analysis, data feedback, and the associated learning to determine

improvement subjects and interventions. Knowledge gained from successful and unsuccessful intervention testing within improvement projects, as well as project outcomes, shall be shared, as specified by ODM, across MCOPs and with ODM to improve population health planning statewide.

- I. **Performance Improvement Projects.** In accordance with 42 CFR 438.330, the MCOP shall conduct clinical and non-clinical performance improvement projects (PIPs) using rapid cycle quality improvement science techniques. The MCOP shall adhere to ODM-specified reporting, submission and frequency guidelines during the life of the PIP, and establish and implement mechanisms for sustaining successful interventions and maintaining improvement gains.
 - i. Upon request, the MCOP shall also provide longitudinal data demonstrating sustained improvement following the final validation of the PIP by ODM's external quality review organization (EQRO). The MCOP shall initiate and complete PIPs in topics selected by ODM. All PIPs designed and implemented by the MCOP shall be approved by ODM.
 - ii. The EQRO will assist the MCOP with the development and implementation of at least one PIP by providing technical assistance and will annually validate the PIPs in accordance with the Centers for Medicare and Medicaid Services' protocols.
- m. **Quality Improvement Projects and Chronic Condition Improvement Projects.** Quality Improvement Projects (QIPs) and Chronic Condition Improvement Projects (CCIPs) use rapid cycle quality improvement science principles and may be required by the state or initiated by the MCOP. Like PIPs, the QIPs and CCIPs can focus on clinical or non-clinical areas, are intended to achieve significant and sustained improvement over time, and have favorable effects on health outcomes, quality of life, and provider/consumer satisfaction. Although QIPs are not validated by the EQRO, the MCOP shall adhere to ODM-specified reporting and submission requirements. The MCOP shall actively participate in all improvement initiatives facilitated by ODM, the EQRO, or both. This includes improvement projects focused on each population stream, MCOP support of primary care practices, and efforts with other state agencies, quality collaboratives and community based organizations impacting MCOP membership. MCOP participation shall also be required in ODM-directed population health efforts that require collaboration between all MCOPs and may include standardization of program processes across plans.
- n. **Program Communication.** Each MCOP shall have a clearly defined communication strategy for quality improvement activities. This includes:
 - i. Mechanisms for data receipt and exchange, analyzing and interpreting data, and transparently and proactively involving stakeholders and partners in applying data to improvement efforts;
 - ii. A description, including lines and methods of communication, of the internal mechanisms used to frequently, transparently, and proactively communicate improvement status updates and results across the organization and to executive leadership;

- iii. Mechanisms for proactive, regular communication with ODM and/or EQRO staff regarding improvement opportunities and priorities, intervention successes, lessons learned, and future activities; and
 - iv. Responding promptly and transparently to data and information requests by ODM or the EQRO.
- o. **Clinical Practice Guidelines.** The MCOP’s QAPI shall describe how the MCOP will ensure that the clinical practice guidelines are valid and represent reliable clinical evidence or a consensus of healthcare professionals in a particular field. MCOPs shall follow the guidance in the QAPI submission template when describing this aspect of the program.
- p. **Assessment of Health Care Service Utilization.** The MCOP shall have mechanisms in place to detect under- and over-utilization of health care services. The MCOP shall follow the guidance in the QAPI submission template when specifying the mechanisms used to monitor utilization in the submission of the QAPI program to ODM. The MCOP shall ensure the utilization analysis documented in the QAPI is linked to ensuring population health outcomes and is incorporated into the quality strategy.
- i. Pursuant to the program integrity provisions outlined in Appendix I, the MCOP shall monitor for the potential under-utilization of services by its members in order to ensure all Medicaid-covered services are being provided, as required. If any underutilized services are identified, the MCOP shall immediately investigate the underutilization in order to determine root cause, take corrective action and monitor data over time to ensure the problem which resulted in such service underutilization has been corrected.
 - ii. The MCOP shall conduct an ongoing review of service denials and shall monitor utilization on an ongoing basis in order to identify services which may be underutilized.
- q. **Assessment of the Quality and Appropriateness of Care for Members with Special Health Care Needs and Enrollees Receiving Long-term Services and Supports.** The MCOP shall have mechanisms in place to assess the quality and appropriateness of care furnished to members with special health care needs. MCOPs shall follow the guidance in the QAPI submission template when describing and evaluating these aspects of the program.
- r. **Addressing Health Disparities.** The MCOP shall participate in, and support, ODM’s efforts to eliminate health disparities in Ohio. According to the U.S. Department of Health and Human Services’ Office of Minority Health, and for the purposes of this Agreement, a health disparity is “a particular type of health difference closely linked with social or economic disadvantage.” Health disparities adversely affect groups of people who have systematically experienced greater social and/or economic obstacles to health based on characteristics historically linked to discrimination or exclusion (e.g., race or ethnic group; religion; socioeconomic status; gender; age; mental health; cognitive, sensory or physical disability; sexual orientation; or geographic location).

- i. In support of ODM’s effort to achieve health equity, the MCOP shall collect and meaningfully use member-identified race, ethnicity, and language data to identify and reduce disparities in health care access, services, and outcomes. This includes, where possible, stratifying HEDIS and CAHPs, and Health Risk Assessment results by race, ethnicity, or other relevant demographics, and implementing a strategy to reduce identified disparities.
 - ii. The MCOP shall maintain health equity representatives who are actively involved in improvement initiatives to reduce disparities by: obtaining input from Medicaid-insured individuals and from providers of direct services which are intended to reduce adverse health outcomes among Medicaid insured individuals, determining the root cause of inequities, developing targeted interventions and measures, and collecting and analyzing data to track progress in disparity reduction efforts.
 - s. **Submission of Performance Measurement Data.** The MCOP shall submit data as required by ODM that enables ODM to calculate standard measures as defined in Appendices L and M. The MCOP shall also submit self-reported, audited Healthcare Effectiveness Data and Information Set (HEDIS) data (see ODM Methodology for MCOP Self-Reported, HEDIS-Audited Data) for performance measures set forth in Appendix M. A separate, duplicative submission of performance measurement data is not required as part of the annual QAPI submission.
 - t. **QAPI Program Impact and Effectiveness.** The MCOP shall evaluate the impact and effectiveness of each effort within the QAPI program, including efforts to reduce health disparities. The MCOP shall update the QAPI program based on the findings of the self-evaluation and submit both the evaluation results and updates annually to ODM for review and approval following the template provided in the QAPI guidance document. Evaluation should, at a minimum, include:
 - i. The outcomes and trended results of each improvement project, including documentation of successful and unsuccessful interventions;
 - ii. The results of any efforts to support community integration for enrollees using long-term services and supports; and
 - iii. How these results will be incorporated into the MCOP’s quality strategy.
- 3. **External Quality Review.** The MCOP shall participate in annual external quality review activities. The review will include but not be limited to the following activities:
 - a. Comprehensive Administrative compliance assessment review as required by 42 CFR 438.358 and as specified by ODM.
 - i. **Non-duplication Exemption.** In accordance with 42 CFR 438.360 and 438.362, an MCOP with accreditation from a national organization approved by the Centers for Medicare and Medicaid services may request to be exempted (deemed) from certain portions of

the administrative compliance assessment review. ODM will inform the MCOP when a non-duplication exemption may be requested.

- ii. The EQRO may conduct focused reviews of MCOP performance in the following domains which include, but are not limited to:
 - 1. Availability of services;
 - 2. Assurances of adequate capacity and services;
 - 3. Coordination and continuity of care;
 - 4. Coverage and authorization of services;
 - 5. Provider selection;
 - 6. Confidentiality;
 - 7. Grievance and appeal systems;
 - 8. Sub contractual relationships and delegation;
 - 9. Practice guidelines; and
 - 10. Health information systems
- b. Encounter data studies.
- c. Validation of performance measurement data.
- d. Review of information systems.
- e. Validation of performance improvement projects.
- f. Member satisfaction and/or quality of life surveys.
- g. The MCOP shall submit data and information, including member medical records, at no cost to, and as requested by, ODM or its designee for the annual external quality review activities.

The sanctions for noncompliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX L

DATA QUALITY

A high level of performance on the data quality standards and requirements established in this appendix is crucial in order for the Ohio Department of Medicaid (ODM) to determine the value of the MyCare Ohio Program and to evaluate MyCare Ohio members’ access to and quality of services. Encounter data collected from the MyCare Ohio Plans (MCOPs) is used in key performance assessments, such as: the external quality review, clinical performance measures, utilization review, care coordination and care management, and in determining quality withholds. The data will also be used in conjunction with the cost reports in setting the capitation rates. The Encounter Data Volume measures, as specified in this appendix, will be calculated separately per MCOP for all MyCare Ohio members receiving services from the MCOP. These measures will be calculated for Medicaid services for all MyCare Ohio members (opt-in and opt-out populations combined), and for Medicare services for the dual benefit members (opt-in population). All other encounter data quality measures, as specified in this appendix, will be calculated for each MCOP: Rejected Encounters, Acceptance Rate, Encounter Data Accuracy Study measure (Payment Accuracy), Incomplete Rendering Provider Data, NPI Provider Number Usage Without Medicaid/Reporting Provider Numbers, and Timeliness of Encounter Data Submission.

ODM reserves the right to revise the measures and report periods established in this appendix (and their corresponding compliance periods), as needed. Unless otherwise noted, the most recent report or study finalized prior to the end of the contract period will be used in determining the MCOP’s performance level for that contract period.

1. **Encounter Data.** For detailed descriptions of the encounter data quality measures below, see *ODM Methods for the MyCare Ohio Encounter Data Quality Measures*. The MCOP’s encounter data submissions will be assessed for completeness and accuracy per Section 2 of the Three-Way. The MCOP shall collect information from providers and report the data to ODM in accordance with program requirements established in Appendix C.

a. Encounter Data Completeness.

i. Encounter Data Volume (INFORMATIONAL ONLY)

1. **Measure.** The volume measure for each service category, as listed in the tables below, is the rate of utilization (e.g., admits, visits) per 1,000 member months (MM).
2. **Report Period.** The report periods for SFY 2022 and SFY 2023 contract periods are listed in Table 1 below. .

Table 1. Report Periods for Relevant SFY 2023 and SFY 2024 Contract Periods – Encounter Data Volume.

MCOP Quarterly Report Periods	Data Source (Estimated Encounter Data File Update)	Quarterly Report Estimated Issue Date	Contract Period
Qtr 3: 2020 – Qtr 4: 2021	August 2022	September 2022	SFY 2024

Qtr 4: 2020 – Qtr 1: 2022	November 2022	December 2022	
Qtr 1: 2021 – Qtr 2: 2022	February 2023	March 2023	
Qtr 2: 2021 – Qtr 3: 2022	May 2023	June 2023	
Qtr 3: 2021 – Qtr 4: 2022	August 2023	September 2023	
Qtr 4: 2021 – Qtr 1: 2023	November 2023	December 2023	
Qtr 1: 2022 – Qtr 2: 2023	February 2024	February 2024	
Qtr 2: 2022 – Qtr 3: 2023	May 2024	June 2024	

Qtr1 = January to March; Qtr2 = April to June; Qtr3 = July to September; Qtr 4 = October to December

3. Data Quality Standards. Informational Only

- ii. **Incomplete Billing Provider Data.** This measure is calculated per MCOP and includes all Ohio MCOP members receiving services from the MCOP. The NPI Provider Number Usage without Medicaid/Reporting Provider Numbers measure is calculated to ensure providers reported on encounters can be associated with Medicaid and/or Reporting providers in MITS or OMES.
 - 1. **Measure.** The percentage of institutional (837 I), professional (837 P), and dental (837 D) EDI transactions with an NPI provider number in the billing provider EDI data field that do not have a Medicaid or Reporting Provider Number in MITS or OMES.
 - 2. **Report Period.** The report periods for SFY 2022 and SFY 2023 contract periods are listed in Table 2 below. The MCOP shall meet or exceed the standard in all quarters of the report period.
 - 3. **Data Quality Standard.** Less than or equal to **6.0%**.

- iii. **Incomplete Rendering Provider Data.** This measure is calculated per MCOP and includes all Ohio MCOP members receiving services from the MCOP. The *Incomplete Rendering Provider Data* measure is calculated to ensure the MCOP is reporting individual-level rendering provider information to ODM, so that ODM complies with federal reporting requirements.
 - 1. **Measure.** The percentage of rendering providers reported on encounters without individual-level Medicaid and/or Reporting provider numbers as identified in the Medicaid Information Technology System (MITS) or Ohio Medicaid Enterprise System (OMES).
 - 2. **Report Period.** The report periods for SFY 2022 and SFY 2023 contract periods are listed in Table 2 below. The MCOP shall meet or exceed the standard in all quarters of the report period.
 - 3. **Data Quality Standard.** Less than or equal to 6.0%.

Table 2. SFY 2023 and SFY 20243 Contract Periods

Quarterly Measurement Periods	Data Source: Estimated Encounter Data File Update	Quarterly Report Estimated Issue Date	Contract Period
Qtr 1: 2020 thru Qtr 4: 2021	August 2022	September 2022	SFY 2023
Qtr 2: 2020 thru Qtr 1: 2022	November 2022	December 2022	
Qtr 3: 2020 thru Qtr 2: 2022	February 2023	March 2023	
Qtr 4: 2020 thru Qtr 3: 2022	May 2023	June 2023	
Qtr 1: 2021 thru Qtr 4: 2022	August 2023	September 2023	SFY 2024
Qtr 2: 2021 thru Qtr 1: 2023	November 2023	December 2023	
Qtr 3: 2021 thru Qtr 2: 2023	February 2024	March 2024	
Qtr 4: 2021 thru Qtr 3: 2023	May 2024	June 2024	

iv. **National Provider Identifier (NPI) for Ordering, Referring, and Prescribing (ORP)**

Providers. The MCOP must require an ORP provider’s NPI on a claim for any service that requires an order, referral, or prescription. The NPI for ORP Providers measure is calculated to ensure these providers reported on encounters can be verified by ODM in compliance with 42 CFR § 438.602 and 42 CFR § 455.410. This measure is calculated per MCOP and includes all members receiving services from the MCOP.

1. **Measure.** Percentage of EDI transactions with qualifying billing provider types and specialties with an NPI provider number in the ORP provider EDI data field that do not pass as having a valid NPI.

The following individual providers are eligible to order, refer, or prescribe within the Medicaid program and within their scope of practice:

- Physicians;
- Advanced Practice Registered Nurses;
- Psychologists;
- Podiatrists;
- Optometrists;
- Dentists;
- Chiropractors; and
- Physician Assistants

ORP requirements apply to all claims submitted by ORP providers as prescribed by ODM.

2. **Measurement Period.** The reporting periods for the current contract period are listed in Table 3 below. CY2021 report period is informational only (with April

2022) report issue date. Effective date for the ORP Measure was July 2021 report period.

Table 3. SFY 2023 and SFY 2024 Contract Periods

Report Period	Quarterly Report Estimated Issue Date	Contract Period
July – September 2022	January 2023	SFY 2023
October – December 2022	April 2023	
January – March 2023	July 2023	SFY 2024
April – June 2023	October 2023	SFY 2024
July – September 2023	January 2024	SFY 2024
October – December 2023	April 2024	SFY 2024

3. Data Quality Standard.

- a. SFY 2023: 70%
 - b. SFY 2024: TBD
- v. **Rejected Encounters.** Encounters submitted to ODM that are incomplete or inaccurate are rejected and reported back to the MCOP on the Exception Report. MCOPs must resubmit rejected encounters.

For this measure, a rejected encounter is defined as an encounter that is accepted into MITS or OMES but receives a threshold error during encounter processing. Encounters or files rejected at the translator or preprocessor are not included in this measure.

- 1. **Measure.** The percentage of encounters submitted to ODM that are rejected.
- 2. **Measurement Period.** For the SFY 2022 and 2023 contract periods, performance will be evaluated using the following measurement periods: July – September 2021; October-December 2021; January-March 2022; April – June 2022; July-September 2022; and October-December 2022.
- 3. **Data Quality Standard.** The data quality standard for this measure is a maximum data rejection rate for each file type in the ODM-specified format as follows:

837 Dental 25%

837 Institutional	20%
837 Professional	20%
NCPDP Pharmacy	20%

Information from ODM MyCare encounter reports for January 1, 2017 through June 30, 2017, were used as a baseline to set these data quality standards for this measure.

- vi. **Acceptance Rate.** This measure only applies to an MCOP that has had MCOP membership for one year or less.
 - 1. **Measure.** The rate of encounters submitted to ODM and accepted (i.e. accepted encounters per 1,000 member months).
 - 2. **Measurement Period.** The measurement period for this measure is monthly. Results are calculated and performance is monitored monthly. The first reporting month begins with the third month of enrollment.
 - 3. **Data Quality Standard.** The data quality standard is a monthly minimum accepted rate of encounters for each file type in the ODM-specified medium per format as follows:
 - a. **Third through sixth month with membership:** Not Applicable for SFY 2017.
 - b. **Seventh through twelfth month of membership:** Not Applicable for SFY 2017.
- b. **Encounter Data Accuracy Study.** The MCOP shall ensure collection and submission of accurate data to ODM. Failure to do so jeopardizes MCOP performance, credibility and, if not corrected, will be assumed to indicate a failure in actual performance.
 - i. **Measure.** This accuracy study will compare the accuracy and completeness of payment data stored in MCOP claims systems during the study period to payment data submitted to and accepted by ODM. The measure will be calculated per MCOP. Two levels of analysis will be conducted: one to evaluate encounter data completeness for which two rates will be calculated and one to evaluate payment data accuracy. Payment completeness and accuracy rates will be determined by aggregating data across claim types (i.e., professional, pharmacy, and institutional) and stratifying data by file type (i.e., header and detail). At a minimum, the additional components of analysis will include diagnosis codes and provider information (e.g., rendering provider, billing provider).
 - ii. **Encounter Data Completeness (Level 1).**

1. **Omission Encounter Rate.** The percentage of encounters in the MCOP's fully adjudicated claims file not present in the ODM encounter data files.
 2. **Surplus Encounter Rate.** The percentage of encounters in the ODM encounter data files not present in the MCOP's fully adjudicated claims files.
- iii. **Payment Data Accuracy (Level 2).**
1. **Payment Error Rate.** The percentage of matched encounters between the ODM encounter data files and the MCOP's fully adjudicated claims files where a payment amount discrepancy was identified.
 2. **Report Period.** In order to provide timely feedback on the omission rate of encounters, the report period will be the most recent from when the study is initiated. This study is conducted annually.
- iv. **Data Quality Standards.**
1. For CY 2015.
 - a. **For Level 1.** An omission encounter rate and a surplus encounter rate of no more than 11% for both claim-level and line-level records.
 - b. **For Level 2.** A payment error rate of no more than 4%.
 2. For CY 2016.
 - a. **For Level 1.** An omission encounter rate and a surplus encounter rate of no more than TBD for both claim-level and line-level records.
 - b. **For Level 2.** A payment error rate of no more than TBD.
 3. For CY 2017.
 - a. **For Level 1.** An omission encounter rate and a surplus encounter rate of no more than TBD for both claim-level and line-level records.
 - b. **For Level 2.** A payment error rate of no more than TBD.
 4. For CY 2018.
 - a. **For Level 1.** An omission encounter rate and a surplus encounter rate of no more than TBD for both claim-level and line-level records.
 - b. **For Level 2.** A payment error rate of no more than TBD.

- c. **Encounter Data Submission.** Information concerning the proper submission of electronic data interchange (EDI) encounter transactions may be obtained from the ODM website. The website contains Encounter Data Companion Guides for the MyCare Ohio 837 dental, professional, and institutional transactions and the NCPDP D.0 pharmacy transactions. Additional Companion Guides for transactions that should be used in conjunction with encounters include the MyCare U277 Unsolicited Claim/Encounter Status Notifications, the MyCare 824 Application Advice and the TA1 Transmission Acknowledgement also available on the website. The Encounter Data Companion Guides shall be used in conjunction with the X12 Implementation Guides for MyCare EDI transactions. Beginning June 2022, the MCOP must follow the 837 Post-Adjudicated Claim Data Reporting (PACDR) standards for member encounter data submissions, including allowed amount and paid amount, per 42 CFR 438.242(c)(3). Encounters will be submitted to the Ohio Medicaid Enterprise System (OMES).

Information concerning MyCare Ohio encounter data measures may be obtained from the Ohio Department of Medicaid's Methodology for MyCare Ohio Encounter Data Quality Measures document also located on the ODM website. This document gives additional guidance on the methodologies used to create the measures in Appendix L of this Agreement. This document also provides the MyCare Encounter Data Minimum Number of Encounters required by each plan, the MyCare Encounter Data Submission Schedule, and the MyCare Encounter Data Certification Letter guidelines.

- i. **Encounter Data Submission Procedure.** The MCOP shall submit encounter data files to ODM per the specified schedule and within the allotted amount established in ODM's Methodology for MyCare Ohio Encounter Data Quality Measures document.

The MCOP shall submit a letter of certification, using the form required by ODM, with each encounter data file in the ODM-specified medium per format.

The letter of certification shall be signed by the MCOP's Chief Executive Officer (CEO), Chief Financial Officer (CFO), or an individual who has delegated authority to sign for, and who reports directly to, the MCOP's CEO or CFO.

- ii. **Required Monthly Minimum Number of Encounters Accepted Into OMES.** The information in Table 4 is a baseline measure created by using the ODM MyCare encounter reports from calendar year 2021.
1. All paid encounters in each category were summed and divided by 12 to derive a monthly average encounter submission baseline. The baseline number for Institutional/Professional and NCPDP (Rx) were reduced by 10%, Dental reduced by 20%, and then rounded down to come to a final Monthly Minimum Number of Encounters that must be accepted into the OMES.
 2. **Measurement Period:** This metric will be monitored for informational purposes until a time specified by ODM.

- a. ODM may revise the required monthly minimum numbers in ODM’s Methodology for MyCare Ohio Encounter Data Quality Measures document based on data availability and stability.
- b. ODM will provide the MCOP with an opportunity to review and comment on required revisions to monthly minimum numbers, should revisions need to be made. ODM retains the final decision on revisions to the required monthly minimum numbers.

Table 4. Required Monthly Minimum Number of Encounters Accepted into OMES.

Managed Care Plan	Required Number of Institutional and Professional	Required Number of Pharmacy NCPDP	Required Number of Dental
CareSource	177,000	119,000	2,100
United Health Care	152,000	78,000	1,000
Molina	94,000	103,000	900
Buckeye	141,000	118,000	900
Aetna	155,000	136,000	1,000

2. MCOP Self-Reported, Audited HEDIS Data.

- a. **Annual Submission of HEDIS IDSS Data.** The MCOP is required to collect, report, and submit to ODM, as specified in Appendix T, Chart of Deliverables self-reported, audited HEDIS data for the full set of HEDIS measures reported by the MCOP to NCQA for MyCare Ohio members per *ODM’s Specifications for the Collection and Submission of MyCare Ohio Self-Reported, Audited HEDIS Results*. The self-reported, audited HEDIS data are due to ODM no later than five business days after the NCQA due date.
- b. **Annual Submission of Final HEDIS Audit Report (FAR).** The MCOP is required to submit to ODM its FAR, as specified in Appendix T, Chart of Deliverables, that contains the audited results for the full set of HEDIS measures reported by the MCOP to NCQA for MyCare Ohio members. This shall include all HEDIS measures referenced in Appendix M. The FAR is due to ODM no later than five business days after the NCQA due date.

Note: ODM will review the MCOP's FAR in order to determine if any data collection or reporting issues were identified. In addition, ODM will evaluate any issues that resulted in the assignment of an audit result of "Not Report" (NR) for any measure. ODM reserves the right to pursue corrective action based on this review.

- c. **Data Certification Requirements for HEDIS IDSS Data and Final HEDIS Audit Report.** In accordance with 42 CFR 438.600, *et seq.*, each MCOP shall submit a signed data certification letter to ODM, as specified in Appendix T, Chart of Deliverables, attesting to the accuracy and

completeness of its audited HEDIS IDSS data submitted to ODM. The MCOP shall also submit to ODM a signed data certification letter attesting to the accuracy and completeness of its final HEDIS audit report (FAR) submitted to ODM.

Each data certification letter is due to ODM on the same days the respective HEDIS IDSS data/FAR are submitted to ODM. Additional specifications regarding the data certification letters will be made available in future technical guidance.

3. **Care Management Data.** The MCOP shall submit care management data in accordance with the *MyCare Ohio Care: Population Stream, Risk Stratification Data, and Care Management Status Submission Specifications*.

In accordance with 42 CFR 438.600—438.606, each MCOP shall sign and submit the ODM required data certification letter to ODM attesting to the accuracy and completeness of care management data submitted to ODM.

4. **Appeals and Grievances Data.** Pursuant to OAC rule 5160-58-08.4, the MCOP is required to submit appeal and grievance activity to ODM as specified in Appendix T, Chart of Deliverables. ODM requires appeal and grievance activity to be submitted at least monthly in an electronic data file format pursuant to the *Appeal File and Submission Specifications* and *Grievance File and Submission Specifications*.

The appeal data file and the grievance data file shall include all appeal and grievance activity, respectively, for the previous month, and shall be submitted by the ODM-specified due date. These data files shall be submitted in the ODM-specified format and with the ODM-specified filename in order to be successfully processed.

An MCOP that fails to submit their monthly electronic data files to ODM by the specified due date or who fail to resubmit, by no later than the end of that month, a file which meets the data quality requirements will be subject to sanctions as stipulated in Appendix N of this Agreement.

5. **Utilization Management Data.** Pursuant to OAC rules 5160-58-01.1 and 5160-26-03.1, the MCOP is required to submit information on prior authorization requests as directed by ODM. As specified in Appendix T, Chart of Deliverables, ODM requires information on prior authorization requests to be submitted in an electronic data file formats pursuant to the *Utilization Management Tracking Database: Prior Authorization File and Submission Specifications* document. ODM also requires a Prior Auth (Rx) Statistics Report (Quarterly Prior Auth Statistics Report) as specified in Appendix T, Chart of Deliverables.

The MCOP is also required to submit details on members whose authorized services are not fully staffed. As specified in Appendix T, Chart of Deliverables, Unstaffed Home Care reports include details for any member with a need for aide or nursing service without an available provider, as described in the required reporting template. This includes services without a provider at the service start date or when a member experiences the loss of a provider after the services were authorized.

An MCOP that fails to submit their monthly electronic data files to ODM by the specified due date or who fail to resubmit, by no later than the end of that month, a file which meets the data quality requirements will be subject to sanctions as stipulated in Appendix N of this Agreement.

6. **Consumer Assessment of Healthcare Providers and Systems (CAHPS) Survey Data.** The MCOP is required to collect, report, and submit CAHPS data to CMS on an annual basis for applicable MyCare Ohio members per *CMS' Reporting Requirements for HEDIS, HOS, and CAHPS Measures*.
7. **Timely Submission of Nursing Facility 100-Day Threshold and Discharge Data.** The MCOP is required to collect, report, and submit nursing facility 100-day threshold and discharge data as specified in the *MyCare Ohio Rules for Reporting the Institutional 100-Day Requirement*. Individual member records shall be submitted within 30 business days of the NF LOC (100-day threshold) date and date of discharge, and in every case, NF LOC (100-day threshold) dates shall be submitted in accordance with dates specified by ODM to comply with the MEMA timeframes specified in Appendix E.

The individual member records 100-day threshold and discharge dates shall be complete and accurate as compared with associated medical records and in accordance with the *MyCare Ohio Rules for Reporting the Institutional 100-Day Requirement*.

The MCOP shall also submit a letter of certification, using the form required by ODM, with each nursing facility admission and discharge data submission file. ODM will use a sample of the NF LOC data to determine compliance.

8. **MyCare Ohio Quarterly Enrollment Files.** Accurate and complete MCOP enrollment records are a critical component of determining accurate rates for measures where member enrollment is used as the basis for calculating rates. In order to ensure the most accurate and complete enrollment records possible for the MCOP, ODM is creating quarterly enrollment files to be sent to the MCOP for the purpose of enrollment verification. Details regarding specifications for these enrollment files can be found in *ODM's MyCare Ohio Plan Quarterly Enrollment Data File Specifications*.

The MCOP may voluntarily submit to ODM on a quarterly basis addition and deletion files for member enrollment spans. These file submissions shall be accompanied by a data certification letter, using the form required by ODM. Specifications for submitting the addition and deletion files, and instructions for submitting the associated data certification letter, are provided in *ODM's MyCare Ohio Plan Addition and Deletion Enrollment Data File Specifications*.

As this file submission is voluntary, no penalty will be assessed for failure to submit the required data certification letter, however, ODM will not utilize any MCOP files submitted under this section that are not accompanied by the associated data certification letter.

9. **Submission of Provider Preventable Conditions Data.** Pursuant to 42 CFR 438.3(g), the MCOP shall identify the occurrence of all provider preventable conditions (PPCs). The MCOP shall report identified PPCs, regardless of the provider's intention to bill for that event, to ODM in a manner specified by ODM.
11. **Service Authorization and Claims Payment Data.** The MCOP is required to collect, report, and submit service authorization denials and claims denial data pursuant to the required ODM template provided, as specified in Appendix T, Chart of Deliverables. This submission must also include any process improvements, training, and other action steps to improve the service authorization and provider reimbursement processes during the reporting period.

The sanctions for noncompliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX M

QUALITY & WAIVER PERFORMANCE MEASURES AND STANDARDS

The Ohio Department of Medicaid (ODM) has established Quality and Waiver Performance Measures and Standards to evaluate MyCare Ohio Plan (MCOP) performance in key program areas (i.e., access, clinical quality, consumer satisfaction). The selected measures align with specific priorities, goals, and focus areas of the ODM Quality Strategy. Each measure has a Minimum Performance Standard. Failure to meet a Minimum Performance Standard will result in the assessment of a noncompliance penalty. See Appendix N of this Agreement for sanctions for noncompliance with the performance standards.

The quality measures utilized for performance evaluation are derived from national measurement sets (e.g., HEDIS, AHRQ, HOS, CAHPS, MDS, CMS, etc.), widely used for evaluation of Medicaid/Medicare managed care industry data, or are Ohio-specific measures designed to monitor goals associated with rebalancing initiatives which provide greater access to home and community based services, as an alternative to facility-based long-term care. Each measure applies to dual benefit members (opt-in population) and/or to Medicaid-only members (opt-out population). Quality and Waiver Performance measures and standards are subject to change based on the revision or update of applicable national measures, methods, benchmarks, or other factors as deemed relevant.

The performance measures listed in this appendix are not intended to limit the assessment of other indicators of performance for quality improvement activities. MCOP performance based on multiple measures will be assessed and reported to the MCOP and others, including Medicare and Medicaid consumers.

1. **Quality Measures and Standards.** The MCOP is evaluated on measures separately for dual benefit members (opt-in population) and Medicaid-only members (opt-out population) using statewide population-specific results that include all regions in which the MCOP has membership. Results for each measure are calculated per MCOP and will either include all of the MCOP's Ohio dual benefit members (opt-in population) and/or Medicaid-only (opt-out population) per the criteria specified by the methodology for the given measure. Separate minimum performance standards may be established for the dual benefit population and the Medicaid-only population.
 - a. **Measurement Data.** MCOP performance is assessed using ODM calculated performance measurement data, CMS calculated performance measurement data, and results submitted to ODM and CMS by the MCOP. The measures in this appendix are calculated in accordance with CMS' Reporting Requirements for HEDIS, HOS, and CAHPS Measures, and *The Ohio Department of Medicaid's MyCare MDS Quality Measures Methods*.
 - b. **Measures, Measurement Sets, Standards, and Measurement Years.** The measures and accompanying Minimum Performance Standards and measurement years for the SFY 2022, SFY 2023 and SFY 2024 contract periods are listed in Table 1. below. Each measure's corresponding measurement set, and applicable consumer population is also provided.

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Table 1. SFY 2022, SFY 2023 and SFY 2024 Performance Measures, Measurement Sets, Standards, and Measurement Years

Quality Strategy: Population Stream	Measure	Measurement Set	Applicable Population	SFY 2022 Minimum Perf. Std.	SFY 2022 Measurement Year	SFY 2023 Minimum Perf. Std.	SFY 2023 Measurement Year	SFY 2024 Minimum Perf. Std.	SFY 2024 Measurement Year
Behavioral Health	Follow-up After Hospitalization for Mental Illness -30 Day Follow Up*	NCQA/HEDIS	Dual Benefits Members (Opt-In)	QW	CY 2021	QW	CY 2022	QW	CY 2023
Behavioral Health	Antidepressant Medication Management	NCQA/HEDIS	Dual Benefits Members (Opt-In)	Effective Acute Phase Treatment ≥ MPSO	CY 2021	Effective Acute Phase Treatment ≥ MPSO	CY 2022	Effective Acute Phase Treatment ≥ 64.90%	CY 2023
				Effective Continuation Phase Treatment ≥ MPSO		Effective Continuation Phase Treatment ≥ MPSO		Effective Continuation Phase Treatment ≥ 48.68%	
Chronic Conditions	Controlling High Blood Pressure*	NCQA/HEDIS	Dual Benefits Members (Opt-In)	QW	CY 2021	QW	CY 2022	QW	CY 2023
Chronic Conditions	Comprehensive Diabetes Care - HbA1c Control (<8.0%)	NCQA/HEDIS	Dual Benefits Members (Opt-In)	≥ MPSO	CY 2021	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year
Chronic Conditions	Hemoglobin A1c Control for Patients with Diabetes- HbA1c Control < 8.0%	NCQA/HEDIS	Dual Benefits Members (Opt-In)	n/a	n/a	MPSO	CY 2022	≥ 54.26%	CY 2023
Chronic Conditions	Comprehensive Diabetes Care - HbA1c Poor Control (>9.0%)*	NCQA/HEDIS	Dual Benefits Members (Opt-In)	QW	CY 2021	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year
Chronic Conditions	Hemoglobin A1c Control for Patients with Diabetes- HbA1c Poor Control > 9.0%	NCQA/HEDIS	Dual Benefits Members (Opt-In)	n/a	n/a	QW	CY 2022	QW	CY 2023
Chronic Conditions	Comprehensive Diabetes Care – Eye Exam	NCQA/HEDIS	Dual Benefits Members (Opt-In)	Reporting Only	CY 2021	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year
Chronic Conditions	Eye Exam Performed for Patients With Diabetes	NCQA/HEDIS	Dual Benefits Members (Opt-In)	n/a	n/a	Reporting Only	CY 2022	Reporting Only	CY 2023
Chronic Conditions	Part D Medication Adherence for	CMS	Dual Benefits	QW	CY 2021	QW	CY 2022	QW	CY 2023

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	Diabetes Medications*		Members (Opt-In)						
Healthy Adults	Annual Flu Vaccine*	CAHPS	Dual Benefits Members (Opt-In)	QW	CY 2021 (survey administered in CY2021) ****	QW	CY 2022 (survey administered in CY2022)	QW	CY 2023 (survey administered in CY2023)
Healthy Adults	Fall Risk Management – Managing Fall Risk	NCQA/HEDIS/HOS	Dual Benefits Members (Opt-In)	Reporting Only	CY 2021	Reporting Only	CY 2022	Reporting Only	CY 2023
Healthy Adults	Breast Cancer Screening**	NCQA/HEDIS	Dual Benefits Members (Opt-In)	≥ MPSO	CY 2021	≥ MPSO	CY 2022	≥ 50.95%	CY 2023
Healthy Adults	Transitions of Care - Medication Reconciliation Post Discharge*	NCQA/HEDIS	Dual Benefits Members (Opt-In)	QW	CY 2021	QW	CY 2022	QW	CY 2023
Healthy Adults	Colorectal Cancer Screening***	NCQA/HEDIS	Dual Benefits Members (Opt-In)	QW	CY 2021	QW	CY 2022	QW	CY 2023
Integrating Care	Plan All Cause Readmissions – observed-to-expected (O/E) ratio*	CMS	Dual Benefits Members (Opt-In)	QW	CY 2021	QW	CY 2022	QW	CY 2023
	Adults’ Access to Preventive/ Ambulatory Health Services	NCQA/HEDIS	Dual Benefits Members (Opt-In)	≥ MPSO	CY 2021	≥ MPSO	CY 2022	≥ 88.69%	CY 2023
	Getting Appointments and Care Quickly Composite	CAHPS	Dual Benefits Members (Opt-In)	≥ n/a	CY 2021 (survey administered in CY2021)	≥ n/a	CY 2022 (survey administered in CY2022)	Reporting Only	CY 2023 (survey administered in CY2023)
	Satisfaction with Customer Service Composite	CAHPS	Dual Benefits Members (Opt-In)	≥ n/a	CY 2021 (survey administered in CY2021)	≥ n/a	CY 2022 (survey administered in CY2022)	Reporting Only	CY 2023 (survey administered in CY2023)
	Care for Older Adults - Medication Review, 66 & Older	NCQA/HEDIS	Dual Benefits Members (Opt-In)	Reporting Only	CY 2021	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year
	Care for Older Adults - Functional Status Assessment, 66 & Older	NCQA/HEDIS	Dual Benefits Members (Opt-In)	Reporting Only	CY 2021	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year
	Care for Older Adults - Pain Assessment, 66 & Older	NCQA/HEDIS	Dual Benefits Members (Opt-In)	Reporting Only	CY 2020	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year	Eliminated Effective for CY 2022 Measurement Year
Improving and Rebalancing Long- Term Care	Percent of residents whose need for help with daily	RTI International/ MDS	Dual Benefits Members (Opt-In)	≤ 17.60%	CY 2021	≤ 17.60%	CY 2022	≤ 17.60%	CY 2023

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	activities has increased		and Medicaid-Only Members (Opt-Out)						
	Percent of residents who were physically restrained	RTI International/MDS	Dual Benefits Members (Opt-In) and Medicaid-Only Members (Opt-Out)	≤ 2.10%	CY 2021	≤ 2.10%	CY 2022	≤ 2.10%	CY 2023
	Percent of residents experiencing one or more falls with a major injury	RTI International/MDS	Dual Benefits Members (Opt-In) and Medicaid-Only Members (Opt-Out)	≤ 3.60%	CY 20210	≤ 3.60%	CY 2022	≤ 3.60%	CY 2023
	Percent of residents with urinary tract infection	RTI International/MDS	Dual Benefits Members (Opt-In) and Medicaid-Only Members (Opt-Out)	≤ 5.80%	CY 2021	≤ 5.80%	CY 2022	≤ 5.80%	CY 2023
	Percent of high-risk residents with pressure ulcers	RTI International/MDS	Dual Benefits Members (Opt-In) and Medicaid-Only Members (Opt-Out)	≤ 5.60%	CY 2021	≤ 5.60%	CY 2022	≤ 5.60%	CY 2023
	Percent of residents who have/had a catheter inserted and left in their bladder	RTI International/MDS	Dual Benefits Members (Opt-In) and Medicaid-Only Members (Opt-Out)	≤ 3.00%	CY 2021	≤ 3.00%	CY 2022	≤ 3.00%	CY 2023

*Quality withhold measure for Demonstration Years 5 (CY 2019), 6 (CY2020), 7 (CY2021), 8 (CY2022) and 9 (CY 2023).
 ** Quality withhold measure for Demonstration Year 6 (CY2020).
 *** Alternative quality withhold measure for Demonstration Years 6 (CY2020), 7 (CY2021) and 8 (CY2022).
 **** The requirement to submit HEDIS 2020 data covering the CY 2019 measurement year and 2020 CAHPS survey data is eliminated in accordance with the CMS interim final rule RIN 0938-AU31 [CMS-1744-IFC].
 * Quality withhold measure for Demonstration Years 6 (CY2020), 7 (CY2021), 8 (CY2022) and 9 (CY 2023)
 **Effective for MY 2023, the ECDS reporting method will be used for this measure.
 MPSO = Minimum Performance Standard will be based on outliers identified when all MCOPs' results are compared

2. **Waiver Performance Measure.** ODM must submit evidence to CMS regarding the State’s ability to adhere to the six federal assurances for operating a Home and Community Based (1915c) waiver annually. The six assurances include level of care, service planning, qualified providers, health and

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welfare, financial accountability, and administrative authority. There are thirty-four waiver performance measures across the six waiver assurances. CMS established a minimum threshold of 86% per measure. If the threshold is not achieved, ODM is subject to a CMS-issued corrective action plan.

To align with federal requirements, the MCOP must achieve a minimum performance standard of 86% for each measure. Seventeen of the thirty-four waiver measures are dependent on the MCOP’s performance (listed in Table 2). Failure to meet the minimum performance standard may result in the assessment of a noncompliance penalty. See Appendix N of this Agreement for sanctions for noncompliance with the performance standard.

- i. **Measure.** Percentage calculated for each HCBS waiver performance measure.
- ii. **Measurement Periods:** Beginning in CY 2020, and then each calendar year thereafter, the measurement period for each measure specified in Table 2 below will be data from the previous calendar year.
- iii. **Minimum Performance Standard:** 86%.

Table 2. Waiver Performance Measures.

Performance Measure	Source
Number and percent of required reports submitted by the MCOPs in a complete and timely manner.	MCOP
Number and percent of findings of MCOP plans' noncompliance that were remediated through an approved corrective action plan or other method as required by the OMA/MCOP provider agreement.	MCOP / ODM Contract Admin
Number and percent of MCOP waiver participants reviewed whose waiver service plans adequately address their assessed needs.	EQRO
Number and percent of MCOP waiver participants reviewed whose waiver service plan have strategies to address and mitigate their health and welfare risks factors.	EQRO
Number and percent of waiver service plans reviewed that address individuals' personal goals	EQRO
Number and percent of MCOP waiver participants reviewed whose waiver service plans were updated at least once in the past twelve months.	EQRO
Number and percent of sampled MCOP waiver participants whose service plans were revised, as needed, to address changing needs.	EQRO
Number and percent of MCOP waiver participants reviewed who received services in the type, scope, amount and frequency specified in the service plan.	EQRO
Number and percent of the MCOP waiver participants reviewed whose records contained a document signed by the participant to indicate their choice to receive waiver services instead of institutional care.	EQRO
Number and percent of Abuse, Neglect, Exploitation, and Misappropriation Incidents (over \$500) reported into the ODM approved incident management system within the required timeframe.	ODM incident management System
Number and percent of substantiated Abuse (physical, verbal, emotional, sexual), Neglect, Exploitation, and Misappropriation (over \$500) incidents for which a plan of prevention/documentation of a plan was developed as a result of the incident.	ODM incident management system
Number and percent of unauthorized (or unapproved) restraint, seclusion or other restrictive interventions with a prevention plan developed as a result of the incident.	ODM incident management system

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Number and percent of sampled MCOP waiver participants reviewed for whom there was a back-up plan in place in the event providers do not show up.	EQRO
Number and percent of MCOP Waiver participants (and/or family members or legal guardians) reviewed who received information/education about how to report abuse, neglect, exploitation and other incidents as specified in the waiver.	EQRO
Number and percent of substantiated provider medication error incidents with a prevention plan developed as a result of the incident	ODM incident management system
Number and percent of claims verified through a review of provider documentation to have been paid in accordance with individuals' waiver service plans.	MCOP (Waiver service claims audit report)
Number and percent claims sampled in (the previous) performance measure that were found to be unsupported claims for waiver services for which payment was recouped.	MCOP (Waiver service claims audit report)

3. **Notes.**

- a. **Measures and Measurement Periods.** ODM reserves the right to revise the measures and measurement periods referenced in this appendix (and their corresponding compliance periods), as needed, due to unforeseen circumstances. Unless otherwise noted, the most recent report or study finalized prior to the end of the contract period will be used in determining an MCOP’s performance level for that contract period.
- b. **Performance Standards – Compliance Determination.** In the event an MCOP’s performance cannot be evaluated for a performance measure and/or a measurement period referenced in this appendix, ODM will deem the MCOP to have met or to have not met the standard(s) for that particular measure and measurement period depending on the circumstances involved (e.g., if a HEDIS measure was assigned an audit result of “Not Report” on the MCOP’s Final Audit Report and the “Not Report” designation was determined to be the result of a material bias caused by the MCOP, ODM would deem the MCOP to have not met the standard(s) for that measure and measurement period).
- c. **Performance Standards – Retrospective Adjustment.** ODM will implement the use of a uniform methodology, as needed, for the retrospective adjustment of any Minimum Performance Standard referenced in this appendix, except for the CAHPS measure standards. This methodology will be implemented at ODM’s discretion.
- d. For a comprehensive description of the standard adjustment methodology, see *ODM Methods for the Retrospective Adjustment of Quality, P4P and Quality Withhold Measure Standards, which may be amended if necessary, upon agreement of both parties.*

The sanctions for non-compliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX N

COMPLIANCE ASSESSMENT SYSTEM

1. General Provisions of the Compliance Assessment System.

- a. The Compliance Assessment System (CAS) sets forth sanctions that may be assessed by the Ohio Department of Medicaid (ODM) against the MyCare Ohio Plan (MCOP) if the MCOP is found to have violated the Three-Way, this Agreement, or applicable law. It does not in any way limit ODM from requiring Corrective Action Plans (CAPs) and program improvements, or from imposing any of the sanctions specified in 42 CFR 438.706 and OAC rule 5160-26-10 (applicable to MyCare Ohio pursuant to OAC rule 5160-58-01.1) or any other additional compliance actions, including the proposed termination, amendment, or nonrenewal of this Agreement. Civil monetary penalties imposed by ODM in accordance with 42 C.F.R. 438.702(a)(1) shall not exceed the federal limits set forth in 42 C.F.R. 438.704.
- b. As set forth in OAC rule 5160-26-10, regardless of whether ODM imposes a sanction, the MCOP is required to initiate corrective action for any MCOP program violation or deficiency as soon as the violation or deficiency is identified by the MCOP or ODM. The MCOP is required to report to ODM when it becomes aware of any violation that could impair a member's ability to obtain correct information regarding services, impair member rights, affect the ability of the MCOP to deliver covered services, or affect the member's ability to access covered services.
- c. If ODM determines the MCOP has violated any of the requirements of Sections 1903(m) or 1932 of the Social Security Act that are not specifically identified within this Agreement, ODM may (1) require the MCOP to permit any of its members to disenroll from the MCOP without cause, or (2) suspend any further new member enrollments to the MCOP, or both.
- d. Program violations that reflect noncompliance from the previous compliance term will be subject to remedial action under CAS at the time ODM first becomes aware of this noncompliance.
- e. ODM retains the right to use its discretion to determine and apply the most appropriate compliance action based on the severity of the noncompliance, a pattern of repeated noncompliance, and number of beneficiaries affected. In instances where the MCOP is able to document, to the satisfaction of ODM, the violation and precipitating circumstances were beyond its control and could not reasonably have been foreseen (e.g. a construction crew severs a phone line, a lightning strike disables a computer system, etc.), ODM may in its discretion utilize alternative methods (i.e. a remediating plan) in lieu of the imposition of sanctions/remedial actions as defined in this appendix.

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- f. A Remediation Plan is a structured activity or process implemented by the MCOP to improve identified deficiencies related to compliance with applicable rules, regulations or contractual requirements. All remediation plans shall be submitted in the manner specified by ODM. Failure to comply with or meet the requirements of a remediation plan may result in the imposition of progressive sanctions/remedial actions outlined in Section II.
 - g. ODM will issue all notices of noncompliance in writing to the identified MCOP contact.
 - h. Actions recommended or issued by the Contract Management Team (CMT) as defined in the Three-Way in no way limit ODM's authority to impose sanctions and remedial actions under this Agreement. ODM will take into consideration any sanctions or actions taken by the CMT when deciding whether and what type of sanctions/remedial actions to take for violations of this Agreement.
2. **Types of Sanctions/Remedial Actions.** ODM may impose sanctions/remedial actions, including, but not limited to, the items listed below.
- a. **ODM Initiated Corrective Action Plans (CAPs).** A CAP is a structured activity, process or quality improvement initiative implemented by the MCOP to improve identified operational and clinical quality deficiencies. All CAPs shall be submitted in the manner specified by ODM.

The MCOP may be required to develop CAPs for any instance of noncompliance with applicable rules, regulations or contractual requirements; CAPs are not limited to actions taken in this appendix. All CAPs requiring ongoing activity on the part of the MCOP to ensure its compliance with a program requirement will remain in effect until the plan has provided sufficient evidence that it has fulfilled the requirements of the CAP to the satisfaction of ODM. All CAPs requiring implementation of quality improvement initiatives will remain in effect for at least twelve months from the date of implementation.

Where ODM has determined the specific action which shall be implemented by the MCOP or if the MCOP has failed to submit a CAP, ODM may require the MCOP to comply with an ODM-developed or "directed" CAP.

Where a sanction is assessed for a violation in which the MCOP has previously been assessed a CAP (or any sanction or any other related written correspondence), the MCOP may be assessed escalating sanctions.

- b. **Financial Sanctions.**
 - i. **Financial Sanctions Assessed Due to Accumulated Points.** Points will accumulate over a rolling 12-month schedule. Points more than 12 months old will expire.

No points will be assigned for a violation if the MCOP is able to document the precipitating circumstances were completely beyond its control and could not reasonably have been foreseen (e.g., a construction crew severs a phone line, a lightning strike disables a computer system, etc.).

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In cases where the MCOP-contracted healthcare provider is found to have violated a program requirement (e.g., failing to provide adequate contract termination notice, marketing to potential members, inappropriate member billing), ODM may assess points unless to the satisfaction of ODM: (1) the MCOP can document it provided sufficient notification or education to providers of applicable program requirements and prohibited activities; and (2) the MCOP took immediate and appropriate action to correct the problem and to ensure it will not reoccur. ODM will review repeated incidents and determine whether the MCOP has a systemic problem. If ODM determines a systemic problem exists, further sanctions or remedial actions may be assessed against the MCOP.

1. **5 Points.** ODM may in its discretion assess five points for any instance of noncompliance with applicable rules, regulations or contractual requirements. Instances of noncompliance can include, but are not limited to those that (1) impair a member's or potential enrollee's ability to obtain accurate information regarding MCOP services, (2) violate a care management process, (3) impair a member's or potential enrollee's ability to obtain correct information regarding services or (4) infringe on the rights of a member or potential enrollee. Examples of five point violations include, but are not limited to the following:

- a. Failure to provide accurate provider panel information.
- b. Failure to provide member materials to new members in a timely manner.
- c. Failure to comply with appeal, grievance, or state hearing requirements, including the failure to notify a member of his or her right to a state hearing when the MCOP proposes to deny, reduce, suspend or terminate a Medicaid-covered service.
- d. Failure to staff a 24-hour call-in system with appropriate trained medical personnel.
- e. Failure to meet the monthly call-center requirements for either the member services or the 24-hour call-in system lines.
- f. Provision of false, inaccurate or materially misleading information to ODM, health care providers, the MCOP's members, or any eligible individuals.
- g. Use of unapproved marketing or member materials.
- h. Failure to appropriately notify ODM, or members, of provider panel terminations.
- i. Failure to update website provider directories as required.

- j. Failure to comply with an open remediation plan or CAP or a CAP closed in the last 12 months.
- k. Failure to meet provider network performance standards.
- l. A violation of a care management process specified in Section 2.5.3 of the Three-Way, or Appendix K of this Agreement that does not meet the standards for a 10 point violation. Examples include but are not limited to the failure to:
 - i. Ensure staff performing care management functions are operating within their professional scope of practice, are appropriately responding to a member's care management needs, or are complying with the state's licensure/credentialing requirements;
 - ii. Adequately assess an individual's needs including the evaluation of mandatory assessment domains;
 - iii. Update an assessment upon a change in health status, needs or significant health care event;
 - iv. Develop or update a care plan that appropriately addresses assessed needs of a member;
 - v. Monitor the care plan;
 - vi. Complete a care gap analysis that identifies gaps between recommended care and care received by a member;
 - vii. Update the care plan in a timely manner when gaps in care or change in need are identified;
 - viii. Coordinate care for a member across providers, specialists, and team members, as appropriate;
 - ix. Adhere to a documented communication plan, including the contact schedule for in-person visits and telephone calls;
 - x. Make reasonable attempts to obtain a discharge/transition plan from an inpatient facility; conduct timely follow up with the member and provider, as appropriate; or arrange for services specified in the discharge/transition plan; or
 - xi. Adhere to home and community-based services (HCBS) waiver service coordination, person-centered planning, and

operational requirements in Section 2.5.3.3.5.1 of the Three-Way, the Ohio approved HCBS 1915(c) waiver for MyCare Ohio and applicable OAC rules.

- m. Failure to show a monthly average increase in EVV claims matching within the timeframe specified in the Agreement.
 - n. Failure to notify providers of claim reprocessing and/or payment recovery within the timeframe specified in this Agreement.
2. **10 Points.** ODM may in its discretion assess ten points for any instance of noncompliance with applicable rules, regulations or contractual requirements that could, as determined by ODM: (1) affect the ability of the MCOP to deliver, or a member to access, covered services; (2) place a member at risk for a negative health outcome; or (3) jeopardize the safety and welfare of a member. Examples include, but are not limited to, the following:
- a. Discrimination among members on the basis of their health status or need for health care services (this includes any practice that would reasonably be expected to encourage termination or discourage selection by individuals whose medical condition indicates probable need for substantial future medical services). Failure to assist a member in accessing needed services in a timely manner after receiving a request from the member.
 - b. Failure to provide medically necessary Medicare or Medicaid covered services to members.
 - c. Failure to process prior authorization requests within the prescribed time frames.
 - d. Repeated failure to comply with an open remediation plan or CAP or a CAP closed in the last twelve months.
 - e. The imposition of premiums or charges on members in excess of the premiums or charges permitted under the MyCare Ohio demonstration project.
 - f. Misrepresentation or falsification of information the MCOP furnishes to ODM.
 - g. Misrepresentation or falsification of information the MCOP furnishes to a member, potential member, or health care provider.
 - h. Failure to comply with the requirements for physician incentive plans, as set forth (for Medicare) in 42 CFR 422.208

and 422.210.

- i. Violation of a care management or person-centered planning processes, including HCBS 1915(c) waiver operations, as specified in Section 2.5.3 of the Three-Way or this Agreement.
- j. Failure to comply with transition of care requirements for members receiving HCBS waiver services, changing MCOP or MCO, changing to FFS Medicaid, or transitioning from a health care setting as specified in this Agreement.

3. **Progressive Sanctions Based on Accumulated Points.** Progressive sanctions will be based on the number of points accumulated at the time of the most recent incident. A CAP or other sanction may be imposed in addition to the financial sanctions listed below. The designated financial sanction amount will be assessed when the number of accumulated points falls within the ranges specified below:

0 -15 Points	CAP + No financial sanction
16-25 Points	CAP + \$5,000 financial sanction
26-50 Points	CAP + \$10,000 financial sanction
51-70 Points	CAP + \$20,000 financial sanction
71-100 Points	CAP + \$30,000 financial sanction
100+ Points	Proposed Provider Agreement Termination

ii. **Specific Pre-Determined Sanctions.**

1. **Adequate network-minimum provider panel requirements.** Any deficiencies in the MCOP's provider network specified in this Agreement or the Three-Way may result in the assessment of a \$1,000 nonrefundable financial sanction for each category (dental, vision, waiver providers etc.) and for each county/zip code. Compliance will be assessed at least quarterly.

ODM may assess additional sanctions (e.g. CAPs, points, financial sanctions) if (1) the MCOP violates any other provider panel requirements contained within either the Three-Way or this Agreement or (2) the MCOP's member has experienced problems in accessing necessary services because of noncompliance by a provider within the MCOP's panel.

2. **Noncompliance with MyCare Waiver Standards.** ODM may assess a sanction for noncompliance with the HCBS Waiver performance standard specified in Appendix M for each measurement period the MCOP is determined to be noncompliant. Waiver performance measures for which the MCOPs,

collectively, do not meet 86%, any MCOP that falls below 86% within that measure is subject to a Corrective Action Plan (CAP).

3. **Late Submissions.**

- a. **Submission of data and documentation to ODM.** All submissions, data, and documentation submitted by the MCOP shall be received by ODM within the specified deadline and shall represent the MCOP in an honest and forthright manner. If the MCOP fails to provide ODM with any required submission, data or documentation, (with the exception of incident management documentation referenced in this appendix) ODM may assess a nonrefundable financial sanction of \$100 per business day, unless the MCOP requests and is granted an extension by ODM. Assessments for late submissions will be done monthly.
- b. **Submission of incident management documentation to ODM or the incident management vendor.** If the MCOP fails to provide the requested information to ODM or the incident management vendor, in accordance with the defined ODM "MyCare Ohio Incident Escalation Procedure," ODM may assess a nonrefundable financial sanction of \$1,000 per incident record, per calendar day until the requested information is provided.
- c. **Extension requests.** With the exception of incident management documentation, if the MCOP is unable to meet a program deadline or data/documentation submission deadline, the MCOP shall submit a written request to its Contract Administrator for an extension of the deadline, as soon as possible, but no later than 3 PM, EST, on the date of the deadline in question. Requests for extensions should only be submitted where unforeseeable circumstances have made it impossible for the MCOP to meet a deadline stipulated by ODM and will not be approved for incident management documentation. All such requests will be evaluated upon this standard. ODM may assess a compliance action against an entity, unless written approval for an extension of the deadline has been granted.

4. **Noncompliance with Claims Adjudication Requirements.** If ODM finds the MCOP is (1) unable to electronically accept and adjudicate claims to final status, (2) failing to notify non-contracting providers of procedures for claims submissions when requested, and/or (3) failing to notify contracting and non-contracting providers of the status of their submitted claims ODM may assess the MCOP with a financial sanction of \$20,000 per calendar day for the period of noncompliance. Additionally, the MCOP may be assessed 5 points per incident of noncompliance.

5. **Noncompliance with Financial Performance Measures and/or the Submission of Financial Statements.** If the MCOP fails to meet any financial performance

measure set forth in Sections 2.13 or 4.2.6 of the Three-Way or fails to submit to the Ohio Department of Insurance (ODI) financial statements by the due date set by ODI, then ODM may impose upon the MCOP a CAP, or a freeze on the enrollment of new members, or both. The MCOP shall submit financial statements to ODM by ODI's originally specified due date unless ODM grants an extension to the MCOP in writing.

6. **Noncompliance with Reinsurance Requirements.** If ODM determines (1) the MCOP has failed to maintain reinsurance coverage as set forth in 2.13.4. of the Three-Way, (2) the MCOP's deductible exceeds \$100,000 without approval from ODM, or (3) the MCOP's reinsurance for non-transplant services covers less than 80% of inpatient costs in excess of the deductible incurred by one member for one year without approval from ODM, then ODM may require the MCOP to pay a financial sanction to ODM. The amount of the sanction will be the lesser of (1) 10% of the difference between the estimated amount of what the MCOP would have paid in premiums for the reinsurance policy if it had been in compliance and what the MCOP actually paid while it was out of compliance or (2) \$50,000.

If ODM determines the MCOP's reinsurance for transplant services covers less than 50% of inpatient costs incurred by one member for one year, ODM may subject the MCOP to a CAP.

7. **Noncompliance with Medical Loss Ratio (MLR) Requirements.** The MCOP is required to submit a consolidated MLR report for their Medicaid population for each MLR reporting year, specifically as defined in 42 CFR 438.8(e), 42 CFR 438.8(f), 42 CFR 438.8(h), and 42 CFR 438.8(g). The MCOP shall comply with the directives as outlined in the remainder of 42 CFR 438.8 and any ODM directives required to satisfy the MLR requirements outlined in 42 CFR 438.74. The MCOP is required to use the reporting tool provided by ODM to report the MLR reporting requirements for each contract year. The MLR calculation shall be aligned with federal standards during the term of this contract; however, ODM reserves the right to incorporate additional state specific criteria and/or adjustments in the calculation of the MLR.
8. **Noncompliance with Prompt Payment.** ODM may impose progressive sanctions on the MCOP that does not comply with the prompt pay requirements as specified in 42 CFR 447.46 and Section 5.1.9 of the Three-Way.
 - a. The first instance of noncompliance during a rolling 12-month period for each claim type listed in Section 5.1.9 of the Three-Way: ODM may assess a refundable financial sanction equal to .04% of the amount calculated in accordance with this appendix. The refundable financial sanction amount will be returned to the MCOP if ODM determines the MCOP is in full compliance with the prompt pay standards within the

five consecutive reporting periods following the report period for which the refundable financial sanction was issued.

- b. The second instance of noncompliance during a rolling 12-month period for each claim type listed in Section 5.1.9 of the Three-Way: ODM may assess a nonrefundable financial sanction equal to .08% of the amount calculated in accordance with this appendix.
 - c. Subsequent violations during a rolling 12-month period may result in an enrollment freeze of not less than three months duration or until the MCOP has come back into compliance.
9. **Noncompliance with claims payment systemic errors (CPSEs).** If MCOP fails to comply with the CPSE requirements as specified in this Agreement or by ODM, then ODM may impose a nonrefundable financial sanction in the amount to of \$5,000 for each documented violation. Additionally, the MCOP shall take all appropriate action to correct each violation documented by ODM.
10. **Noncompliance with Abortion and Sterilization Hysterectomy Requirements.** If the MCOP fails to comply with abortion and sterilization requirements as specified by ODM, then ODM may impose a nonrefundable financial sanction in the amount of \$2,000 for each documented violation. Additionally, the MCOP shall take all appropriate action to correct each violation documented by ODM.
11. **Refusal to Comply with Program Requirements.** If ODM has instructed the MCOP it shall comply with a specific program requirement and the MCOP refuses, such refusal constitutes documentation that the MCOP is no longer operating in the best interests of the MCOP's members or the state of Ohio, and ODM may move to terminate or non-renew the MCOP's provider agreement.
12. **Data Reporting Requirements and Data Quality Measures.** ODM reserves the right to withhold an assessment of noncompliance under this appendix due to unforeseeable circumstances.
- a. **Data Reporting Requirements**
 - i. **Annual Submission of MCOP Self-Reported, Audited HEDIS Data.** Performance is monitored annually. If the MCOP fails to submit its self-reported, audited HEDIS data as specified by ODM, the MCOP will be considered non-compliant with the standards for all of the self-reported, audited HEDIS performance measures in *MyCare Ohio Quality Performance Measures, Standards and Measurement Periods* referenced in Appendix M of this Agreement for the corresponding contract period. In addition, the MCOP will be disqualified from receiving all or a portion of the quality withholds as specified in the Three-Way and in Appendix O of this Agreement for the

corresponding contract period.

ii. **Annual Submission of Final HEDIS Audit Report (FAR).**

Performance is monitored annually. If the MCOP fails to submit its FAR as specified by ODM, the MCOP will be considered non-compliant with the standards for all of the self-reported, audited HEDIS performance measures in *MyCare Ohio Quality Performance Measures, Standards and Measurement Periods* referenced in Appendix M of this Agreement for the corresponding contract period. In addition, the MCOP will be disqualified from receiving all or a portion of the quality withholds as specified in the Three-Way and in Appendix O of this Agreement for the corresponding contract period.

ODM will review the MCOP's FAR in order to determine if any data collection or reporting issues were identified. In addition, ODM will evaluate any issues that resulted in the assignment of an audit result of "Not Report" (i.e., NR) for any measure. The MCOP may be required to submit to ODM requested documentation to account for an NR audit designation. Based on its review of the MCOP's FAR and any NR audit designations assigned, ODM may impose corrective action (such as requiring the MCOP to implement a corrective action plan to resolve data collection and/or reporting issues).

iii. **Data Certification Requirements for HEDIS IDSS Data and HEDIS Audit Report.**

Performance is monitored annually. If the MCOP fails to submit a required data certification letter to ODM within the required time frame, CMS or ODM may impose a nonrefundable financial sanction of \$100 per calendar day, unless the MCOP requests and is granted an extension by ODM.

iv. **Annual Submission of MCOP Consumer Assessment of Healthcare Providers and Systems (CAHPS) Survey Data.**

Performance is monitored annually. If the MCOP fails to submit its CAHPS data to CMS, as specified in *CMS' Reporting Requirements for HEDIS, HOS, and CAHPS Measures*, the MCOP will be considered non-compliant with the standards for all of the CAHPS performance measures referenced in Appendix M of this Provider Agreement for the corresponding contract period. In addition, the MCOP will be disqualified from receiving all or a portion of the quality withholds, as specified in the Three-Way and in Appendix O of this Provider Agreement for the corresponding contract period.

- v. **Complete and Accurate Submission of Nursing Facility 100-Day Threshold and Discharge Data.** The nursing facility admission and discharge data set may be subject to an audit or review for completeness and accuracy by ODM, or a vendor contracted by ODM. Any overpayments made by ODM to the MCOP as a result of inaccurate or incomplete nursing facility 100-day threshold or discharge data submitted by the MCOP will result in ODM recouping the overpayment(s).

- b. **Data Quality Measures.** The MCOP shall submit to ODM, by the specified deadline and according to specifications set by ODM, all required data files and requested documentation needed to calculate each measure listed below. If the MCOP fails to comply with this requirement for any measure listed below, the MCOP will be considered noncompliant with the standards for that measure. Data quality report periods, measures, standards, and requirements are specified in Appendix L of this Agreement and *ODM Measures for the MyCare Ohio Encounter Data Quality Measures*.

Sanctions for noncompliance are assessed for each MCOP as described for each measure.

- i. **Encounter Data Volume.** Performance is monitored once every quarter for the entire measurement period for each of the following populations and service combinations: 1) Medicaid services for all MyCare Ohio members; and 2) Medicare services for dual benefit members. Sanctions for noncompliance will be assessed separately, by population and service combination. If the standard is not met for every Medicaid and Medicare service category in all quarters of the measurement period, the MCOP will be determined to be noncompliant for the measurement period.

ODM may issue a CAP for all instances of noncompliance with this measure that are not consecutive. ODM may issue a series of progressive sanctions for consecutive instances of noncompliance. The first time the MCOP is determined to be noncompliant with the standard for this measure, ODM may issue a CAP. If the MCOP is determined to be noncompliant with the standard in a second, consecutive quarter, ODM may impose a financial sanction of two percent of the amount calculated in accordance with this appendix. If the MCOP is determined to be noncompliant with the standard in a third, consecutive quarter, ODM may impose a new member enrollment freeze.

A financial sanction issued under this section will be returned

to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued. A new member enrollment freeze issued under this section will be lifted after ODM determines the MCOP is in full compliance with this program requirement.

- ii. **Rejected Encounters.** Performance is monitored once every quarter for Measure 1 and once every month for Measure 2 in Appendix L of this Agreement. Compliance determination with the standard applies only to the measurement period under consideration and does not include performance in previous measurement periods. Files in the ODM-specified medium per format that are totally rejected will not be considered in the determination of noncompliance. If the standard is not met for every file type, the MCOP will be determined to be noncompliant for the measurement period.

ODM may issue a CAP for all instances of noncompliance with this measure that are not consecutive. ODM may issue a series of progressive sanctions for consecutive instances of noncompliance. The first time the MCOP is determined to be noncompliant with the standard for this measure, ODM may issue a CAP. If the MCOP is determined to be noncompliant with the standard in a second, consecutive measurement period, ODM may impose a financial sanction of two percent of the amount calculated in accordance with this appendix. If the MCOP is determined to be noncompliant with the standard in a third, consecutive measurement period, ODM may impose a new member enrollment freeze. Special consideration may be made for the MCOP with less than 1,000 members.

A financial sanction issued under this section will be returned to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued. A new member enrollment freeze issued under this section will be lifted after ODM determines the MCOP is in full compliance with this program requirement.

- iii. **Acceptance Rate.** Performance is monitored once every month. Compliance determination with the standard applies only to the month under consideration and does not include performance in previous months. If the standard is not met for every file type, the MCOP will be determined to be noncompliant for the measurement period.

ODM may issue a CAP for all instances of noncompliance with this measure that are not consecutive. ODM may issue a series of progressive sanctions for consecutive instances of noncompliance. The first time the MCOP is determined to be noncompliant with the standard for this measure, ODM may issue a CAP. If the MCOP is determined to be noncompliant with the standard in a second, consecutive measurement period, ODM may impose a financial sanction of two percent of the amount calculated in accordance with this appendix. If the MCOP is determined to be noncompliant with the standard in a third, consecutive measurement period, ODM may impose a new member enrollment freeze. Special consideration may be made for an MCOP with less than 1,000 members.

A financial sanction issued under this section will be returned to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued. A new member enrollment freeze issued under this section will be lifted after ODM determines the MCOP is in full compliance with this program requirement.

- iv. **Encounter Data Accuracy Measure.** The first time the MCOP is determined to be noncompliant with the standard for either level 1 or level 2 for this measure, the MCOP shall implement a CAP which identifies interventions and a timeline for resolving data quality issues related to payments. Additional reports to ODM addressing targeted areas of deficiencies and progress implementing data quality improvement activities may be required. Upon all subsequent measurements of performance, if the MCOP is again determined to be noncompliant with the standard for either level 1 or level 2 for this measure, ODM may impose a financial sanction of one percent of the amount calculated in accordance with this appendix.

A financial sanction issued under this section will be returned to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued.

- v. **Incomplete Rendering Provider Data.** Performance is monitored once every quarter for all measurement periods. If the standard is not met in all quarters of the measurement period, the MCOP may be determined to be noncompliant for the measurement period.

ODM may issue a CAP for all instances of noncompliance with this measure that are not consecutive. ODM may issue a series of progressive sanctions for consecutive instances of noncompliance. The first time the MCOP is determined to be noncompliant with the standard for this measure, ODM may issue a CAP. If the MCOP is determined to be noncompliant with the standard in a second, consecutive quarter, ODM may impose a financial sanction of two percent of the amount calculated in accordance with this appendix. If the MCOP is determined to be noncompliant with the standard in a third, consecutive quarter, ODM may impose a new member enrollment freeze.

A financial sanction issued under this section will be returned to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued. A new member enrollment freeze issued under this section will be lifted after ODM determines the MCOP is in full compliance with this program requirement.

- vi. **NPI Provider Number Usage without Medicaid/Reporting Provider Numbers.** Performance is monitored once every quarter for all measurement periods. If the standard is not met in all quarters of the measurement period, the MCOP may be determined to be noncompliant for the measurement period.

ODM may issue a CAP for all instances of noncompliance with this measure that are not consecutive. ODM may issue a series of progressive sanctions for consecutive instances of noncompliance. The first time the MCOP is determined to be noncompliant with the standard for this measure, ODM may issue a CAP. If the MCOP is determined to be noncompliant with the standard in a second, consecutive quarter, ODM may impose a financial sanction of two percent of the amount calculated in accordance with this appendix. If the MCOP is determined to be noncompliant with the standard in a third, consecutive quarter, ODM may impose a new member enrollment freeze.

A financial sanction issued under this section will be returned to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued. A new member enrollment freeze

issued under this section will be lifted after ODM determines the MCOP is in full compliance with this program requirement.

- vii. Encounter Submissions per ODM’s Methodology for MyCare Ohio Encounter Data Quality Measures document is monitored once every month. If the standard is not met for the measurement period, the MCOP will be noncompliant for the measurement period.

ODM will issue a series of progressive sanctions for all instances of noncompliance. The first time the MCOP is determined to be noncompliant with the standard for this measure, ODM may impose a financial sanction of one percent of the amount calculated in accordance with this appendix. If the MCOP is determined to be noncompliant with the standard in any subsequent month, consecutive or non-consecutive, ODM will impose a financial sanction of two percent of the amount calculated in accordance with this appendix.

A financial sanction issued under this section will be returned to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued.

- viii. **Timeliness of Encounter Data Submission.** Performance is monitored once every month. If the standard is not met for the measurement period, the MCOP will be noncompliant for the measurement period.

ODM will issue a series of progressive sanctions for all instances of noncompliance. The first time an MCOP is determined to be noncompliant with the standard for this measure, ODM may impose a financial sanction of one percent of the amount calculated in accordance with this appendix. If the MCOP is determined to be noncompliant with the standard in any subsequent month, consecutive or non-consecutive, ODM will impose a financial sanction of two percent of the amount calculated in accordance with this appendix.

A financial sanction issued under this section will be returned to the MCOP if ODM determines the MCOP is in full compliance with this program requirement within the five consecutive report periods following the report period for which the financial sanction was issued.

13. **Quality Measures.** The MCOP shall submit to ODM, by the specified deadline and according to ODM specifications, all required data files and requested documentation needed to assess the quality measures specified any quality measure listed in Appendix M of this Agreement, the MCOP will be considered noncompliant with the standards for that measure.

ODM reserves the right to withhold an assessment of noncompliance under this section due to unforeseeable circumstances.

For each measure and population (i.e., dual benefit members and Medicaid-only members) as specified in *MyCare Ohio Quality Performance Measures, Standards and Measurement Periods* as referenced in Appendix M of this Agreement, one rate is calculated. Each rate per specified population has an associated Minimum Performance Standard. When the MCOP fails to meet a Minimum Performance Standard listed in *MyCare Ohio Quality Performance Measures, Standards and Measurement Periods* as referenced in Appendix M of this Agreement, for a measure and specified population for which noncompliance sanctions are applicable, the MCOP will be assessed a sanction for noncompliance with the standard. ODM has established uniform noncompliance sanctions for these standards.

A series of progressive sanctions may be issued for consecutive instances of noncompliance with the standard established for a given rate and population. For example, two rates, corresponding to the dual benefit member population and Medicaid-only member population, are calculated for the *Long-Term Care Overall Balance* measure. An MCOP failing to meet the standard established for the dual benefit member population rate in three consecutive measurement periods would be subject to progressive sanctions. However, an MCOP failing to meet the standard established for the dual benefit member population rate in one measurement period and the Medicaid-only member population in the next would not be subject to progressive sanctions, as these only apply to the standard established for the same rate and population.

For the standard established for each rate and specified population listed in *MyCare Ohio Quality Performance Measures, Standards and Measurement Periods* as referenced in Appendix M of this Agreement, for measures for which noncompliance sanctions are applicable, the MCOP may be assessed sanctions for instances of noncompliance as follows:

- a. The first instance, or subsequent but nonconsecutive instance, of noncompliance - applicable for measures where the standard is not 'MPSO'. ODM may impose a financial sanction in the amount of one quarter of one percent of the amount calculated in accordance with this appendix for the twelve months prior to the month in which the compliance action is issued to the MCOP. If the MCOP is determined to be in full compliance with this program requirement within the following five consecutive report periods where the standard is not

'MPSO', the financial sanction will be returned.

- b. The second consecutive instance of noncompliance - applicable for measures where the standard is not 'MPSO'. ODM may impose a financial sanction in the amount of one quarter of one percent of the amount calculated in accordance with this appendix for the twelve months prior to the month in which the compliance action is issued to the MCOP. This financial sanction is non-refundable.
- c. The third consecutive, and any additional consecutive, instance of noncompliance - applicable for measures where the standard is not 'MPSO'. ODM may impose a financial sanction in the amount of one half of one percent of the amount calculated in accordance with this appendix for the twelve months prior to the month in which the compliance action is issued to the MCOP. The financial sanction is nonrefundable.
- d. In addition, if ODM determines the MCOP is noncompliant with greater than 50% of the applicable quality standards listed in *MyCare Ohio Quality Performance Measures, Standards and Measurement Periods* referenced in Appendix M of this Agreement, for which noncompliance sanctions are applicable, for two consecutive contract years, ODM may terminate this Agreement.
- e. **Non-compliance for measures with an 'MPSO' Minimum Performance Standard.** For each instance of non-compliance, ODM may impose a non-refundable financial sanction in the amount of one quarter of one percent of the amount calculated in accordance with this appendix for the greater of the twelve months prior to the month in which the compliance action is issued to the MCP or the twelve months of the measurement year.

In accordance with CMS guidance, MyCare Ohio plans were not required to submit HEDIS 2020 data covering the 2019 measurement year, as referenced in Appendix M. Therefore for the purpose of determining if a financial sanction for a first instance, or subsequent but nonconsecutive instance, of noncompliance will be returned, as referenced in paragraph 12.a. of this section, the 2019 measurement year report period will not be included in the five consecutive report periods where the standard is not 'MPSO'.

14. **Quality Care.** ODM reserves the right to withhold an assessment of noncompliance under this section due to unforeseeable circumstances.

- a. **Administrative Compliance Assessment.** Compliance with administrative standards is performed by the external quality review organization, as specified by ODM. For each documented instance of noncompliance with an administrative standard, the MCOP may be required to submit a CAP as specified by ODM to remedy the identified

deficiency.

- b. **Care Management Data Submission.** The MCOP shall submit to ODM all required care management data as specified in ODM's *MyCare Ohio Care Management Data Submission Specifications*. If the MCOP fails to comply with the timely submission requirement, then ODM may impose a nonrefundable financial sanction of \$100 per calendar day, unless the MCOP requests and is granted an extension by ODM.
- c. **Care Management Data Certification Requirements.** If the MCOP fails to submit a required Care Management data certification letter to ODM within the required time frame, ODM may impose a nonrefundable financial sanction of \$100 per calendar day, unless the MCOP requests and is granted an extension by ODM.
- d. **HCBS Waiver Operational Reporting Requirements.** The MCOP shall submit to ODM all required HCBS waiver operational reporting requirements as specified by ODM or CMS or both. If the MCOP fails to submit a required reporting to ODM within the required time frame, CMS or ODM may impose a nonrefundable financial sanction of \$100 per calendar day, unless the MCOP requests and is granted an extension by ODM.
- e. **Care Management Reviews.** ODM may assess sanctions for noncompliance with the care management review performance standards specified in Appendix K For each measurement period the MCOP is determined to be noncompliant, ODM may impose a nonrefundable financial sanction of one quarter of one percent of the amount calculated in accordance with this appendix.
- f. **Member Safeguards.** In addition to points that may be assessed pursuant to this appendix, ODM may assess a non-refundable financial sanction of \$50,000 (per case) for noncompliance, whether a single instance or systematic, that places a member at risk for a negative health outcome or jeopardizes the member's health and safety.
- g. **Maintenance of National Committee for Quality Assurance Health Plan Accreditation.** For the standard established in Section 2.2.4 of the Three-Way, ODM may assess the following sanctions for noncompliance:
 - i. If the MCOP receives a provisional accreditation status, the MCOP will be required to complete a resurvey within 12 months of the accreditation decision. If the resurvey results in a provisional or denied status, ODM will consider this a material breach of the Agreement and may terminate the Agreement

with the MCOP.

- ii. If the MCOP receives a denied accreditation status, ODM will consider this a material breach of the Agreement and may terminate the Agreement with the MCOP.

15. **Noncompliance with Provision of Transportation Services.** If the MCOP fails to comply with the transportation requirements specified in Appendix C of this Agreement, or if the MCOP fails to transport a member to a pre-scheduled appointment on time, which results in a missed appointment, when providing Medicaid-covered transportation services and when members shall travel more than 30 miles to receive services, ODM may impose a nonrefundable financial sanction in the amount of \$1,000 for each violation. ODM may assess additional sanctions (e.g., CAPs, points, financial sanctions) as provided for in this appendix for any violation of the Medicaid-covered transportation services and applicable requirements.
16. **Noncompliance with HealthTrack complaints.** If the MCOP fails to comply with the HealthTrack complaint requirements as specified in Appendix C of this Agreement, ODM may require the MCOP to complete a CAP and specify the date by which compliance shall be demonstrated. ODM may assess a nonrefundable financial sanction of \$100 per business day for failure to outreach to providers within required timelines, unless the MCOP requests and is granted an extension by ODM. Assessments for late submissions will be done monthly.
17. **Noncompliance with Membership Enrollment File Submissions.** If the MCOP fails to comply with the data submission requirements impacting membership enrollment and reconciliation of membership enrollment, as specified in Appendices C and L of this Agreement, ODM may require the MCOP to complete a CAP and specify the date by which compliance shall be demonstrated.
18. **Noncompliance with Prior Authorization requirements.**
 - a. If the MCOP fails to resolve at least 98% of expedited prior authorizations within the specified timelines, then ODM may impose a nonrefundable financial sanction in the amount of \$10,000 for each month of noncompliance.
 - b. If the MCOP fails to resolve at least 95% of standard prior authorization within the specified timelines, then ODM may impose a nonrefundable financial sanction in the amount of \$10,000 for each month of noncompliance.
19. **Noncompliance with Appeal Resolution requirements.**
 - a. If the MCOP fails to resolve at least 98% of expedited appeals within the specified timelines, then ODM may impose a nonrefundable

financial sanction in the amount of \$10,000 for each month of noncompliance.

- b. If the MCOP fails to resolve at least 95% of standard appeals within the specified timelines, then ODM may impose a nonrefundable financial sanction in the amount of \$10,000 for each month of noncompliance.

20. Noncompliance with grievance resolution.

- a. If the MCOP fails to resolve and report at least 98% of access related member grievances within the specified timelines, then ODM may impose a nonrefundable financial sanction in the amount of \$10,000 for each month of noncompliance.
- b. If the MCOP fails to resolve and report at least 95% of non-access related member grievances within the specified timelines, then ODM may impose a nonrefundable financial sanction in the amount of \$10,000 for each month of noncompliance.

21. Noncompliance with Notice of Adverse Benefit Determination. If the MCOP fails to provide a timely and content-compliant Notice of Adverse Benefit Determination in accordance with 5160-58-08.4, then ODM may impose a nonrefundable financial sanction in the amount of \$500 per calendar day.

iii. **Financial Sanctions.** Refundable or nonrefundable financial sanctions may be assessed separately or in combination with other sanctions/remedial actions. The total financial sanctions assessed in any one month will not exceed 15% of one month's payments from ODM to the MCOP. Unless otherwise stated, all financial sanctions are nonrefundable.

1. Refundable and nonrefundable financial sanctions/assurances assessed against the MCOP shall be directly deducted from the net premium amount paid to the MCOP. ODM will specify on the invoice the date the funds will be deducted.
2. If an Electronic Funds Transfer (EFT) is requested by ODM, the refundable and nonrefundable financial sanction/assurance shall be paid by the MCOP to ODM within 30 calendar days of receipt of the invoice by the MCOP, or as otherwise directed by ODM in writing. In addition, per ORC Section 131.02, payments owed to the State not received within 45 calendar days will be certified to the Attorney General's (AG's) office. The AG's Office will assess the appropriate collection fee for MCOP payments certified to the AG's Office.
3. For financial sanctions calculated in accordance with this section, ODM will use the MCOP's average monthly net premium amount, disregarding refundable and nonrefundable financial sanctions, for the twelve months prior to the month in which the compliance action is issued to the MCOP.

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4. Unless otherwise specified, any monies collected through the imposition of a refundable financial sanction will be returned to the MCOP (minus any applicable collection fees owed to the AG's Office if the MCOP has been delinquent in submitting payment) after it has demonstrated full compliance with the particular program requirement, as determined by ODM. Refunds will be added to the net premium amount paid to the MCOP.
 5. The MCOP is required to submit a written request for refund to ODM at the time it believes is appropriate before a refund of monies will be considered.
 6. Refundable financial sanctions issued under sections 2.b.ii.10, 2.b.ii.11, and 2.b.ii.12 of this appendix will be returned to the MCOP in the event ODM replaces or eliminates the sanction's applicable measures from the Agreement for the measurement period immediately following the measurement period for which the sanction was assessed.
- iv. **New Enrollment Freezes.** Notwithstanding any other sanction or point assessment ODM may impose on the MCOP under this Agreement, ODM may prohibit the MCOP from receiving new enrollment through consumer initiated selection or the assignment process if any of the following occur: (1) the MCOP has accumulated a total of 51 or more points during a rolling 12-month period; (2) the MCOP has failed to fully implement a plan of correction within the designated time frame; (3) circumstances exist that potentially jeopardize the MCOP's members' access to care, as solely determined by ODM; or (4) the MCOP is found to have a pattern of repeated or ongoing noncompliance, as solely determined by ODM. Examples of circumstances ODM may consider as jeopardizing member access to care include, but are not limited to, the following:
1. The MCOP has been found by ODM to be noncompliant with the prompt payment or the non-contracting provider payment requirements;
 2. The MCOP has been found by ODM to be noncompliant with the provider panel requirements specified in Appendix H of this Agreement;
 3. The MCOP has refused to comply with a program requirement after ODM has directed the MCOP to comply with the specific program requirement;
 4. The MCOP has received notice of proposed or implemented adverse action by the ODI; or
 5. The MCOP has failed to provide adequate provider or administrative capacity.

Payments provided for under this Agreement will be denied for new enrollees, when and for so long as, payments for those enrollees are denied by CMS in accordance with the requirements in 42 CFR 438.726.

New Member Enrollment freezes issued under this appendix may be lifted in the event ODM replaces or eliminates the sanction's applicable measure(s) from this Agreement

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for the measurement period immediately following the measurement period for which the sanction was assessed.

Unless otherwise specified, new enrollment freezes issued under this appendix may be lifted after the MCOP is determined to be in full compliance with the applicable program requirement, and the violations or deficiencies are resolved to the satisfaction of ODM.

- v. **Reduction of Assignments.** ODM has discretion over how member auto-assignments are made. ODM may reduce the number of assignments the MCOP receives to ensure program stability within a region, or upon a determination that the MCOP lacks sufficient capacity to meet the needs of the increased enrollment volume. ODM may determine the MCOP has demonstrated a lack of sufficient capacity under circumstances that include, but are not limited to when the MCOP has failed to:
 - 1. Maintain an adequate provider network;
 - 2. Provide new member materials by the member's effective date;
 - 3. Meet the minimum call center requirements;
 - 4. Meet the minimum performance standards for members with special health care needs; or
 - 5. Provide complete and accurate data files regarding appeals or grievances, or its care management program.
 - vi. **Death or Injury to Member.** ODM may immediately terminate or suspend this Agreement if the MCOP's failure to perform, or properly perform, any of the requirements in this Agreement results in the death of or serious injury to, the MCOP's member, as determined by ODM.
3. **Request for Reconsiderations.** Unless otherwise specified below, the MCOP may seek reconsideration of any sanction or remedial action imposed by ODM including CAPs (when a CAP is required for the first violation in a series of progressive compliance actions), points, financial sanctions, and member enrollment freezes.
- a. The MCOP may not seek reconsideration of:
 - i. An action by ODM that results in changes to the auto-assignment of members.
 - ii. The imposition of directed CAPs as defined in II of this appendix.
 - b. The MCOP shall submit a request for reconsideration on the form required by ODM, in accordance with the following procedure:

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- i. The MCOP shall submit a request for reconsideration either by email to the designated Contract Administrator (CA), or by overnight mail to ODM's Office of Managed Care (OMC). The request for reconsideration shall be received by ODM no later than the tenth business day after the date that the MCOP receives notice of the imposition of the remedial action by ODM. If ODM imposes an enrollment freeze based on access to care concerns, the enrollment freeze will be imposed concurrent with initiating notification to the MCOP.
- ii. A request for reconsideration shall explain in detail why the specified sanction should not be imposed. At a minimum, the reconsideration shall include: the proposed action being contested; the basis for requesting reconsideration; and any supporting documentation. In considering the MCOP's request for reconsideration, ODM will review only the written material submitted by the MCOP.
- iii. ODM will take reasonable steps to make a final decision, or request additional information, within ten business days after receiving the request for reconsideration. If ODM requires additional time, the MCOP will be notified in writing.
- iv. If ODM approves a reconsideration request, in whole, the associated sanctions or remedial actions will be rescinded. The MCOP will not be required to submit a CAP.
- v. If ODM approves, in part, the MCOP's reconsideration request, the sanction, remedial action, and/or the points associated with the incident may be rescinded or reduced, at the discretion of ODM. The MCOP may still be required to submit a CAP if ODM, in its discretion, believes a CAP is still warranted under the circumstances.
- vi. If ODM denies the MCOP's reconsideration request, any CAP, sanction, remedial action, and/or points outlined in the original notice of noncompliance will be assessed.

APPENDIX O

QUALITY WITHHOLDS

1. **Dual Benefit Members Quality Withhold Policies and Measures.** Section 4 of the Three-Way specifies the quality withhold policies and measures for the dual benefit members (opt-in population). For the dual benefit members (opt-in population), the quality withhold methodology is specified in *CMS' Medicare-Medicaid Capitated Financial Alignment Model Quality Withhold Technical Notes (DY 2 through 9)*.
2. **Medicaid-Only Members Quality Withhold Policies and Measures.** For each year of the demonstration, ODM will withhold a percentage of the MCOP's Medicaid-only (opt-out population) capitation rate. The quality withhold is two percent (2%) in Demonstration Year 2 and three percent (3%) in Demonstration Years 3 through 9. For Demonstration Years 2 through 9, the percent of Medicaid-only withheld amounts repaid to the MCOP will be equal to the percent of withhold the MCOP receives for the dual-benefit (opt-in) members as determined in accordance with the '*CMS' Medicare-Medicaid Capitated Financial Alignment Model Quality Withhold Technical Notes*' for the applicable demonstration year.

In recognition of requirements in this Agreement, the Health Insuring Corporation (HIC) Franchise Fee component of the MCOP capitation rates will be automatically assigned a payout award of 100%.

The sanctions for non-compliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX P

TERMINATION/NONRENEWAL

1. **Plan-Initiated Terminations/Nonrenewal.** If a MyCare Ohio Plan (MCOP) provides notice of the termination/nonrenewal of this Agreement to ODM, pursuant to Article VIII of this Agreement or Section 5.5 of the Three-Way, the MCOP will be required to comply with the following:

- a. **Fulfill Existing Duties and Obligations.** The MCOP agrees to fulfill all duties and obligations as required under OAC Chapter 5160-58 and any agreements related to the provision of services for the Medicaid population during periods of time when the MCOP was under contract with ODM. Such duties and obligations include, but are not limited to, the submission by the MCOP of any previously reported appeals and grievances data which were unresolved for the Medicaid population after the termination/nonrenewal date, resolution of provider and consumer complaints for the Medicaid population served by the MCOP for the Agreement time periods, and provision of data to support audits related to the Medicaid population served by the MCOP for the MCOP's Agreement time periods.
- b. **Refundable Monetary Assurance.** The MCOP will be required to submit a refundable monetary assurance. This monetary assurance will be held by ODM until such time that the MCOP has submitted all outstanding monies owed, data files, and reports, including, but not limited to, grievance, appeal, encounter, and cost report data related to time periods through the final date of service under the Agreement. The monetary assurance shall be in an amount of either \$50,000 or 5% of the capitation amount paid by ODM in the month the termination/nonrenewal notice is issued, whichever is greater.

The MCOP shall remit the monetary assurance in the specified amounts via separate electronic fund transfers (EFT) payable to *Treasurer of State, State of Ohio (ODM)*. The MCOP shall contact its Contract Administrator to verify the correct amounts required for the monetary assurance and obtain an invoice number prior to submitting the monetary assurance. Information from the invoices shall be included with each EFT to ensure monies are deposited in the appropriate ODM Fund account. In addition, the MCOP shall send copies of the EFT bank confirmations and copies of the invoices to their Contract Administrator.

If the monetary assurance is not received as specified above, ODM may withhold the MCOP's next month's capitation payment until such time that ODM receives documentation that the monetary assurance has been received by the Treasurer of State. If within one year of the date of issuance of the invoice, the MCOP does not submit all outstanding monies owed and required submissions, including, but not limited to, grievance, appeal, encounter, and cost report data related to time periods through the final date of service under the Agreement, the monetary assurance will not be refunded to the MCOP.

- c. **Withhold Amount.** Any withhold amount in the managed care program performance payment fund will be retained by ODM.
- d. **Final Accounting of Amounts Outstanding.** The MCOP shall submit to ODM a final accounting list of any outstanding monies owed by ODM no later than six months after the termination/nonrenewal date. Failure by the MCOP to submit a list of outstanding items will be

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Termination/Nonrenewal

deemed a forfeiture of any additional compensation due to the MCOP. ODM payment will be limited to only those amounts properly owed by ODM.

- e. **Financial Sanctions.** All previously collected refundable financial sanctions shall be retained by ODM.
- f. **Data Files.** In order to assist members with continuity of care, the terminating MCOP shall create data files to be shared with each newly enrolling MCOP. The data files shall be provided in a consistent format specified by ODM and may include information on the following: care management, prior authorizations, inpatient facility stays, PCP assignments, pregnant members, and any other information as specified by ODM. The timeline for providing these files will be at the discretion of ODM. The terminating MCOP will be responsible for ensuring the accuracy and data quality of the files.
- g. **Notification.**
 - i. **Provider Notification.** The MCOP shall notify contracted providers at least 55 calendar days prior to the effective date of termination. The provider notification shall be approved by ODM prior to distribution.
 - ii. **Member Notification.** Unless otherwise notified by ODM, the MCOP shall notify its members regarding its provider agreement termination at least 45 calendar days in advance of the effective date of termination. The member notification shall be approved by ODM prior to distribution.
 - iii. **Prior Authorization Re-Direction Notification.** The MCOP shall create two notices to assist members and providers with prior authorization requests received and/or approved during the last month of membership. The first notice is for prior authorization requests for services to be provided after the effective date of termination; this notice will direct members and providers to contact the enrolling MCOP. The second notice is for prior authorization requests for services to be provided before and after the effective date of termination. The MCOP shall utilize ODM model language to create the notices and receive approval by ODM prior to distribution. The notices will be mailed to the provider and copied to the member for all requests received during the last month of MCOP membership.

2. ODM-Initiated Terminations For Cause.

- a. If ODM initiates the proposed termination, nonrenewal or amendment of this Agreement pursuant to OAC rules 5160-58-01.1 and 5160-26-10 by issuing a proposed adjudication order pursuant to O.R.C. 5164.38, and the MCOP submits a valid appeal of that proposed action pursuant to O.R.C. Chapter 119, the MCOP's Agreement will be extended through the issuance of an adjudication order in the MCOP's appeal under ORC Chapter 119.

During this time, the MCOP will continue to accrue points and be assessed penalties for each subsequent compliance assessment occurrence/violation under Appendix N of this Agreement.

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If the MCOP exceeds 69 points, each subsequent point accrual will result in a \$15,000 nonrefundable financial sanction.

Pursuant to OAC rules 5160-58-01.1 and 5160-26-10, if ODM has proposed the termination, nonrenewal, denial or amendment of a provider agreement, ODM may notify the MCOP's members of this proposed action and inform the members of their right to immediately terminate their membership with that MCOP without cause. If ODM has proposed the termination, nonrenewal, denial or amendment of a provider agreement and access to medically necessary covered services is jeopardized, ODM may propose to terminate the membership of all of the MCOP's members. The appeal process for reconsideration of the proposed termination of members is as follows:

- i. All notifications of such a proposed MCOP membership termination will be made by ODM via certified or overnight mail to the identified MCOP contact.
 - ii. An MCOP notified by ODM of such a proposed MCOP membership termination will have three business days from the date of receipt to request reconsideration.
 - iii. All reconsideration requests shall be submitted by either facsimile transmission or overnight mail to the Director, Ohio Department of Medicaid, and received by 3PM Eastern Time on the third business day following receipt of the ODM notification of termination. The address and fax number to be used in making these requests will be specified in the ODM notification of termination document.
 - iv. The MCOP will be responsible for verifying timely receipt of all reconsideration requests. All requests shall explain in detail why the proposed MCOP membership termination is not justified. The MCOP's justification for reconsideration will be limited to a review of the written material submitted by the MCOP.
 - v. A final decision or request for additional information will be made by the Director within three business days of receipt of the request for reconsideration. Should the Director require additional time in rendering the final reconsideration decision, the MCOP will be notified of such in writing.
 - vi. The proposed MCOP membership termination will not occur while an appeal is under review and pending the Director's decision. If the Director denies the appeal, the MCOP membership termination will proceed at the first possible effective date. The date may be retroactive if the ODM determines it would be in the best interest of the members.
- b. Fulfill Existing Duties and Obligations.** The MCOP agrees to fulfill all duties and obligations as required under OAC Chapter 5160-58 and this Agreement related to the provision of services for the Medicaid population during periods of time when MCOP was under contract with ODM. Such duties and obligations include, but are not limited to, the submission by the MCOP of any previously reported appeals and grievances data which were unresolved for the Medicaid population after the termination/nonrenewal date, resolution of provider and member complaints for the Medicaid population served by the MCOP for the Agreement time periods, and provision of data to support audits related to the Medicaid population served by the MCOP

for the Agreement time periods.

- c. **Refundable Monetary Assurance.** The MCOP will be required to submit a refundable monetary assurance. This monetary assurance will be held by ODM until such time the MCOP has submitted all outstanding monies owed, data files, and reports, including, but not limited to, grievance, appeal, encounter, and cost report data related to time periods through the final date of service under this Agreement. The monetary assurance shall be in an amount of either \$50,000 or 5% of the capitation amount paid by ODM in the month the termination/nonrenewal notice is issued, whichever is greater.

The MCOP shall remit the monetary assurance in the specified amounts via separate electronic fund transfers (EFT) payable to *Treasurer of State, State of Ohio (ODM)*. The MCOP shall contact its Contract Administrator to verify the correct amounts required for the monetary assurance and obtain an invoice number prior to submitting the monetary assurance. Information from the invoices shall be included with each EFT to ensure monies are deposited in the appropriate ODM Fund account. In addition, the MCOP shall send copies of the EFT bank confirmations and copies of the invoices to its Contract Administrator.

If the monetary assurance is not received as specified above, ODM will withhold the MCOP's next month's capitation payment until such time ODM receives documentation that the monetary assurance has been received by the Treasurer of State. If within one year of the date of issuance of the invoice, the MCOP does not submit all outstanding monies owed and required submissions, including, but not limited to, grievance, appeal, encounter, and cost report data related to time periods through the final date of service under this Agreement, the monetary assurance will not be refunded to the MCOP.

- d. **Withhold Amount.** Any withhold amount in the managed care program performance payment fund will be retained by ODM.
- e. **Financial Sanctions.** All previously collected refundable financial sanctions shall be retained by ODM.
- f. **Final Accounting of Amounts Outstanding.** The MCOP shall submit to ODM a final accounting list of any outstanding monies owed by ODM no later than six months after the termination/nonrenewal date. Failure by the MCOP to submit a list of outstanding items will be deemed a forfeiture of any additional compensation due to the MCOP. ODM payment will be limited to only those amounts properly owed by ODM.
- g. **Data Files.** In order to assist members with continuity of care, the terminating MCOP shall create data files to be shared with each newly enrolling MCOP. The data files shall be provided in a consistent format specified by ODM and may include information on the following: care management, prior authorizations, inpatient facility stays, PCP assignments, pregnant members, and any other information as specified by ODM. The timeline for providing these files will be at the discretion of ODM. The terminating MCOP will be responsible for ensuring the accuracy and data quality of the files.

h. **Notification.**

- i. **Provider Notification.** The MCOP shall notify contracted providers at least 55 calendar days prior to the effective date of termination. The provider notification shall be approved by ODM prior to distribution.
- ii. **Prior Authorization Re-Direction Notification.** The MCOP shall create two notices to assist members and providers with prior authorization requests received and/or approved during the last month of membership. The first notice is for prior authorization requests for services to be provided after the effective date of termination; this notice will direct members and providers to contact the enrolling MCOP. The second notice is for prior authorization requests for services to be provided before and after the effective date of termination. The MCOP shall utilize ODM model language to create the notices and receive approval by ODM prior to distribution. The notices will be mailed to the provider and copied to the member for all requests received during the last month of MCOP membership.

3. **Termination or Modification of this Agreement Due to Lack of Funding.** Should this Agreement terminate or be modified due to a lack of available funding as set forth in the Baseline of this Agreement, the MCOP has no right to appeal the selection process under ORC Chapter 119 pursuant to ORC Section 5164.38 and will be required to comply with the following:

- a. **Fulfill Existing Duties and Obligations.** The MCOP agrees to fulfill all duties and obligations as required under OAC Chapter 5160-58 and this Agreement related to the provision of services for the Medicaid populations during periods of time when the MCOP was under contract with ODM. Such duties and obligations include, but are not limited to, the submission by the MCOP of any previously reported appeals and grievances data which were unresolved for the Medicaid populations, resolution of provider and consumer complaints for the Medicaid population served by the MCOP for the Agreement time periods, and provision of data to support audits related to the Medicaid populations served by the MCOP for the Agreement time periods.
- b. **Refundable Monetary Assurance.** The MCOP will be required to submit a refundable monetary assurance should the Agreement terminate. This monetary assurance will be held by ODM until such time that the MCOP has submitted all outstanding monies owed, data files, and reports, including, but not limited to, grievance, appeal, encounter, and cost report data related to time periods through the final date of service under this Agreement. The monetary assurance shall be in an amount of either \$50,000 or 5% of the capitation amount paid by ODM in the month the termination notice is issued, whichever is greater.

The MCOP shall remit the monetary assurance in the specified amounts via separate electronic fund transfers (EFT) payable to *Treasurer of State, State of Ohio (ODM)*. The MCOP shall contact its Contract Administrator to verify the correct amounts required for the monetary assurance and obtain an invoice number prior to submitting the monetary assurance. Information from the invoices shall be included with each EFT to ensure monies are deposited in the appropriate ODM Fund account. In addition, the MCOP shall send copies of the EFT bank confirmations and copies of the invoices to its Contract Administrator.

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If the monetary assurance is not received as specified above, ODM will withhold the MCOP's next month's capitation payment until such time that ODM receives documentation that the monetary assurance has been received by the Treasurer of State. If within one year of the date of issuance of the invoice, an MCOP does not submit all outstanding monies owed and required submissions, including, but not limited to, grievance, appeal, financial sanctions or sanctions, encounter, and cost report data related to time periods through the final date of service under this Agreement, the monetary assurance will not be refunded to the MCOP.

- c. **Withhold Amount.** Any withhold amount in the managed care program performance payment fund will be awarded by ODM in accordance with the pay-for-performance system set forth in Appendix O for the current provider agreement year.
- d. **Financial Sanctions.** Previously collected refundable financial sanctions directly and solely related to the termination or modification of this Agreement shall be returned to the MCOP.
- e. **Final Accounting of Amounts Outstanding.** The MCOP shall submit to ODM a final accounting list of any outstanding monies owed by ODM no later than six months after a termination/nonrenewal date of this Agreement. Failure by the MCOP to submit a list of outstanding items will be deemed a forfeiture of any additional compensation due to the MCOP. ODM payment will be limited to only those amounts properly owed by ODM.
- f. **Data Files.** In order to assist members with continuity of care, the MCOP shall create data files if requested by ODM. The data files shall be provided in a consistent format specified by ODM and may include information on the following: care management, prior authorizations, inpatient facility stays, PCP assignments, pregnant members, and any other information as specified by ODM. The timeline for providing these files will be at the discretion of ODM. The MCOP will be responsible for ensuring the accuracy and data quality of the files.
- g. **Provider Notification.** The MCOP shall notify contracted providers within 30 calendar days of notice from ODM of the effective date of termination or modification of this Agreement. The provider notification shall be approved by ODM prior to distribution.

The sanctions for non-compliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX Q
PAYMENT REFORM

The Ohio Department of Medicaid (ODM) is committed to reforming the health care delivery system by designing and implementing systems of payment that signal powerful expectations for improved health care delivery.

1. The MCOP shall support and advance initiatives where payment for MyCare Ohio is increasingly designed to improve and reflect effectiveness and efficiency with which providers deliver care. The MCOP shall ensure that members are engaged in managing their health, selecting their providers, and maintaining sensitivity to the cost and quality of services they seek. The MCOP shall achieve progress in the following areas:
 - a. **Value-Oriented Payment.** The MCOP shall design and implement payment methodologies with its network providers designed to cut waste, reflect value, or both. For the purposes of this Agreement, payments that cut waste are those that by their design reduce unnecessary payment and unnecessary care (e.g. nursing facility stays). Value is defined as the level of the quality of care for the amount of money paid to the provider. Payments designed to reflect value are those that are tied to provider performance so that they may rise or fall in a predetermined fashion commensurate with different levels of performance assessed against standard measures.
 - b. **Market Competition and Consumerism.** The MCOP shall design contracting methodologies and payment options and administer the benefit package to members in a manner that enhances competition among providers and reduces unwarranted price and quality variation. To stimulate provider competition further, the MCOP shall establish programs to engage MCOP members to make informed choices and to select evidence-based, cost-effective care.
 - c. **Transparency.** The MCOP shall participate in ODM initiatives to design and implement member-accessible comparisons of provider information including quality, cost, and patient experience, among providers in the plan's network. The MCOP shall contribute to the program design, provide data as specified by ODM, and publish results in accordance with standards established by the Department.
2. The MCOP shall establish value-based contracts with nursing facilities. Examples of what a MCOP should focus on in designing payment strategies with nursing facilities include hospital readmission; re-balancing and approach to shifting members from nursing facilities to home- and community-based services; and episodes of care).

The MCOP shall establish value-based contracts that impact at least 10 nursing facilities. Payments made by the MCOP to nursing facilities under these value-based contracts shall be in addition to payments made in accordance with ORC 5165.15 through 5165.49. In addition, the MCOP shall submit a quarterly report as specified by ODM that addresses progress towards meeting these obligations.

Examples of strategies include the following:

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MyCare Ohio
Payment Reform

- a. Pay providers differentially according to performance (and reinforce with benefit design);
 - b. Design approaches to payment that cut waste while not diminishing quality, including reducing unwarranted payment variation;
 - c. Design payments to encourage adherence to clinical guidelines. For example, at a minimum, the MCOP shall address policies to discourage elective deliveries before 39 weeks;
 - d. Develop payment strategies to reduce unwarranted price variation, such as reference or value pricing (e.g. analysis of price variation among network providers by procedure and service types, pilot value pricing programs, encouragement of member value-based pricing information, center of excellence pricing, and rebalance payment between primary and specialty care).
3. **Reporting.** The MCOP shall submit a quarterly progress report as specified by ODM that addresses progress towards meeting the obligations as outlined above. ODM will provide a report template. The report elements shall include:
- a. A description of the value-based purchasing strategies;
 - b. Type of provider(s);
 - c. Objective of each value-based purchasing strategy and progress in meeting each objective;
 - d. Type of value-based arrangement (e.g. upside risk or downside risk);
 - e. Sum of total gross payments to waiver and/or nursing facility providers, if applicable;
 - f. Sum of total net payments to waiver and/or nursing facility providers, if applicable;
 - g. Number of Medicaid per diem related days paid and revenue center codes for nursing facility providers, if applicable; and
 - h. Unique count of members.

The sanctions for non-compliance with requirements in this appendix are listed in Appendix N of this Agreement.

APPENDIX R

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APPENDIX S

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APPENDIX T
CHART OF DELIVERABLES

1. General

- a. The MCOP must submit all deliverables required by this Agreement and as requested by ODM. Deliverables include but are not limited to policies, procedures, plans, member and provider notices, member materials, notifications to ODM, data, and reports.
- b. The MCOP must submit each deliverable as specified by ODM, including but not limited to the format and timeframe for submission. Format means the content, form, and manner of submission.
- c. ODM may, at its discretion, change the format or timeframe for submission of a deliverable or deliverables.
- d. ODM may, at its discretion, require the MCOP to submit additional deliverables in the format and timeframe specified by ODM.
- e. If this Agreement or ODM otherwise requires ODM prior review or approval of a deliverable, the MCOP must receive written notice of review or approval from ODM prior to the deliverable taking effect.
- f. Unless otherwise specified by ODM, the MCOP must submit deliverables to the email address provided by ODM for submission of deliverables.
- g. Unless otherwise specified by this Agreement or ODM, deliverables are due by 3:00 pm Eastern Time on the due date indicated. If the due date falls on a weekend or a state holiday, the due date is 3:00 pm Eastern Time on the next business day.
- h. The MCOP must review all deliverables prior to submission to ODM and ensure the MCOP submits timely, accurate, and complete deliverables to ODM.
- i. The MCOP's failure to submit timely, accurate, and complete deliverables to ODM is subject to compliance actions as specified in Appendix N, Compliance Actions.
- j. If ODM requests a revision to a deliverable, the MCOP must make the changes and resubmit the deliverable in the format and timeframe specified by ODM. ODM will determine the MCOP's compliance with the requirement to submit timely, accurate, and complete deliverables based on the original submission.
- k. The MCOP must review the content of deliverables to determine whether performance as documented in the deliverable complies with this Agreement. If the MCOP identifies deficient performance, the MCOP, in the submission of the deliverable, must include written documentation to ODM that identifies the area or areas of deficiency, and the steps taken

by the MCOP to bring performance into compliance with this Agreement. The MCOP's self-identification of a deficiency does not impact ODM's ability to take a compliance action under Appendix N, Compliance Actions; however, ODM may consider the MCOP's self-identification when determining the appropriate compliance action.

2. Ad Hoc Deliverables

- a. The MCOP must submit notifications and other ad hoc deliverables (deliverables that are not scheduled, but the MCOP must submit to ODM under specific circumstances) to ODM as specified in this Agreement or as otherwise directed by ODM.
- b. Unless otherwise specified by this Agreement or ODM, the MCOP must submit all notifications and other ad hoc deliverables to ODM in writing.

3. Scheduled Deliverables

- a. The Chart of Scheduled Deliverables in Section 4 below summarizes the scheduled deliverables specified in this Agreement, including the reference to the applicable appendix, the deliverable name, the frequency of the deliverable, and the due date.
- b. The Chart of Scheduled Deliverables is presented for convenience only and does not limit the MCOP's responsibility to provide all deliverables required by ODM in the format and frequency specified by ODM.

4. Chart of Scheduled Deliverables

#	Provider Agreement Appendix	Deliverable Name	Frequency	Due Date
1.	Appendix C	MyCare Call Center Report (Member, Provider, Medical Advice, Care Management & Behavior Health Crisis)	Monthly Semi- Annual	<ul style="list-style-type: none"> • 15th of the month • January 10 for the 6-month period ending December 31 • July 10 for the 6-month period ending June 30
2.	Appendix C	Member and Family Advisory Council Report	Quarterly	<ul style="list-style-type: none"> • January 30 for the quarter ending December 31 • April 30 for the quarter ending March 31 • July 30 for the quarter ending June 30 • October 30 for the quarter ending September 30

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 MyCare Ohio
 Chart of Deliverables

3.	Appendix C	MCOP Organizational and Functional Chart	Annual	<ul style="list-style-type: none"> January 15
4.	Appendix C	CPSE Report	Monthly	<ul style="list-style-type: none"> 15th of the month
5.	Appendix C	Third Party Liability Data File	Weekly	<ul style="list-style-type: none"> No later than 11:00 pm Eastern Time Thursday night
6.	Appendix C	Self-Directed Member's Report	Quarterly	<ul style="list-style-type: none"> Last day of the month in March, June, September and December
7.	Appendix C	PASRR Report	Monthly	<ul style="list-style-type: none"> 15th of the month
8.	Appendix C	Transportation Performance Report	Quarterly	<ul style="list-style-type: none"> January 31 for the quarter ending December 31 April 30 for the quarter ending March 31 July 31 for the quarter ending June 30 October 31 for the quester ending September 30
9.	Appendix C	Pharmacy Reference Guide	Quarterly	<ul style="list-style-type: none"> March 20 June 20 September 20 December 20

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10.	Appendix C	Coordination of Benefits Agreement (COBA) Production Status Report	Monthly	<ul style="list-style-type: none"> • 25th of the month
11.	Appendix C	Provider Termination Report	Monthly	<ul style="list-style-type: none"> • 5th of the month
12.	Appendix F	MCOP Marketing Plan	Annual	<ul style="list-style-type: none"> • December 1
13..	Appendix G	Institution for Mental Diseases (IMD) for Extended Stay	Quarterly	<ul style="list-style-type: none"> • January 31 for the quarter ending December 31 • April 30 for the quarter ending March 31 • July 31 for the quarter ending June 30 • October 31 for the quarter ending September 30
14.	Appendix G	Mental Health Parity and Addiction Equity Act (MHPAEA) Compliance Analysis/ Attestation of Compliance	Annual	<ul style="list-style-type: none"> • December 31
15.	Appendix H	Time and Distance Report	Quarterly	<ul style="list-style-type: none"> • January 6 • April 6 • July 6 • October 5
16.	Appendix H	Monthly Complaints Report	Monthly	<ul style="list-style-type: none"> • 15th of every month

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17.	Appendix I	Managed Care Fraud, Waste and Abuse Report	Annual	<ul style="list-style-type: none"> February 28
18.	Appendix I	Fraud, Waste, and Abuse Inventory Report	Quarterly	<ul style="list-style-type: none"> January 31 April 30 July 31 October 31
19 .	Appendix I	Protected Health Information (PHI) Breach Report	Annual	<ul style="list-style-type: none"> January 31 for the year ending the previous December
20.	Appendix I	Compliance Plan	Annual	<ul style="list-style-type: none"> January 15
21.	Appendix I	EOB Mailing Date	Annual	<ul style="list-style-type: none"> June 30th
22.	Appendix I	EOB Results	Annual	<ul style="list-style-type: none"> 60 calendar days after the EOB mailing date
23.	Appendix I	Waiver Service Claims Audit Report	Semi-Annual	<ul style="list-style-type: none"> January 31st & July 31st

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 Chart of Deliverables

24.	Appendix I	Fraud, Waste, and Abuse Plan	Annual	<ul style="list-style-type: none"> January 15
25.	Appendix J	NAIC Quarterly Financial Statement	Quarterly	<ul style="list-style-type: none"> May 15 August 15 November 15
26.	Appendix J	NAIC Annual Financial Statement	Annual	<ul style="list-style-type: none"> March 1
27.	Appendix J	Prompt Pay Report	Quarterly	<ul style="list-style-type: none"> 15th of the first month of the calendar quarter
28.	Appendix J	Quarterly Cost Report	Quarterly	<ul style="list-style-type: none"> January 31 April 30 July 31 October 31
29.	Appendix J	Annual Cost Report	Annual	<ul style="list-style-type: none"> April 30
30.	Appendix K	MCOP Population Stream Data Submission File	Quarterly	<ul style="list-style-type: none"> January 31 April 30 July 31 October 31

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31.	Appendix K	MCOP Risk Stratification Data Submission File	Quarterly	<ul style="list-style-type: none"> • January 31 • April 30 • July 31 • October 31
32.	Appendix K	Health Risk Assessment Submission File	Quarterly	<ul style="list-style-type: none"> • January 31 • April 30 • July 31 • October 31
33.	Appendix K	Care Management Status Submission File	Quarterly	<ul style="list-style-type: none"> • January 31 • April 30 • July 31 • October 31
34.	Appendix K	Care Coordination Contact Lists	Quarterly	<ul style="list-style-type: none"> • January 31 • April 30 • July 31 • October 31
35.	Appendix K	Behavior Support Plans Report	Quarterly	<ul style="list-style-type: none"> • The 15th day of January, April, July and October
36.	Appendix K	Care Management Training Requirements Attestation	Annual	<ul style="list-style-type: none"> • January 31
37.	Appendix K	Quality Assessment & Performance Improvement	Annually	<ul style="list-style-type: none"> • October 15

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38.	Appendix L	Monthly Appeal and Grievance Activity Report	Monthly	<ul style="list-style-type: none"> • 15th of the month
39.	Appendix L	Monthly Aggregate and Detail UMTD Files	Monthly	<ul style="list-style-type: none"> • 5th business day
40.	Appendix L	Unstaffed home care report	Monthly	<ul style="list-style-type: none"> • 15th of the month
41.	Appendix L	Prior Auth (Rx) Statistics Report (Quarterly Prior Auth Statistics Report)	Quarterly	<ul style="list-style-type: none"> • January 15th • April 15th • July 15th • October 15th
42.	Appendix L	HEDIS Data	Annual	<ul style="list-style-type: none"> • June 18
43.	Appendix L	HEDIS Final Audit Report	Annual	<ul style="list-style-type: none"> • July 19
44.	Appendix L	HEDIS IDSS Data Certification Letter	Annual	<ul style="list-style-type: none"> • July 19

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45.	Appendix L	NAIC/Cost Report Reconciliation	Annual	<ul style="list-style-type: none"> • April 30
46.	Appendix J	HIC Tax Report	Quarterly	<ul style="list-style-type: none"> • March 1 • May 15 • August 15 • November 15
47.	Appendix L	Service Authorization and Claims Payment Data	Quarterly	<ul style="list-style-type: none"> • January 15 • April 15 • July 15 • October 15