

**Statewide Medicaid Managed Care (SMMC)
Managed Care Plan
Report Guide
Effective 06-01-14**

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Section One: Overview and Reporting Requirements

Chapter 1: General Overview

Purpose of Report Guide

The Report Guide is a companion to each SMMC Managed Care Plan's Contract (Contract) with the Agency for Health Care Administration (Agency). It provides details of plan reporting requirements including instructions, templates, and submission directions.

This Report Guide provides report guidance and requirements for the following types of Managed Care Plans:

- ✓ Long-term Care Fee-for-Service Provider Service Networks (LTC FFS PSNs)
- ✓ Managed Medical Assistance Health Maintenance Organizations (MMA HMOs)
- ✓ Managed Medical Assistance Capitated Provider Service Networks (MMA Capitated PSNs)
- ✓ Managed Medical Assistance Specialty Plans
- ✓ Managed Medical Assistance Children's Medical Services Network (MMA CMSN)
- ✓ Comprehensive Long-term Care (LTC) Plans

Note: This edition of the Report Guide solely reflects the requirements of LTC and MMA Managed Care Plans.

Chapter 2, General Reporting Requirements, covers the general report submission and certification requirements for the SMMC Managed Care Plans. After these introductory chapters, the remaining chapters cover any specific report certification information and specific individual report instructions and formats.

The individual report chapters are organized in the following manner (all in respective alphabetical order):

1. Attachment II, Core Contract Provisions (CORE) – these reports apply to both LTC and MMA plans.
2. Attachment II, Exhibit II-B, Long-term Care Program – these reports apply to LTC plans.
3. Attachment II, Exhibit II-A, Managed Medical Assistance Program – these reports apply to MMA plans.

Within each individual report chapter, the following report-specific items are covered:

- Managed Care Plan types that are required to provide the report.

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- Report purpose.
- Report frequency requirements and due dates.
- Report submission requirements.
- Specific instructions and requirements for completion, including format and any variances specific to a particular Managed Care Plan type.
- Report template.

Reading this Report Guide should produce the following four results:

- An understanding of the Managed Care Plan's responsibility for report submissions.
- A clear concept of what each report requires and how it is best fulfilled.
- A specific report format to maintain consistency in the data flow.
- A single location for all format requirements for all contractual non-X-12 reports that must be submitted by the Managed Care Plans to the Agency.

This Report Guide is referenced in each Managed Care Plan's Contract with the Agency, and each report is summarized in the Contract's Summary of Reporting Requirements Table.

The Managed Care Plan must comply with all reporting requirements set forth in its Contract and this Report Guide. All of the reports within the Report Guide are a contractual obligation of the Managed Care Plan to the Agency, and the Managed Care Plans are responsible for their accurate completion and timely submission as specified in the Contract and Report Guide. Non-compliant Managed Care Plans are subject to liquidated damages and sanctions as specified in the Contract.

Report Guide Updates

As specified in each Managed Care Plan Contract, the Agency reserves the right to modify reporting requirements with a 90-calendar-day written notice to the Managed Care Plan, unless otherwise specified. The Agency will post updates to:

http://ahca.myflorida.com/Medicaid/statewide_mc/index.shtml#ltcpr

In general, the Report Guide may change on a calendar quarter basis. Changes in templates between Report Guide postings are provided on the website. The latest revised version of the Report Guide will be displayed with its effective date.

Chapter 2: General Reporting Requirements

General Report Certification Requirements

In addition to the specific report requirements found in subsequent chapters, all Managed Care Plans are responsible for fulfilling basic requirements that apply to all submissions. These include submitting an attestation assuring the accuracy, completeness, and timely submission of each report.

Some chapters have designated file names and/or formats for these federally required attestations (also referred to as “certifications”). However, for chapters where a file name and/or format is not designated, Managed Care Plans must create and submit a PDF file with a file name that includes the word “attestation” and the date it is being submitted. The attestation can simply state:

“I, <<NAME OF PLAN OFFICIAL>>, certify that all data and all documents submitted for <<Report Name and Report Period>> are accurate, truthful, and complete to the best of my knowledge, information and belief.”

The attestation should be on the plan’s letterhead, signed by the official referenced on the attestation itself, and it should include the official’s specific title. The attestation PDF file should be submitted to the same person, location, and in the same manner as the report submission unless the specific report chapter indicates otherwise.

The Managed Care Plan must submit its attestation at the same time it submits the certified data reports (see 42 CFR 438.606(c)). The attestation (and delegation of authority if applicable) must be scanned and submitted to the Agency as one PDF file. It must be submitted with the certified data unless specifically indicated in the individual report chapters. A sample delegation of authority letter is provided by the Agency at:

http://ahca.myflorida.com/Medicaid/statewide_mc/index.shtml#ltcpr

Report Accuracy and Submission Timeliness

As specified in the Contract provisions, general reporting requirements include the following:

- The Managed Care Plan’s chief executive officer (CEO), chief financial officer (CFO) or an individual who directly reports to the CEO or CFO and who has delegated authority to certify the Managed Care Plan’s reports, must attest, based on his/her best knowledge, information and belief, that all data submitted in conjunction with the reports and all documents requested by the Agency are accurate, truthful and complete (see 42 CFR 438.606(a) and (b)). The written delegation of authority must be contemporaneous and renewed each calendar year.

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- The deadline for report submission referred to in the Contract provision is the actual time of receipt at the Agency bureau or location, not the date the file was postmarked or transmitted.
- If a reporting due date falls on a weekend or holiday, the report must be due to the Agency on the following business day.
- All reports filed on a quarterly basis must be filed on a calendar year quarter.

SMMC SFTP Site Access

Most reports are submitted to the Agency's SMMC SFTP site. To access the SMMC SFTP site, contact your Agency contract manager.

Report Naming and Identification

A report naming convention has been established for all reports and attestations (including supporting submission documents) with the following exceptions:

- Audited Annual and Unaudited Quarterly Financial Reports
- CHCUP (CMS-416) and FL 80% Screening
- Provider Network File
- Quarterly Fraud and Abuse Activity Report
- Suspected/Confirmed Fraud and Abuse Reporting
- Quarterly and Annual Medical Loss Ratio (MLR) Reports
- Reports submitted directly to the Agency's Fiscal Agent or other delegated entities outside of the Agency will maintain their own file naming convention.

This file naming convention uses the plan name identifier as well as a unique 4-digit number assigned to each report, attestation and submission document. There are also codes for the report year, report year type and frequency of each report. These codes are provided in the Plan Identifier Table, Report Code Identifier Table, Report Year Type Table and the Frequency Code Table, respectively, later in this chapter. The plan name identifiers, report code identifiers, report year type identifiers and report frequency codes are all used as part of this SMMC file naming convention.

- The file naming convention is as follows:
 - The Managed Care Plan's three character identifier from the Plan Identifier Table
 - Four-digit year in which the report is due
 - Two-digit month in which the report is due
 - One-character identifier for the report's year type from the Report Year Type Table
 - One-character identifier for the report frequency from the Frequency Code Table

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- Two digits indicating the specific data period being reported from the Frequency Code Table (Reporting Data Period)
 - Four-digit report code identifier from the Report Code Identifier Table
- There are **NO** dashes, spaces or other characters between each field.
- File naming convention examples are provided at the end of this chapter.
- Most of the report file names not using this file naming convention require the use of the unique alphabetic 3-character plan identifier.
- For reports that require supplemental documents, the document should be submitted in a .zip file using the file naming convention for that report. This .zip file may not be password protected.
- Resubmitted or corrected reports must be submitted with the same file name as the original report. **Exception:** If the resubmission is due to a correction needed for an incorrect file name, the file name must be the correct file name using the correct file naming convention.
- **Late submissions** must be filed with the information required for the on-time filing. For example: a report due in July, but filed in August, must state the month of July (07) not August (08), in the file name. A report due in December 2014, but filed in January 2015, must state the year 2014 in the file name (not January 2015).

Any report that does not require this file naming convention must have a designated file name which can be found within the individual Report Guide chapters, under the section labeled “Submission.” Please submit all such reports and their accompanying attestations in the file formats designated within the “Submission” sections. It is important to follow the file naming designations specified in the individual report chapters in order to maintain submission validity.

Some reports will require the use of a two-digit numeric county code. The two-digit numeric county codes to be used for all such reports are provided on the County Code Table in following pages.

General Submission and Size Limits

In addition to complying with the designated file naming convention and format, the following requirements should be adhered to:

1. The Managed Care Plan may not alter or change report templates in any way.
2. The Agency’s email server security protocol allows documents with the “.zip” file extension; however, for reports or documents emailed to the Agency, the file

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must be within a ten (10) megabyte size limit. If larger files must be sent, the Managed Care Plan should discuss potential alternative delivery methods with its Agency contract manager.

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PLAN IDENTIFIER TABLE	
Plan Identifier	Comprehensive LTC Plan Name
AMG	Amerigroup
COV	Coventry
HUM	Humana
MOL	Molina
SUN	Sunshine
URA	United

Plan Identifier	LTC Plan Name
AEC	American Eldercare

Plan Identifier	MMA Plan Name
PHC	AHF d/b/a Positive Healthcare Florida HIV/AIDS Specialty Plan
BET	Better Health, LLC
UFS	First Coast Advantage, LLC
IHP	Integral Health Plan
MCC	Magellan Complete Care, LLC
PRE	Preferred Medical Plan, Inc.
PRS	Prestige Health Choice
CHA	Simply d/b/a Clear Health Alliance HIV/AIDS Specialty Plan
SHP	Simply
NBD	South Florida Community Care Network
STW	Wellcare d/b/a Staywell Health
SUN	Sunshine State Health Plan, Inc. Child Welfare Specialty Plan

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Summary Table of Managed Care Plan Reports (non X-12 Reports)

The table below lists the following Managed Care Plan reports required by the Agency. These reports must be submitted as indicated in the Summary of Reporting Requirements table (below) and as specified in the SMMC Report Guide and the SMMC Managed Care Plan Contracts. Please refer to this table as needed. Additional reporting requirements are specified in the SMMC Managed Care Plan Contracts.

Report Year Type Table	
Report Year Type	Report Year Period
K = Contract	09/01 – 08/31
F = Federal	10/01 – 09/30
S = State	07/01 – 06/30
C = Calendar	01/01 – 12/31

Frequency Code Table	
Report Frequency	Reporting Data Period
Annually = A	Last two digits of year's data being reported
Semi-annually = S	01 or 02 for first or second data period being reported
Quarterly = Q	Two digits for quarter of data being reported (01, 02, 03, 04)
Monthly = M	Two-digit month of data being reported
Variable = V	Two-digit day of submission date (01-31)
Weekly = W	Two digits for week of data being reported (01, 02, 03, 04, 05)

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SUMMARY OF REPORTING REQUIREMENTS with Report Code Identifier Information

SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
CORE REPORTS						
Achieved Savings Rebate Financial Reports	Section IX. and XIV.	3	C	0153	Annually Quarterly	SMMC SFTP Site
Achieved Savings Rebate Financial Reports Attestation				0154		
Administrative Subcontractors and Affiliates Report	Section XII. and XIV.	4	C	0100	Quarterly	SMMC SFTP Site
Administrative Subcontractors and Affiliates Report Attestation				0101		
Annual Financial Statements Filed with OIR (IN DEVELOPMENT)	Section IX. and XIV.	5	C	TBD	Annually	SMMC SFTP Site
Annual Financial Statements Filed with OIR				TBD		
Annual Fraud and Abuse Activity Report	Section VIII. and XIV.	6	S	0133	Annually	MPI-MC SFTP Site
Annual Fraud and Abuse Activity Report Attestation				0134		
Audited Annual and Unaudited Quarterly Financial Reports	Section X. and XIV.	7	C	N/A	Annually Quarterly	SMMC SFTP Site
Audited Annual and Unaudited Quarterly Financial Reports Attestation				N/A		
Claims Aging Report & Supplemental Filing Report	Section VIII. and XIV.	8	C		Quarterly	SMMC SFTP Site

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Capitated Claims Aging Report				0108		
Fee-for-Service Claims Aging Report				0109		
Claims Aging Report Attestation				0110		
Capitated Supplemental Filing Report				0111		
Supplemental Filing Report Attestation				0112		
Code 15 Report	Section VII. and XIV.	9	C	0155	Variable	SMMC SFTP Site
Code 15 Report Attestation				0156		
Critical Incident Report	Section VII. and XIV.	10	C	0118	Variable	MCP Contract Manager via email
Critical Incident Report Attestation				0119		
Critical Incident Summary Report	Section VII. and XIV.	11	C	0120	Monthly	SMMC SFTP Site
Critical Incident Summary Report Attestation				0121		

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Enrollee Complaints, Grievances, and Appeals Report	Section IV. and XIV.	12	C	0127	Monthly	SMMC SFTP Site
Enrollee Complaints, Grievances, and Appeals Report Attestation				0128		
Enrollee Help Line Statistics Report (IN DEVELOPMENT)	Section IV. B.2.h. and XIV.	13	C	TBD	Monthly	SMMC SFTP Site
Enrollee Help Line Statistics Report Attestation				TBD		
Marketing Agent Termination Report	Section IV. D.5.g. and XIV.	14	C	0157	Variable/Quarterly	SMMC SFTP Site
Marketing Agent Termination Report Attestation				0158		
Market/Educational Events Report	Section IV.B.5.a. and XIV.	15	C		Variable/Monthly	SMMC SFTP Site
Market/Educational Events Report				0159		
Amendment to a reported event change				0160		
Market/Educational Events Report Attestation				0161		

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Performance Measures Report	Section VII.	16	C		Annually	SMMC SFTP Site
Performance Measures Report-LTC	Exhibit II-B, Section V. and VII.					
Performance Measures Report- LTC				0141		
Performance Measures Report Attestation				0142		
HEDIS Auditor Certification with Audit Review Table				0143		
Interactive Data Submission System (IDSS) file				0144		
Performance Measures Report-MMA	Exhibit II-A. Section V.					
Performance Measures Report- MMA				0162		
Performance Measures Report Attestation				0163		
HEDIS Auditor Certification with Audit Review Table				0164		
Interactive Data Submission System (IDSS) file				0165		

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Provider Complaint Report	Section VI. and XIV.	17	C	0145	Monthly	SMMC SFTP Site
Provider Complaint Report Attestation				0146		
Provider Network File	Section VI. and XIV.	18	C	N/A	W	Choice Counseling Vendor SFTP Site
Provider Network File Attestation						
Provider Termination and New Provider Notification Report	Section VI. and XIV.	19	C	0147	Weekly	SMMC SFTP Site
Provider Termination and New Provider Notification Report Attestation				0148		
Quarterly Fraud & Abuse Activity Report	Section VIII. and XIV.	20	C	N/A	Quarterly	OIG MPI Web-based Application Site
Quarterly Fraud & Abuse Activity Report				N/A		
Suspected/Confirmed Fraud and Abuse Reporting	Section VIII. and XIV.	21	C	N/A	Variable	Agency's Online Electronic Data Entry Complaint Form
Suspected/Confirmed Fraud and Abuse Reporting Attestation						

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
LONG-TERM CARE REPORTS						
Case Management File Audit Report	Exhibit II-B, Section V. and XIV.	22	C	0102	Quarterly	SMMC SFTP Site
Case Management File Audit Report Attestation				0103		
Case Management Monitoring and Evaluation Report	Exhibit II-B, Section V. and XIV.	23	C		Quarterly	SMMC SFTP Site
Case Management Monitoring and Evaluation Report				0104		
Case Management Monitoring and Evaluation Report Attestation				0105		
Annual Roll-Up (4 th Quarter Only)				0106		
Annual Roll-Up Attestation				0107		
Case Manager Caseload Report	Exhibit II-B, Section V. and XIV.	24	C	0151	Monthly	SMMC SFTP Site
Case Manager Caseload Report Attestation				0152		
Denial, Reduction, Suspension or Termination of Services Report	Exhibit II-B, Section V. and XIV	25	C	0125	Monthly	SMMC SFTP Site

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Denial, Reduction, Suspension or Termination of Services Report Attestation				0126		
Enrollee Roster and Facility Residence Report	Exhibit II-B, Section V. and XIV.	26	C	0129	Monthly	SMMC SFTP Site
Enrollee Roster and Facility Residence Report Attestation				0130		
Level of Care Report (IN DEVELOPMENT)	Exhibit II-B, Section V, and XIV.	27	C	TBD	Quarterly	SMMC SFTP Site
Level of Care Report Attestation				TBD		
Missed Services Report	Exhibit II-B, Section V. and XIV.	28	C	0131	Monthly	SMMC SFTP Site
Missed Services Report Attestation				0132		
Nursing Facility Transfer Report	Section V. and XIV.	29	C	0135	Monthly	
Nursing Facility Transfer Report Attestation				0136		
Participant Direction Option (PDO) Roster Report	Exhibit II-B, Section V. and XIV	30	C	0137	Monthly	SMMC SFTP Site

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Participant Direction Option (PDO) Roster Report Attestation				0138		
Patient Responsibility Report	Exhibit II-B, Section V. and XIV.	31	K	0139	Annually	SMMC SFTP Site
Patient Responsibility Report Attestation				0140		
Utilization Report	Exhibit II-B, Section V. and XIV.	32	C	0149	Quarterly	SMMC SFTP Site
Utilization Report Attestation				0150		
MANAGED MEDICAL ASSISTANCE REPORTS						
Additional Network Adequacy Standards Report (IN DEVELOPMENT)	Exhibit II-A, Section VI. and XIV.	33	C	TBD	Monthly	SMMC SFTP Site
Additional Network Adequacy Standards Report Attestation				TBD		
ACA PCP Payment Increase Report	Exhibit II-A, Section V. and XIV	34	C	0166	Quarterly	MPA SFTP Site
ACA PCP Payment Increase Report Attestation				0167		

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
CHCUP (CMS-416) and FL- 80% Screening	Exhibit II-A, Section V. and XIV.	35	F	N/A	Annually	SMMC SFTP Site
CHCUP (CMS-416) and FL- 80% Screening Attestation						
Customized Benefit Notification Report (IN DEVELOPMENT)	Exhibit II-A, Section V. and XIV.	36	C	TBD	Monthly	SMMC SFTP Site
Customized Benefit Notification Report Attestation				TBD		
Electronic Health Records Standards Report (IN DEVELOPMENT)	Exhibit II-A, Section VI. and XIV.	37	C	TBD	Quarterly	SMMC SFTP Site
Electronic Health Records Standards Report Attestation				TBD		
ER Visits for Enrollees without PCP Appointment Report (IN DEVELOPMENT)	Exhibit II-A, Section V. and XIV.	38	C	TBD	Monthly	SMMC SFTP Site
ER Visits for Enrollees without PCP Appointment Report Attestation				TBD		
Healthy Behaviors Report (IN DEVELOPMENT)	Exhibit II-A, Section V. and XIV.	39	C	TBD	Quarterly	SMMC SFTP Site

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Healthy Behaviors Report Attestation				TBD		
Hernandez Settlement Agreement Survey	Exhibit II-A, Section V. and XIV.	40	C	0168	Annually	SMMC SFTP Site
Hernandez Settlement Agreement Survey Attestation				0169		
Hernandez Settlement Agreement Log	Exhibit II-A, Section V. and XIV.	41	C	0170	Quarterly	SMMC SFTP Site
Hernandez Settlement Agreement Log Attestation				0171		
Patient Centered Medical Home (PCMH) Providers Report (IN DEVELOPMENT)	Exhibit II-A, Section V. and XIV	42	C	TBD	Quarterly	SMMC SFTP Site
Patient Centered Medical Home (PCMH) Providers Report Attestation				TBD		
PCP Appointment Report (IN DEVELOPMENT)	Exhibit II-A, Section V. and XIV.	43	C	TBD	Annually	SMMC SFTP Site
PCP Appointment Report Attestation				TBD		

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SMMC Report Name	Contract Att. II, (or Exhibit) Location)	Report Guide Chapter	Reporting Year Type	Report Code	Submission Frequency	Submit To
Quarterly and Annual Medical Loss Ratio (MLR) Reports	Exhibit II-A, Section X. and XIV.	44	C	N/A	Annually Quarterly	SMMC SFTP Site
Quarterly and Annual Medical Loss Ratio (MLR) Reports Attestation				N/A		
Timely Access/PCP Wait Times Report	Exhibit II-A, Section VI. and XIV.	45	C	0172	Annually	SMMC SFTP Site
Timely Access/PCP Wait Times Report Attestation				0173		

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COUNTY CODE TABLE			
COUNTY NAME	COUNTY ID	AHCA AREA/REGION	DCF CIRCUIT
Alachua	01	03	08
Baker	02	04	08
Bay	03	02	14
Bradford	04	03	08
Brevard	05	07	18
Broward	06	10	17
Calhoun	07	02	14
Charlotte	08	08	20
Citrus	09	03	05
Clay	10	04	04
Collier	11	08	20
Columbia	12	03	03
Desoto	14	08	12
Dixie	15	03	03
Duval	16	04	04
Escambia	17	01	01
Flagler	18	04	07
Franklin	19	02	02
Gadsden	20	02	02
Gilchrist	21	03	08
Glades	22	08	20
Gulf	23	02	14
Hamilton	24	03	03
Hardee	25	06	10
Hendry	26	08	20
Hernando	27	03	05
Highlands	28	06	10
Hillsborough	29	06	13
Holmes	30	02	14
Indian River	31	09	19
Jackson	32	02	02
Jefferson	33	02	14
Lafayette	34	03	03
Lake	35	03	05

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COUNTY CODE TABLE			
COUNTY NAME	COUNTY ID	AHCA AREA/REGION	DCF CIRCUIT
Lee	36	08	20
Leon	37	02	02
Levy	38	03	08
Liberty	39	02	02
Madison	40	02	03
Manatee	41	06	12
Marion	42	03	05
Martin	43	09	19
Miami-Dade	13	11	11
Monroe	44	11	16
Nassau	45	04	04
Okaloosa	46	01	01
Okeechobee	47	09	19
Orange	48	07	09
Osceola	49	07	09
Palm Beach	50	09	15
Pasco	51	05	06
Pinellas	52	05	06
Polk	53	06	10
Putnam	54	03	07
Santa Rosa	57	01	01
Sarasota	58	08	12
Seminole	59	07	18
St. Johns	55	04	07
St. Lucie	56	09	19
Sumter	60	03	05
Suwannee	61	03	03
Taylor	62	02	03
Union	63	03	08
Volusia	64	04	07
Wakulla	65	02	02
Walton	66	01	01
Washington	67	02	14

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File Naming Convention Examples

Example: File Name **ABC201410KA130139 =**

ABC Managed Care Plan
2013 Patient Responsibility Report due October 1, 2014

- Managed Care Plan's three-character identifier = ABC
- Four-digit year in which report is due = 2014
- Two-digit month in which report is due = 10
- One-character identifier for the report's year type from the Report Year Type Table = K
- One-character identifier for report frequency from the Frequency Code Table = A
- Two digits indicating the specific data period being reported from the Frequency Code Table (Reporting Data Period) = 13 (Reporting Data Period 2013)
- Four-digit report code identifier for the Patient Responsibility Report = 0139

Example: File Name **ABC201404CQ010102=**

ABC Managed Care Plan
1st Quarter 2014 Case Management File Audit Report due April 30, 2014

- Managed Care Plan's three-character identifier = ABC
- Four-digit year in which report is due = 2014
- Two-digit month in which report is due = 04
- One-character identifier for report's year type from the Report Year Type Table = C
- One-character identifier for report frequency from the Frequency Code Table = Q
- Two digits indicating the specific data period being reported from the Frequency Code Table (Reporting Data Period) = 01 (Reporting Data Period 1st Quarter ending 03/31/14)
- Four-digit report code identifier for the Case Management File Audit Report = 0102

Example: File Name **ABC201410CM090131.xls=**

ABC Managed Care Plan
September 2014 Missed Services Report due October 30, 2014

- Managed Care Plan's three-character identifier = ABC
- Four-digit year in which report is due = 2014

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- Two-digit month in which report is due = 10
- One-character identifier for the report's year type from the Report Year Type Table = C
- One-character identifier for report frequency from the Frequency Code Table = M
- Two digits indicating the specific data period being reported from the Frequency Code Table (Reporting Data Period) = 09 (September reporting period)
- Four-digit report code identifier for the Missed Services Report = 0131

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Section Two: Core Reports

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Chapter 3: PLACEHOLDER for Achieved Savings Rebate Financial Reports

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Chapter 4: Administrative Subcontractors and Affiliates Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

	<u>Plan Type</u>	
<input checked="" type="checkbox"/>	Comprehensive LTC Plan	<input checked="" type="checkbox"/> LTC FFS PSN
<input checked="" type="checkbox"/>	MMA HMO	
<input checked="" type="checkbox"/>	MMA Capitated PSN	
<input checked="" type="checkbox"/>	MMA Specialty Plan	
<input checked="" type="checkbox"/>	MMA CMSN Plan	

REPORT PURPOSE:

The purpose of this report is for Managed Care Plans to report ownership and financial information for all subcontractors¹ and affiliates² to which the Managed Care Plan has delegated any responsibility or service for the Medicaid product line. This is an informational reporting mechanism only. The inclusion of an entity on this report does not constitute Agency approval of the Managed Care Plan's subcontract or relationship with that entity. Entities already reported in the Provider Network File must not be included on this report.

FREQUENCY & DUE DATES:

This report is due quarterly within fifteen (15) calendar days after the end of the reporting quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The Managed Care Plan's Administrative Subcontractors and Affiliates Report.
- A report attestation described in Chapter 2.

INSTRUCTIONS:

¹ For purposes of this report, "subcontractor" means any person or entity with which the Managed Care Plan has contracted or delegated administrative functions, services or responsibilities for providing services under this Contract, excluding those persons or entities reported by the Managed Care Plan in the Provider Network File.

² For purposes of this report, "affiliate" or "affiliated person" means: (1) Any person or entity who directly or indirectly manages, controls, or oversees the operation of the Managed Care Plan, regardless of whether such person or entity is a partner, shareholder, owner, officer, director, agent, or employee of the entity. (2) Any person or entity who has a financial relationship with the Managed Care Plan as defined by 42 CFR 438.320 (1), and/or, (3) An individual or entity who meets the definition of an affiliate as defined in 48 CFR 19.101.

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The Managed Care Plan must submit the report using the Agency's template via the SMMC SFTP site to the plan-specific file folder in the following manner. To meet the requirement for report submission, all applicable fields must be completed by the Managed Care Plan for each business entity being reported unless instructions specify otherwise. If a field is not applicable, enter N/A. In this report, do not include entities already reported in the Provider Network File.

Header rows on the template are numbered above header titles. Drop-down selection boxes with pre-populated values and help boxes are located throughout the template. Use one line of entry for each subcontractor/affiliate. If the subcontractor/affiliate has more than one owner (see 13a through 13c), complete fields 1 through 12 for each owner. Template fields are as follows:

1. Managed Care Plan ID: Enter the Managed Care Plan's three-character identifier.
2. Managed Care Plan Name: Enter the name of the Managed Care Plan.
3. Managed Care Plan Base ID Medicaid Provider Number: Provide the primary Medicaid Base ID (seven digit) provider number of the Managed Care Plan including leading zeroes when applicable. Field length is seven digits.
4. Reporting Year: Select the Calendar Year being reported.
5. Reporting Quarter: Select the Quarter in the Calendar Year being reported.
6. Subcontractor/Affiliate Name: Enter the name of the Managed Care Plan's subcontractor or affiliate being reported. Entities already reported in the Provider Network File are not to be included on this report.
7. Business Entity Type: Select whether the entity being reported is a subcontractor of the Managed Care Plan, an affiliate of the Managed Care Plan, or both an affiliate and a subcontractor.
8. Tax I.D. (SSN/FEIN): Enter the tax identification number of the subcontractor or affiliate. Only nine numeric characters are allowed. Leading zeroes will be applied to any entry that is less than nine digits.
9. Correspondence Address: Enter the mailing or correspondence address of the subcontractor or affiliate being reported using the:
 - a. Street Address or P.O. Box
 - b. City
 - c. State – two character identifier
 - d. Zip Code – five digits
 - e. Country
10. Subcontractor/Affiliate Physical Address:
 - a. Street Address
 - b. City

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- c. State – two character identifier
 - d. Zip Code – five digits
 - e. Country
11. Parent Company Name (if applicable):
- a. If the subcontractor/affiliate being reported is a subsidiary, enter the name of the parent company.
 - b. State: Select the state where the parent company is located.
 - c. Country: Select the country where the parent company is located.
12. Service Type: Enter service type(s) subcontracted or delegated by the Managed Care Plan to the subcontractor/affiliate. Service type examples include but are not limited to member services, third-party administrator, claims processing, fulfillment vendor (printing and mailing), provider credentialing, provider contracting, and provider services. Separate each service type description using a semi-colon.
13. Subcontractor/Affiliate Ownership: If the subcontractor/affiliate has more than one owner, complete fields 1 through 12, along with 13a, 13b, and 13c, for each owner/organization name.
- a. Last Name (or Organization Name): Enter the last name of the individual or the name of the organization having ownership of the subcontractor or affiliate. Enter one name or organization per line.
 - b. First Name: Enter the first name of the individual having ownership of the subcontractor or affiliate (if applicable). If not applicable, enter N/A. Enter one name per line.
 - c. Percent Ownership: Using a decimal point, enter the numerical value of the ownership percentage of the subcontractor/affiliate. Do not use the % character. NOTE: If the decimal point is not manually inserted, the system will automatically insert the decimal followed by two zeros.
14. Payment Methodology: Select the Managed Care Plan's payment method for the subcontractor/affiliate services from the drop-down box. Options are "Contingency Fee," "Capitation" (per member), "Cost Reimbursement," "Fixed per Unit Price" or "Other." If "Other" is selected, explain the payment methodology in field 14a.
- a. Payment Methodology - Other: This is an open text field. Describe the Managed Care Plan's payment method for subcontractor or affiliate services when "other" is selected in field 14.
15. Subcontract Beginning Date: Select the mm/dd/yyyy of the beginning of the subcontract.
16. Subcontract End Date: Select the mm/dd/yyyy of the end of the subcontract.
17. Downstream Delegation of Services: Select Yes or No, as appropriate, if the subcontractor or affiliate further subcontracts or delegates to another entity any services or functions under the Managed Care Plan's Medicaid contract obligation(s).

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18. Comments: This is an open text, narrative field, provided for other relevant information or comments regarding this report.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Administrative_Subcontractors_and_Affiliates_Report_Template_SMMC_06012014.xlsx

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**Chapter 5: PLACEHOLDER for Annual Financial Statements Filed with
OIR**

UNDER DEVELOPMENT

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SMMC Managed Care Plan Report Guide

Chapter 6: Annual Fraud and Abuse Activity Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency a summarized annual report on the Managed Care Plan's experience in implementing an anti-fraud plan and conducting or contracting for investigations of possible fraudulent or abusive acts for the prior State Fiscal Year (SFY).

Note: All dollar amounts are to be reported for any overpayment, fraud, or abuse acts.

As used in this report, the terms "overpayment," "fraud," and "abuse" are defined and as referenced in Attachment II, Core Contract Provisions, Section I, Definitions and Acronyms.

FREQUENCY & DUE DATES:

This report is due annually by September 1.

SUBMISSION:

The Managed Care Plan must submit the following to the Agency's Office of the Inspector General, Bureau of Medicaid Program Integrity's MPI-MC SFTP site. Contact the Agency's MPI Business Manager (MPI Site Administrator) for access information via MPIBusiness.Manager@ahca.myflorida.com.

- The Managed Care Plan's Annual Fraud and Abuse Activity Report saved in XLS format, and submitted as an electronic file. The Managed Care Plan must use the file naming convention described in Chapter 2.
- A report attestation described in Chapter 2.

INSTRUCTIONS:

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The Managed Care Plan's primary contact must obtain access to the MPI-MC SFTP site through the Agency's MPI Business Manager (or designated representative). The Managed Care Plan user must implement Agency-approved FTP client software, such as FileZilla, or utilize the web-transfer client protocol provided by AHCA. Security credentials (a single user ID and password) will be provided via encrypted email once the user's registration is approved. Use the appropriate host name for the MPI-MC SFTP site: [sftp.ahca.myflorida.com](ftp://sftp.ahca.myflorida.com), port 2232. The plan is responsible for plan user security and must maintain the user security access for plan staff. The MPI-MC SFTP site is limited to submitting and retrieving electronic file information within the plan-specific folder. The plan password is reissued by email only to the approved registered user, and will expire every 90 days in accordance with the Agency's security protocol. Password reset reminders and instructions will be sent to the registered user (account holder) seven days prior to expiration, and upon expiration. The Managed Care Plan must successfully submit a test file within 10 calendar days after the password is issued and as requested by the Agency.

The registered user will be notified by email in the event of an account lock out due to multiple, incorrect password attempts. The primary account holder will be notified by email when the account has been locked. The account lockout will last for 30 minutes, and then it will be automatically cleared by the system. Users can have the block cleared immediately by contacting their AHCA MPI-MC Site Administrator (MPI Business Manager).

Entering the incorrect username (i.e., a username that does not exist) will cause the user's IP address to be blocked. For the IP address block to take place, the user must attempt to connect with the incorrect username more than five times in 60 seconds. This form of lockout must be cleared by AHCA's network staff. The external user must contact their AHCA Site Administrator (MPI Business Manager) for MPI reporting at MPIBusiness.Manager@ahca.myflorida.com to resolve this issue.

Termination of access is required in instances where there is a change of responsibilities or employee termination. A request to terminate a user's access must be submitted by the Managed Care Plan's primary contact and must include the user's full name, position title, and business email address. The Managed Care Plan must submit the request by email to MPIBusiness.Manager@ahca.myflorida.com. The Managed Care Plan must submit the Annual Fraud and Abuse Activity Report via the MPI-MC SFTP site to the plan-specific file folder in the following manner using the same format as the XLS template:

Note: ** = A drop down selection box with pre-populated values (selections). Header fields on the template are numbered and header titles are abbreviated (below each number). There are some help boxes located throughout the template.

1. AHCA Contract Number: Enter the alpha-numeric Contract Number, assigned by the Agency that appears on the Agency's contract with the Managed Care Plan.

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2. State Fiscal Year**: Select the State Fiscal Year for the year being reported. Note: State Fiscal Years run from July 1 – June 30.
3. Managed Care Plan Identifier: Provide the Managed Care Plan's three-alpha-character identifier.
4. Managed Care Plan Medicaid Base ID Provider Number: Provide the primary Medicaid Base ID provider number of the Managed Care Plan including leading zeroes when applicable. Only one line of entry is allowed. Field length is seven (7) digits.
5. Total Overpayments Identified for Recovery: Report the total amount of all dollars identified as lost to overpayment, abuse, and fraud during the State Fiscal Year being reported. Report dollars and cents by entering numeric characters only. Do not input dollar signs (\$), decimals or commas; only numeric characters are allowed. The field is formatted to automatically input dollar signs and decimals. If no dollar losses attributable to overpayment, abuse or fraud were identified during the State Fiscal Year being reported, insert zero (0).
 - a. Total Overpayments Recovered: Of the total amount of overpayment identified for recovery, report the amount of total dollars recovered attributable to overpayment, abuse, and fraud during the State Fiscal Year being reported. Report the total dollar amount of recoveries attributable to overpayment, abuse, and fraud during the State Fiscal Year being reported. Report dollars and cents by entering numeric characters only. Do not input dollar signs (\$), decimals or commas; only numeric characters are allowed. The field is formatted to automatically input dollar signs and decimals. If no recoveries of losses attributable to overpayment, abuse or fraud occurred during the State Fiscal Year being reported, insert zero (0).
6. Total Dollars Identified as Lost to Fraud and Abuse: Of the total amount of overpayments identified for recovery, report the portion of total overpayments identified for recovery which were identified as being lost only to fraud and abuse during the State Fiscal Year being reported. Report the total dollar amount identified as lost to abuse and fraud during the State Fiscal Year being reported. Report dollars and cents by entering numeric characters only. Do not input dollar signs (\$), decimals or commas; only numeric characters are allowed. The field is formatted to automatically input dollar signs and decimals. If no dollar losses attributable to abuse and fraud were identified during the State Fiscal Year being reported, insert zero (0).
 - a. Total Dollars Lost to Fraud and Abuse That Were Recovered: Of the portion of dollars identified as being lost to fraud and abuse, report the amount of total dollar recovered attributable to being lost to fraud and abuse during the State Fiscal Year being reported. Report the total dollar amount of all recoveries of dollars lost to fraud and abuse made during the State Fiscal Year being reported.

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Report dollars and cents by entering numeric characters only. Do not input dollar signs (\$), decimals or commas; only numeric characters are allowed. The field is formatted to automatically input dollar signs and decimals. If no recoveries of losses attributable to abuse and fraud have occurred, during the State Fiscal Year being reported, insert zero (0).

7. Total Number of Referrals: Enter the total number of referrals made to the Agency's Office of the Inspector General, Office of Medicaid Program Integrity, during the State Fiscal Year being reported.
8. Narrative Field: A narrative field is provided for other relevant information or comments regarding this report.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template to be used for all plan types can be found at:

[http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Annual Fraud and Abuse Activity Report MPI SMMC 06012014.xlsx](http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Annual_Fraud_and_Abuse_Activity_Report_MPI_SMMC_06012014.xlsx)

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SMMC Managed Care Plan Report Guide

Chapter 7: Audited Annual and Unaudited Quarterly Financial Reports

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with unaudited quarterly financial statements, an audited annual financial statement, an audited annual report and a letter of opinion from an independent auditor (certified public accountant unaffiliated with the Managed Care Plan).

FREQUENCY & DUE DATES:

Unaudited financial statements are due quarterly, within 45 calendar days after the end of each reporting quarter.

Audited financial statement, audited annual report and the letter of opinion from an independent auditor are due annually, on or before April 1 following the end of each reporting calendar year.

SUBMISSION:

The Managed Care Plan must submit the following to the SMMC SFTP site:

- For the unaudited quarterly submissions:
 - a. The completed and accurate financial statement report template, which must be submitted as an XLS file and named F***YYQ#.xls, where *** is the Managed Care Plan's three-character identifier from the Plan Identifier Table (see Chapter 2), YY are the last two digits of the calendar year being reported, and # is the one digit of the quarter being reported (i.e., ABC Managed Care Plan's submission for the 1st quarter of 2015 would be named "FABC15Q1.xls").
 - b. The jurat page (included in the financial statement report template), which must be submitted separately as a PDF file and named F***YYQ#-jurat.pdf, where *** is the Managed Care Plan's three-character identifier, YY are the

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last two digits of the calendar year being reported, and # is the one digit of the quarter being reported. This jurat page must be signed only by the Managed Care Plan's chief executive officer (CEO). **Delegate signatures will not be accepted.**

- c. A report attestation as described in Chapter 2. The attestation must be named F***YYQ#-cert.pdf, where *** is the Managed Care Plan's three-character identifier, YY are the last two digits of the calendar year being reported, and # is the one digit of the quarter being reported.
- For the audited annual submissions:
- a. The completed and accurate financial statement report template showing any corrections made by the independent auditor, which must be submitted as an XLS file and named AF***YYYY.xls, where *** is the Managed Care Plan's three-character identifier, and YYYY are the four digits of the calendar year being reported.
 - b. The jurat page (included in the financial statement report template), which must be submitted as a PDF file and named AF***YYYY-jurat.pdf, where *** is the Managed Care Plan's three-character identifier, and YYYY are the four digits of the calendar year being reported. This jurat page must be signed only by the Managed Care Plan's CEO. **Delegate signatures will not be accepted.**
 - c. A report attestation, as described in Chapter 2 for the completed and accurate financial statement report template, which must be submitted with the certified data as a PDF file and named AF***YYYY-cert.pdf, where *** is the Managed Care Plan's three-character identifier, and YYYY are the four digits of the calendar year being reported. This attestation must be signed by the Managed Care Plan's CEO, CFO, or a direct report with written delegated authority certifying that all data and documents submitted are accurate, truthful, and complete. Such delegations of authority must be attached to the submitted signed attestation to certify the report.
 - d. The independent auditor's financial report and letter of opinion, which must be submitted as a PDF file and named AFO***YYYY.pdf, where *** is the Managed Care Plan's three-character identifier, and YYYY are the four digits of the calendar year being reported.

INSTRUCTIONS:

1. The Managed Care Plan must complete the financial reporting submission requirements using the Excel file template, provided at the Agency's website specified in the report template section, to report the following sets of financial data:
 - Balance Sheet;

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- Statement of Revenues and Expenses;
 - Statement of Cash Flow; and
 - Footnotes.
2. It is the responsibility of the Managed Care Plan to use the most current financial statement report template supplied by the Agency. The Agency will provide the most recent template within the first quarter of each reporting year.
 3. The Managed Care Plan must file a combined financial statement report for its unaudited quarterly and audited annual statements. These combined financial statement(s) should be submitted and emailed as a single report.
 4. The Managed Care Plan must use generally accepted accounting principles (GAAP) in preparing all financial statements; however, if the Managed Care Plan is also required to file with the State of Florida Office of Insurance Regulation, then the annual financial statement and the annual independent auditor's financial report may be submitted using statutory accounting.
 5. The LTC data must be reported as a separate line of business within the Agency-supplied Excel file template.
 6. The Managed Care Plan must submit financial statements that are specific to the operations of the Managed Care Plan rather than to a parent or umbrella organization.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/AUDITED_ANNUAL-UNAUDITED_QUARTERLY_FINANCIAL_REPORTS_SMMC_06012014.xls

The Agency's template consists of the following:

- A financial workbook to report financial data, which includes an instructions page, and
- A jurat page (in the financial workbook).

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Chapter 8: Claims Aging Report & Optional Supplemental Filing Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with assurance that claims are processed timely and payment systems comply with the federal and State requirements, whichever is more stringent.

FREQUENCY & DUE DATES:

This report is due quarterly, within forty-five (45) calendar days after the end of the reporting quarter.

For capitated Managed Care Plans, the optional Supplemental Filing Report is due within one hundred-five (105) calendar days after the end of each reporting quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- For the quarterly submissions:
 - a. The completed claims aging report template, which must be submitted as an XLS file and named using the file naming convention as described in Chapter 2.
 - b. A report attestation described in Chapter 2.
- For the optional supplemental filing submissions (capitated Managed Care Plans only):
 - a. The completed claims aging supplemental filing report template, which must be submitted as an XLS file and named using the file naming convention as described in Chapter 2.

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- b. A report attestation described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must complete the quarterly Claims Aging Report(s) and, if applicable, Claims Aging Supplemental Filing Report(s), using the appropriate report template (specific to Managed Care Plan type) provided on the Agency website (see the “Report Template” section of this chapter).
2. Claims data must be Medicaid only.
3. Claims data must not be run for this report until at least 31 calendar days after the end of the report quarter but before the due date for filing (45 calendar days after the reported quarter).
4. Claims data reported is for clean claims received, paid and denied during the reporting period (see template).
5. If the capitated Managed Care Plan chooses to file a Claims Aging Supplemental Filing Report, it may report claims received during the reported quarter and processed within 90 calendar days of receipt. The supplemental reporting is voluntary on the part of the capitated Managed Care Plan.

VARIATIONS BY MANAGED CARE PLAN TYPE:

Templates and reporting requirements are unique to specific Managed Care Plan types (fee-for-service Managed Care Plans may have one template; capitated Managed Care Plans have another – see the “Report Templates” section of this chapter).

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied claims aging report template for capitated Managed Care Plans (for the required quarterly and optional supplemental filing submission) can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/CLAIMS_AGING_REPORT_SMMC_06012014.xls

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Claims_Aging_Report_Supplemental_Filing_Capitated_LTC.xls

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Chapter 9: Code 15 Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to monitor all Managed Care Plans' critical and adverse incident reporting and management systems and proactive steps for critical events that negatively impact the health, safety, or welfare of enrollees. Such reporting and management systems must be for critical and adverse incidents that occur in all service delivery settings applicable to enrollees.

FREQUENCY & DUE DATES:

This report is due within fifteen (15) calendar days after the Managed Care Plan received information about the incident.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The Division of Health Quality Assurance's online Code 15 report.
- A report attestation described in Chapter 2.

INSTRUCTIONS:

The Managed Care Plan must submit the report using the Agency's template via the SMMC SFTP site to the plan-specific file folder utilizing the Critical Incident Code 15 report as posted online by the Division of Health Quality Assurance.

For the incident, the report must include, but not be limited to:

- Enrollee's full name
- Enrollee's Medicaid ID
- Reporting date
- Date of incident

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- Address of incident
- Name of facility (if applicable)
- Facility Unit, if hospital, if applicable; or
- Other Health Care Provider: Abortion Clinic, Ambulatory Surgical Center, Assisted Living Facility, Doctor's Office, Home Health, Nursing Home, or other type of provider.
- ICD 9 or ICD 10 Code and ICD 9 CM Code for Admitting Diagnosis; Accident, event or specific agent that caused event; resulting injury
- Incident details
- Outcome of the incident, including current status of the enrollee
- List of license number of personnel and capacity in which they were directly involved with this incident.
- List of license numbers of witnesses
- Date resolved
- Analysis of this incident

To meet the requirement for report submission, all applicable fields must be completed by the Managed Care Plan for each business entity being reported unless instructions specify otherwise. If a field is not applicable, enter N/A.

VARIATIONS BY MANAGED CARE PLAN TYPE:

While PSNs and the MMA CMSN MCP cannot submit the Code 15 report directly to HQA through the online process, these Managed Care Plans can download the Code 15 form for submission to the Agency. For convenience, a Code 15 report template has been developed as shown below.

REPORT TEMPLATE:

The template to be used for the Code 15 report can be found online at:

http://ahca.myflorida.com/SCHS/RiskMgtPubSaftey/on_line.shtml

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by Managed Care Plan. The Agency-supplied template for the MMA CMSN MCP and PSNs, as specified in Variations by Managed Care Plan Type above, can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Code_15-Critical_Incident_Report_SMMC_06012014.xlsx

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Chapter 10: Critical Incident Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to monitor all Managed Care Plans' critical and adverse incident reporting and management system for critical incidents that negatively impact the health, safety or welfare of enrollees. This includes critical and adverse incidents in all service delivery settings applicable to enrollees.

FREQUENCY & DUE DATES:

This report is due immediately upon occurrence and **no later than** twenty-four (24) hours after detection or notification.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following via secure, encrypted email to the Agency's Managed Care Plan Contract manager:

- Critical Incident Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

The Managed Care Plan must report the following to the Agency in accordance with the format set forth in the Critical Incident Report Template:

- Plan Name
- Plan Type: Long-term Care or Managed Medical Assistance (from drop down list)
- Plan 9 digit Medicaid ID
- Reporting submitted date (mm/dd/yyyy)
- AHCA Area/Region (from drop down list)

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- County Name
- Enrollee's Medicaid ID (10-digit)
- Enrollee's full name (first, last)
- Date of incident (mm/dd/yyyy)
- Facility (Yes/No)
- Name of facility or Unit (if applicable)
- Facility Type (choose from drop down: Abortion Clinic, Ambulatory Surgical Center, Assisted Living Facility, Doctor's Office, Home Health, Hospital, Long Term Care home-like environment, Long Term Care home based service setting, Nursing Home, or Other type of provider)
- Address of incident
- ICD-9 or ICD-10 Code for Admitting Diagnosis
- Incident Type (select from drop down list)
- Corrective/Proactive Action(s) taken
- Details of Incident
- Follow-up Planned
- Outcome of the incident – LTC only
- Assigned Provider
- Staff Involved
- Witnesses
- Report submitted by
- Date resolved (mm/dd/yyyy)
- Date of Submission

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Critical_Incident_Report_SMMC_06012014.xlsx

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Chapter 11: Critical Incident Summary Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to monitor all Managed Care Plans' critical and adverse incident reporting and management system for critical incidents that negatively impact the health, safety or welfare of enrollees. This includes all service delivery settings applicable to enrollees.

FREQUENCY & DUE DATES:

This report is due monthly, by the fifteenth (15th) calendar day of the month following the reporting month and rolled up for quarter and year.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Critical Incident Summary Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must create the Critical Incident Summary Report in the format and layout specified in the report template.
2. For the reporting quarter, the report must include but not be limited to:
 - Plan Name
 - Contract Type
 - Plan 7 digit Medicaid ID
 - As of the Month/Year (Date)
 - AHCA Area or Region

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- For SMMC Managed Care Plan reporting, use the appropriate Region associated with the reported incident. Disregard the NR and Reform Area designations. The Critical Incident Summary Report template and instructions will be revised by August 2014, after full implementation of the Managed Medical Assistance program.

VARIATIONS BY MANAGED CARE PLAN TYPE:

Comprehensive LTC Plans are expected to report LTC incidents on the LTC tab and MMA incidents on the MMA tab.

REPORT TEMPLATE

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

[http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Critical Incidents Summary Report SMMC 06012014.xlsx](http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Critical_Incidents_Summary_Report_SMMC_06012014.xlsx)

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Chapter 12: Enrollee Complaints, Grievances and Appeals Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

	<u>Plan Type</u>	
<input checked="" type="checkbox"/>	Comprehensive LTC Plan	<input checked="" type="checkbox"/> LTC FFS PSN
<input checked="" type="checkbox"/>	MMA HMO	
<input checked="" type="checkbox"/>	MMA Capitated PSN	
<input checked="" type="checkbox"/>	MMA Specialty Plan	
<input checked="" type="checkbox"/>	MMA CMSN Plan	

REPORT PURPOSE:

The purpose of this report is to provide a monthly record of all complaints, grievances, and appeals in accordance with the terms of the Contract.

FREQUENCY & DUE DATES:

This report is due monthly, within fifteen (15) calendar days after the end of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Enrollee Complaints, Grievances, and Appeals Report using the template provided.
 - a. The completed enrollee template including MMA and LTC data, as applicable on the labeled tab for the appropriate month, must be submitted as an XLS file and named using the file naming convention as described in Chapter 2 of this guide.
 - b. The Managed Care Plan's log of complaints that do not become grievances must be submitted and include, at minimum, each of the following data elements:
 - Date
 - Complainant and Enrollee Name(s)
 - Recipient Medicaid ID Number
 - Nature of Complaint categorized in one of the following four categories:
 1. Claims

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2. Customer Service
 3. Services, or
 4. Other
- Type of Complaint categorized in one of the following two categories:
 1. Long-term Care (LTC), or
 2. Managed Medical Assistance (MMA)
 - Description of Resolution
 - Final Disposition.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must file one Enrollee Complaints, Grievances, and Appeals Report for MMA and LTC data using the template provided.
2. The data provided in the Managed Care Plan's log of complaints must equal the numbers reported in the completed enrollee complaints, grievances, and appeals template.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations

REPORT TEMPLATE:

No alterations or duplications must be made to the report template by the Managed Care Plan. The Agency-supplied Enrollee Complaints, Grievances, and Appeals Report template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/ENROLLEE_COMPLAINTS_GRIEVANCES_APPEALS_REPORT_SMMC_06012014.xls

The Agency's template consists of the following:

- A workbook with twenty-eight (28) tabs (24 of which are monthly representations as described in paragraph c. below) which includes the following:
 1. Instructions – explains how to complete the template.
 2. Codes – provides report definitions and codes explaining the types of complaints, grievances, appeals and dispositions.
 3. January-December – Each month has a separate worksheet for reporting enrollee complaints received by the managed care plan during the reported timeframe. There is one worksheet for each type of plan (LTC

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or MMA) per month.

4. Summary – No data can be entered into the summary worksheet for the MMA and LTC data. As the Managed Care Plan completes each quarterly worksheet, the data is captured and reported in aggregate on the Summary worksheet.

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Chapter 13: PLACEHOLDER for Enrollee Help Line Statistics Report
UNDER DEVELOPMENT

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Chapter 14: Marketing Agent Termination Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to ensure Managed Care Plans register the activity of each marketing agent/community outreach representative and report agent/representative terminations to the Agency in accordance with the terms of the Contract.

FREQUENCY & DUE DATES:

This report is due two weeks prior to any outreach or marketing activities to be performed by the marketing agent (variable).

This report is due quarterly, within forty-five (45) calendar days after the end of the reporting quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2 of this guide, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The completed marketing agent termination template, which must be submitted as an XLS file and named using the file naming convention as described in Chapter 2 of this guide.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must complete the quarterly marketing agent termination report using the appropriate report template provided on the Agency website (see the “Report Template” section of this chapter).

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2. In the event that there are no activities to report for the quarter, the Managed Care Plan must submit a blank report template, along with a completed jurat and attestation.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide and Report Template. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/MARKETING_AGENT_TERMINATION_REPORT_SMMC_06012014.xls

The Agency's template consists of the following:

- A workbook with three (3) worksheet tabs which includes the following:
 1. Instructions – explains how to complete the template.
 2. Jurat – contains Managed Care Plan contact information.
 3. Marketing Agent Activity – contains information including any change of status.

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Chapter 15: Market/Educational Events Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to provide written notice to the Agency of the Managed Care Plan's intent to attend and provide marketing, outreach and educational materials at events.

FREQUENCY & DUE DATES:

This report is due monthly, no later than the twentieth (20th) calendar day of the month prior to the event month.

Amendments to the report are due no later than two weeks prior to the event (variable).

SUBMISSION:

Using the file naming convention as described in Chapter 2 of this guide, the Managed Care Plan must submit the following to the SMMC SFTP site:

- An outreach/public event report using the Agency-supplied template. **The month used in the naming convention will represent the month the event will occur.**
- An amendment to a reported event when there is a change in time, location, date or cancellation of the event. **The month used in the naming convention will be the same month the event was originally scheduled to occur.**
- A report attestation as described in Chapter 2.

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INSTRUCTIONS:

1. The Managed Care Plan must complete the market/educational events report using the appropriate report template provided on the Agency website (see the “Report Template” section of this chapter).
2. The Managed Care Plan must submit all events on the same template. In the event that there are no events planned to report for the month, the Managed Care Plan must submit a blank report template, along with the completed attestation.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide and Report Template. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/MARKETING-OUTREACH_EVENTS_NOTIFICATION_LOGS-SMMC_06012014.xls

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Chapter 16: Performance Measures Report LTC & MMA

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to measure the Managed Care Plan's performance on specific Healthcare Effectiveness Data and Information Set (HEDIS), Agency-defined, and other indicators. This information is used to monitor and publicly report plan performance.

FREQUENCY & DUE DATES:

This report is due annually by July 1, for the prior calendar year.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan, through its qualified auditor, must submit the following to the SMMC SFTP site:

- The Performance Measures Report.
- The HEDIS Auditor certification with Audit Review Table.
- A report attestation as described in Chapter 2.
- The Interactive Data Submission System (IDSS) file (for Managed Care Plans generating an IDSS file as part of their HEDIS process) with the Performance Measures Report as an Excel file.

INSTRUCTIONS:

See the Variations By Managed Care Plan Type section below.

VARIATIONS BY MANAGED CARE PLAN TYPE:

LTC Plan Type Variations: The LTC Managed Care Plan must create and report its required LTC Performance Measures (PMs) according to the instructions for LTC

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Performance Measures in the attached report template and the Performance Measures Specifications Manual.

MMA Plan Type Variations: The MMA Managed Care Plan must create and report its required MMA Performance Measures (PMs) according to the instructions for MMA Performance Measures in the attached report template and the Performance Measures Specifications Manual.

Comprehensive LTC Plan Type Variations: The Comprehensive LTC Plan must create and report its required LTC & MMA Performance Measures (PMs) according to the instructions for LTC & MMA Performance Measures in the attached report template and the Performance Measures Specifications Manual.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide and Report Template. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Performance_Measures_Report_Template_SMMC_LTC-MMA_06012014.xls

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Chapter 17: Provider Complaint Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

	<u>Plan Type</u>	
<input checked="" type="checkbox"/>	Comprehensive LTC Plan	<input checked="" type="checkbox"/> LTC FFS PSN
<input checked="" type="checkbox"/>	MMA HMO	
<input checked="" type="checkbox"/>	MMA Capitated PSN	
<input checked="" type="checkbox"/>	MMA Specialty Plan	
<input checked="" type="checkbox"/>	MMA CMSN Plan	

REPORT PURPOSE:

The purpose of this report is to assist the Agency (or its designee) in monitoring the Managed Care Plan's provider complaint system. This is the system that permits a provider to dispute the Managed Care Plan's policies, procedures, or any aspect of a Managed Care Plan's administrative functions, including proposed actions, claims, billing disputes, and service authorizations. This report will detail the nature of the complaint, timeline of the complaint, as well as the resolution.

FREQUENCY & DUE DATES:

This report is due monthly, within fifteen (15) calendar days after the end of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The completed Provider Complaint Report template, which must be submitted as an XLS file.
- A report attestation, as described in Chapter 2 for the completed Provider Complaint Report template.

INSTRUCTIONS:

1. The Managed Care Plan must complete the Provider Complaint Report using the appropriate report template provided on the Agency website.
2. The Managed Care Plan must only use the reasons as permissible via the drop down boxes in the template for the nature of the complaint and description of the complaint disposition.

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3. The Managed Care Plan must enter the dates for when the complaint was received and the disposition reached as mm/dd.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template to be used can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/PROVIDER_COMPLAINT_REPORT_SMMC_06012014.xlsx

The Agency's template consists of the following:

- A workbook with twenty-seven (27) tabs (twenty-four of which are monthly representations as described in paragraph b. below) which includes the following:
 - a. Instructions – explains how to complete the template, including reasons for the nature of the complaint and complaint disposition.
 - b. January-December – Each month has a separate worksheet for reporting provider complaints received by the managed care plan during the reported timeframe. There is one worksheet for each type of plan (LTC or MMA) per month.
 - c. Annual – No data can be entered into the annual worksheets. As the Managed Care Plan completes each monthly worksheet, by plan type, the data is automatically updated in the aggregate on the appropriate annual worksheet.

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Chapter 18: Provider Network File

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|--|------------------|---|
| <input checked="" type="checkbox"/> Comprehensive LTC Plan | | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> MMA HMO | | |
| <input checked="" type="checkbox"/> MMA Capitated PSN | | |
| <input checked="" type="checkbox"/> MMA Specialty Plan | | |
| <input checked="" type="checkbox"/> MMA CMSN Plan | | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency (or its designee) with up-to-date provider network information.

FREQUENCY & DUE DATES:

This report (a full file refresh), is due weekly on Thursday by 5:00 p.m. EST.

SUBMISSION:

1. The Managed Care Plan must submit the following files with the specified file naming conventions to the Agency's choice counseling vendor's SFTP site server.
 - Provider/Group/Hospital (PG)
 - Service Location (SL)
 - End of Transmission (EN)

Position	Format	Description
1-2	@ (2)	PG = Provider / Group File
		SL = Service Location File
		EN = End of Transmission File
3-5	@ (3)	The three letter code for the Managed Care Plan submitting the file.
6-13	D (8)	The date of the file submission in YYYYMMDD format.
14-23	@ (9)	Files submitted by plans should have a .dat extension. Files created by AHS in response to submissions will have a .response extension.

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Choice counseling vendor SFTP site:

URL: [ffftp.automated-health.com](ftp://ffftp.automated-health.com)

Connection Type: SFTP (SSH connection – a pop up will ask you to trust a key certificate – once you trust the certificate, the connection will be established)

IP address: 206.17.164.205 (only if required for firewall rules, everyone should use the URL)

Port: 22

2. All Managed Care Plans must submit the following to the Agency via the SMMC SFTP site:
 - A signed attestation specifically addressing the accuracy and completeness of the Provider Network File submission, with the file name *****_PROVYYYYMMAttestation.pdf** (where ******* represents the Managed Care Plan's three character approved abbreviation, and **YYYYMM** represents the four-digit year and two-digit month of submission).

INSTRUCTIONS:

1. The Managed Care Plan must create the Provider Network Files in the format and layout described in the Provider Network Verification File Specification document located at: www.flmedicaidmanagedcare.com/pnv, log in and download the latest file specification.
2. The Managed Care Plan must ensure that this is an electronic representation of the plan's network of contracted providers, not a listing of entities for whom claims have been paid.
3. Plans needing technical assistance for submitting Provider Network Files to, or retrieving Provider Network Response Files from, the **Choice Counseling vendor's** SFTP directory should contact the following helpdesk for assistance: AHSFL-Helpdesk@automated-health.com. For more immediate concerns regarding the submission of provider network files, plans may contact 412-367-3030 ext. 2900.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Provider Network Verification File Specification document. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied Provider Network Verification File Specification provides detailed and specific information regarding the

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Provider Network File and the Provider Network Response File, and can be found on the Agency's choice counselor Web page at www.flmedicaidmanagedcare.com.

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Chapter 19: Provider Termination and New Provider Notification Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|--|------------------|---|
| <input checked="" type="checkbox"/> Comprehensive LTC Plan | | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> MMA HMO | | |
| <input checked="" type="checkbox"/> MMA Capitated PSN | | |
| <input checked="" type="checkbox"/> MMA Specialty Plan | | |
| <input checked="" type="checkbox"/> MMA CMSN Plan | | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with notice in the event of a suspension, termination, or withdrawal of providers from participation in the Managed Care Plan's network; to provide the Agency with notice of new providers; and to provide documentation that the Managed Care Plan has performed enrollee notification in accordance with the provisions of the Managed Care Plan Contract.

FREQUENCY & DUE DATES:

This report is due weekly on Wednesday by 5:00 p.m. EST.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The completed Provider Termination and New Provider Notification Report template including LTC and/or MMA data on the appropriate tab, which must be submitted as an XLS file.
- The report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must submit provider terminations and new/replacement providers for the prior reporting week using the Agency-supplied template. This submission must occur even when no provider terminations, suspensions, withdrawals, or new provider contracts occurred. The Managed Care Plan must indicate "none" in the first line of the report if there are no such changes.
2. The Managed Care Plan must report behavioral health provider terminations

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separately from long-term care or medical provider terminations using the appropriate “Medical Provider Term” labeled tab: “Medical Provider Term” or “Behavioral Health Provider Term” as labeled for LTC and/or MMA data.

3. The Managed Care Plan must report new/replacement providers separately from behavioral health, long-term care, or medical provider information using the appropriate “New Provider Information” labeled tab: “MMA or LTC New Provider” or “MMA or LTC Behavioral Health Provider Term”.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Provider_Termination-New_Provider_Notification_Report_SMMC_06012014.xls

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Chapter 20: Quarterly Fraud and Abuse Activity Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency's Office of the Inspector General, Bureau of Medicaid Program Integrity (MPI), with a quarterly ongoing comprehensive fraud and abuse prevention activity report from the Managed Care Plan regarding their investigative, preventive, and detective activity efforts. This report allows the Managed Care Plan to demonstrate its due diligence for fraud and abuse compliance, including utilization control; to safeguard against unnecessary or inappropriate use of Medicaid services, excess payments, and underutilization; assess quality, and take necessary corrective action to ensure program effectiveness. This report is implemented as an adjunct tool in statewide surveillance for managed care fraud and abuse. This report is a supplemental comprehensive summary regarding the quarterly status, progression, and outcome of the Managed Care Plan's previously reported referrals of suspected/confirmed fraud and abuse.

Note: *This summary report does not replace the Managed Care Plan's requirement to report all suspected/confirmed fraud and abuse within 15 calendar days of detection to Medicaid Program Integrity in accordance with contractual requirements.*

See also: Suspected/Confirmed Fraud and Abuse Report Guide chapter.

FREQUENCY & DUE DATES:

This report is due quarterly, within fifteen (15) calendar days after the end of the quarter being reported.

SUBMISSION:

To comply with the Quarterly Fraud and Abuse Activity Report (QFAAR) requirements, the Managed Care Plan must submit the following:

- The web-based QFAAR report to the Agency Office of the Inspector General, Bureau of Medicaid Program Integrity (MPI) via the web-based application site.

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- The report attestation as described in Chapter 2. The attestation must be named MPI_QFAAR***yyQ*-cert.pdf (replacing *** with the Managed Care Plan's unique alphabetic three (3) character plan identifier, replacing yy with the year, and replacing * with the number of the quarter being reported). Exception: Long-term Care Plan attestations must be named MPI_QFAAR***_LTCyyQ*-cert.pdf (replacing *** with the Managed Care Plan's unique alphabetic three character plan identifier, replacing yy with the year, and replacing the * with the number of the quarter being reported).

INSTRUCTIONS:

Note: New records should be entered in the quarter in which they were reported to MPI.

The Managed Care Plan must perform the following:

1. Obtain access to MPI's web-based application QFAAR site by browsing to the URL and clicking on the "New Users Register Here" link.
2. Complete the online user registration form (See paragraph 3. below for details) and click "submit."
3. Follow the directions to create a new user account. Using the drop-down selection, select the applicable Managed Care Plan name. Complete the online registration form and click "submit." After clicking the Submit button, if the user registered successfully, the user will be directed to the registration results page. The user will be required to print out the user agreement form. The user should read and complete the User Account Agreement form and sign the acknowledgement for the terms of the User Account Agreement. Managed Care Plan management approval must be obtained by signature of the Managed Care Plan's primary contact on the form. The Managed Care Plan primary contact's signature on the user agreement is sufficient to request access. Mail or fax the completed form using the information listed on the form. When access is approved by Agency MPI staff, an email will be generated to the user applicant, notifying the user of password activation or denial. The system allows for password changes by the approved user, but only with inserting the approved user's correct user ID. If the approved user cannot remember their correct user ID, the user must re-register with a new user ID.
4. The web-based application allows the user to reset his/her own password as long as the user is able to use his/her user name. If the user name is forgotten, the user must reapply for access approval, complete a new user agreement, and select a name other than the prior user name.
5. **The Managed Care Plan's primary contact must notify the Agency to request deactivation (termination of access/request to remove a user) of a Managed**

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Care Plan staff member's password, and to block access of said staff member to the web-based QFAAR application. Deactivation is required in the instances of change of responsibilities or employee termination.

6. Termination of access is required in the instances of change of responsibilities or employee termination. A request to terminate a user's access must be submitted by the Managed Care Plan's primary contact and must also include the User's Full Name, Position Title, and Business Email Address. This request must be submitted by email to gfaar@ahca.myflorida.com.
7. The Managed Care Plan must submit the Quarterly Fraud and Abuse Activity Report via MPI's web-based application. The Managed Care Plan must first select its Managed Care Plan name in the Medicaid Contract Type drop-down box. Records may be entered for the current quarter when the following conditions have been met:
 - a. Records from all previous quarters have been submitted, and
 - b. It is the 16th of the month or later for the current quarter.

Note: On the web-based application, if "other" is selected for any data element, a narrative box will open. Input information in narrative box to describe or define what is meant by "other." Detailed instructions are available through the web-based application.

For each new record entry, select appropriate Medicaid Contract Type, by selecting either: COMP = (MMA+LTC), MMA Only, Reform, Non-Reform, LTC, or Specialty.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency's web-based application must be used as specified in the Report Guide. No alterations or duplication must be made by the Managed Care Plan to the report resulting from the Agency's web-based application. This application can be found at:

<https://apps.ahca.myflorida.com/QFAAR/login.aspx>

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Chapter 21: Suspected/Confirmed Fraud and Abuse Reporting

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is for Managed Care Plans to report all suspected or confirmed fraud and abuse under state and/or federal law relative to the Managed Care Plan contract and/or Florida Medicaid. Failure to report instances of suspected or confirmed fraud and abuse is a violation of law and subject to the penalties provided by law. Notwithstanding any other provision of law, failure to comply with these reporting requirements will be subject to sanctions.

FREQUENCY & DUE DATES:

This report is due within fifteen (15) calendar days of detection.

SUBMISSION:

The Managed Care Plan must complete and submit the following Agency electronic data entry complaint form online to the Agency's Office of the Inspector General, Bureau of Medicaid Program Integrity (MPI):

- a. The Agency online electronic data entry complaint form can be found at:

https://apps.ahca.myflorida.com/InspectorGeneral/fraud_complaintform.aspx

INSTRUCTIONS:

The Managed Care Plan must report suspected or confirmed fraud and abuse relative to the Managed Care Plan's contract and Florida Medicaid.

1. The narrative box of the complaint form is required to be completed by describing the suspected fraudulent or abusive activities (including background, persons involved, events, dates, and locations). Be sure to include the who, what, when, where, why and how of the situation. If additional information/documents are being

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submitted via MPI's SFTP site, indicate and identify the submission in the narrative box of the online complaint form.

2. All suspected or confirmed instances of provider fraud and abuse under state and/or federal law is to be reported to MPI within fifteen (15) calendar days of detection by filing the online report. The report must contain at a minimum:
 - a. The date reported ("Date reported" is the date the online report is submitted to MPI);
 - b. The name of the Managed Care Plan reporting;
 - c. The Managed Care Plan's Florida Medicaid provider number;
 - d. The name of the provider;
 - e. The provider's Florida Medicaid provider number; if the provider is not enrolled as Medicaid provider, state this information in narrative field;
 - f. The provider's National Provider Identifier (NPI) number;
 - g. The provider type;
 - h. The provider's tax identification number;
 - i. A description of the acts allegedly involving suspected fraud or abuse and case status:
 - (1) Source of complaint/detection tool utilized;
 - (2) Nature of complaint;
 - (3) Status of case at the time of reporting.
 - j. Potential overpayment identified;
 - k. If applicable, report any collection or recoupment at the time of reporting.
3. Reporting suspected or confirmed **enrollee** fraud and abuse:
 - a. All suspected or confirmed instances of enrollee fraud and abuse under state and/or federal law is to be reported to MPI within fifteen (15) calendar days of detection by filing the online report. The report must contain, at a minimum:
 - (1) The date reported ("Date reported" is the date the online report is submitted to MPI);

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- (2) The name of the Managed Care Plan reporting;
 - (3) The Managed Care Plan's Florida Medicaid provider number;
 - (4) The name of the enrollee;
 - (5) The enrollee's Managed Care Plan identification number;
 - (6) The enrollee's Florida Medicaid identification number;
 - (7) A description of the acts allegedly involving suspected fraud or abuse and case status:
 - (a) Source of complaint/detection tool utilized;
 - (b) Nature of complaint;
 - (c) Potential amount of exposure (ineligible payment) identified; and
 - (d) Status of case at the time of reporting.
4. Reporting all suspected or confirmed instances of internal fraud and abuse relating to the provision of and payment for Medicaid services including, but not limited to fraud and abuse acts related to the Managed Care Plan contract and/or Florida Medicaid that is other than provider and enrollee fraud and abuse (e.g. internal to the Managed Care Plan – Managed Care Plan employees/management, subcontractors, vendors, delegated entities). The online report must contain, at a minimum:
- a. The date reported (“date reported” is the date the online report is submitted to MPI);
 - b. The name of the Managed Care Plan reporting;
 - c. The Managed Care Plan's Florida Medicaid provider number;
 - d. The name of the individual or entity;
 - e. The entity's tax identification number;
 - f. A description of the acts allegedly involving suspected fraud or abuse and case status:
 - (1) Source of complaint/detection tool utilized;
 - (2) Nature of complaint (who, what, when, where, why, how);
 - (3) Status of case at the time of reporting;

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- g. Potential exposure/loss identified;
 - h. If applicable, report any collection or recoupment at the time of reporting.
5. The Managed Care Plan may submit supplemental information via MPI's SFTP site. Reporting via the SFTP site is not a substitute for using the required online Medicaid Fraud and Abuse Complaint Form.
 6. The Managed Care Plan's primary contact must obtain access to MPI-MC SFTP site through the Agency's MPI Business Manager (or designated representative) to upload electronic supplemental documentation. The Managed Care Plan user must implement Agency-approved FTP client software, such as Filezilla, or utilize the web-transfer client protocol provided by AHCA. Security credentials (a single user ID and password) will be provided via encrypted email once the user's registration is approved. Use the appropriate host name for the MPI-MC SFTP site: sftp.ahca.myflorida.com, port 2232. The plan is responsible for plan user security and must maintain the user security access for plan staff. The MPI-MC SFTP site is limited to submitting and retrieving electronic file information within the plan-specific folder. The plan password is reissued by email only to the approved registered user and will expire every 90 days in accordance with AHCA security protocol. Password reset reminders and instructions will be sent to the registered user (account holder) seven days prior to expiration and upon expiration. The Managed Care Plan must successfully submit a test file within 10 calendar days after the password is issued and as requested by the Agency.
 7. The registered user will be notified by email in the event of an account lock out due to multiple, incorrect password attempts. The primary account holder will be notified by email when the account has been locked. The account lockout will last for 30 minutes, and then it will be automatically cleared by the system. Users can have the block cleared immediately by contacting their AHCA MPI-MC Site Administrator (MPI Business Manager).
 8. Entering the incorrect username (i.e. a username that does not exist) will cause the user's IP address to be blocked. For the IP address block to take place, the user must attempt to connect with the incorrect username more than five times in 60 seconds. This form of lockout must be cleared by AHCA's network staff. The external user must contact their AHCA Site Administrator (MPI Business Manager) for MPI reporting at MPIBusinessManager@ahca.myflorida.com to resolve this issue.
 9. Termination of access is required in instances where there is a change of responsibilities or employee termination. A request to terminate a user's access must be submitted by the Managed Care Plan's primary contact and must include the user's full name, position title, and business email address. The

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Managed Care Plan must submit the request by email to MPIBusiness.Manager@ahca.myflorida.com.

10. Any additional supporting documentation must be HIPAA-compliant and may be submitted to MPI-MC SFTP site or by mail to:

Field Office Manager, Managed Care Intake Unit
Medicaid Program Integrity
Agency for Health Care Administration
2727 Mahan Drive, MS #6, Tallahassee, FL 32308
Phone: 850-412-4600

Agency Consumer Complaint Call Center: 1-888-419-3456

11. If reporting a provider who does not have a Medicaid provider number (enrolled or registered), the Managed Care Plan must include provider identifying information in narrative form.
12. An acknowledgement from the intake unit at MPI is generated for all online reporting received.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The MPI's general website is located at:

http://ahca.myflorida.com/Executive/Inspector_General/medicaid.shtml

The complaint report form is available online at:

https://apps.ahca.myflorida.com/InspectorGeneral/fraud_complaintform.aspx

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Section Three: Long-term Care Reports

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Chapter 22: Case Management File Audit Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | | | |
| <input type="checkbox"/> | MMA Capitated PSN | | | |
| <input type="checkbox"/> | MMA Specialty Plan | | | |
| <input type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to ensure that the Managed Care Plan has an internal monitoring system in place for its case management program and that enrollees are receiving quality care.

FREQUENCY & DUE DATES:

This report is due quarterly, within 30 calendar days after the end of the reporting quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Case Management File Audit Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

The Managed Care Plan must submit the Case Management File Audit Report in the format and layout specified in the report template.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

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The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Case_Management_File_Audit_Report_SMMC-LTC_06012014.xlsx

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Chapter 23: Case Management Monitoring and Evaluation Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | |
| <input type="checkbox"/> | MMA Capitated PSN | |
| <input type="checkbox"/> | MMA Specialty Plan | |
| <input type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to ensure that the Managed Care Plan has a system of internal monitoring of its case management program and it is well documented.

FREQUENCY & DUE DATES:

This report is due quarterly within 30 calendar days after the end of the quarter.

An annual roll-up is due within 30 calendar days after the end of the fourth (4th) calendar quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Quarterly Case Management Monitoring and Evaluation Report using the template provided.
- A quarterly report attestation as described in Chapter 2.
- Annual Roll-Up of all calendar quarters using the same quarterly template provided.
- An annual report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must submit the Case Management Monitoring and Evaluation Report, both quarterly and annual roll-up, in the format and layout specified in the report template.

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This must include the results of:

- a. Case file audits,
 - b. Reviews to determine the timeliness of enrollee assessments performed by case managers,
 - c. Reviews of the consistency of enrollee service authorizations performed by case managers, and
 - d. The development and implementation of continuous improvement strategies to address identified deficiencies.
2. The annual roll-up is separate from the fourth quarter report; however, both are due as specified under Frequency and Due Dates. The annual roll-up contains cumulative results from all calendar quarters.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template to be used can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Case_Management_Monitoring_and_Evaluation_Report_04172013.xls

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Chapter 24: Case Manager Caseload Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|--|------------------|---|
| <input checked="" type="checkbox"/> Comprehensive LTC Plan | | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input type="checkbox"/> MMA HMO | | |
| <input type="checkbox"/> MMA Capitated PSN | | |
| <input type="checkbox"/> MMA Specialty Plan | | |
| <input type="checkbox"/> MMA CMSN Plan | | |

REPORT PURPOSE:

The purpose of this report is to ensure that enrollees are receiving quality case management services by monitoring the caseloads of case managers.

FREQUENCY & DUE DATES:

This report is due monthly, within fifteen (15) calendar days after the end of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Case Manager Caseload Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must submit the Case Manager Caseload Report in the format and layout specified in the report template.
2. For the reporting month, the report must include the following, as specified by tab:

All case managers must be included in the Case Manager Caseload Report and can only be listed on one caseload tab of the report in addition to being reported on the Caseload Summary Tab.

Note that the template is formatted for five case managers per caseload type. The template is unlocked to allow for manual insertion of rows and columns to accommodate the Managed Care Plan's required reporting of all case managers.

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Community Caseload Tab:

- Case Manager's Name (First and Last)
- Enrollee Medicaid ID
- Enrollee Name (Last)
- Enrollee Social Security Number/SSN
- Total number of enrollees that reside in the community assigned to the case manager

Facility Caseload Tab:

- Case Manager's Name (First and Last)
- Enrollee Medicaid ID
- Enrollee Name (Last)
- Enrollee Social Security Number/SSN
- Total number of enrollees that reside in the facility assigned to the case manager

Mixed/Other Caseload Tab:

Only include case managers serving both enrollees in the Community and enrollees in the facility on the Mixed/Other Caseload Tab. **Such case managers should not be included on the Community Caseload Tab or the Facility Caseload Tab.**

For example, a case manager serves fifty-nine (59) enrollees that reside in the community and one (1) enrollee that resides in the facility. The case manager will be reported on the Mixed/Other Caseload Tab with the maximum mixed caseload.

- Case Manager's Name (First and Last)
- Enrollee Medicaid ID
- Enrollee Name (Last)
- Enrollee Social Security Number/SSN
- Total number of enrollees in multiple caseload types assigned to the case manager
- Total number of enrollees residing in the community
- Total number of enrollees residing in a facility

Caseload Summary Tab:

The number of case managers reported on the Caseload Summary Tab should match the combined number of case managers reported on the Community Caseload Tab, Facility Caseload Tab, and the Mixed/Other Caseload Tab.

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- Case Manager's Name (First, Last)
- Total number of enrollees in the community, in the facility, and in multiple caseload types assigned to Case Manager

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Case_Manager_Caseload_Report_LTC_06012014.xls

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Chapter 25: Denial, Reduction, Termination or Suspension of Services Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | |
| <input type="checkbox"/> | MMA Capitated PSN | |
| <input type="checkbox"/> | MMA Specialty Plan | |
| <input type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to monitor for trends in the amount and frequency that the Managed Care Plan denies, reduces, terminates or suspends services, including both home and community-based and nursing facility services.

FREQUENCY & DUE DATES:

This report is due monthly, within fifteen (15) calendar days after the end of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Denial, Reduction, Termination or Suspension of Services Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must create the Denial, Reduction, Termination or Suspension of Services Report in the format and layout specified in the report template.
2. For the reporting month, the report must include the following, as specified by tab, that occurs during the reporting month:

Denial of Services Tab:

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- Enrollee's name (last, first)
- Enrollee's Medicaid ID
- Requested services (service name must be identical to service names as listed in Attachment II, Exhibit II-B, Section V, Covered Services)
- Date of service denial during the reporting month
- Date notice of action was sent to the enrollee
- Reason for denial using the numerical denial code specified in the template

Reduction of Services Tab:

- Enrollee's name (last, first)
- Enrollee's Medicaid ID
- Previously authorized service
- Initial date of previously authorized service
- Previously authorized service amount and frequency
- Date of service reduction during the reporting month
- Date notice of action was sent to the enrollee
- New service amount and frequency
- Reason for reduction using the numerical reduction code specified in the template

Termination of Services Tab:

- Enrollee's name (last, first)
- Enrollee's Medicaid ID
- Previously authorized service
- Initial date of previously authorized service
- Previously authorized service amount and frequency
- Date of service termination during the reporting month
- Date notice of action was sent to the enrollee
- Reason for termination using the numerical termination code specified in the template

Suspension of Services Tab:

- Enrollee's name (last, first)
- Enrollee's Medicaid ID
- Previously authorized service
- Initial date of previously authorized service
- Previously authorized service amount and frequency
- Date of service suspension during the reporting month
- Date notice of action was sent to the enrollee
- Reason for suspension using the numerical reduction code specified in the template

Note: services specified must be named identically to the service names as listed in the Contract.

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VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Denial_Reduction_Termination_Suspension_of_Services_Rpt_LTC_SMMC_06012014.xlsx

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Chapter 26: Enrollee Roster and Facility Residence Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|--|------------------|---|
| <input checked="" type="checkbox"/> Comprehensive LTC Plan | | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input type="checkbox"/> MMA HMO | | |
| <input type="checkbox"/> MMA Capitated PSN | | |
| <input type="checkbox"/> MMA Specialty Plan | | |
| <input type="checkbox"/> MMA CMSN Plan | | |

REPORT PURPOSE:

The purpose of this report is to provide information on the current physical location of each enrollee, which may be used for disaster recovery planning and relief. This report is also designed to track individuals who are transitioning between settings (e.g., nursing facility to community and vice versa).

FREQUENCY & DUE DATES:

This report is due monthly, within fifteen (15) calendar days after the beginning of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Enrollee Roster and Facility Residence Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. This report must include all enrollees currently enrolled in the Managed Care Plan, including all Medicaid Pending and SIXT enrollees, and the facility in which they are residing at the end of the reporting month, if applicable.
2. The Managed Care Plan must create the Enrollee Roster and Facility Residence Report in the format and layout specified in the report template including the following information:
 - Managed Care Plan Name
 - Managed Care Plan ID (Managed Care Plan three-character identifier from

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Chapter 2)

- Reporting Month (MM/DD/YYYY)
- Enrollee's full name (last, first)
- Enrollee's Medicaid ID
- Enrollee's Social Security number
- Enrollee's date of birth (mm/dd/yyyy)
- Enrollee's physical address
- Enrollee's county of residence
- Residential Setting Type: Home, Assisted Living Facility (ALF), Skilled Nursing Facility (SNF) or Adult Family Care Home (AFCH).
- Name of facility (if applicable)
- Facility License Number (if applicable)
- Identify if transitioning into a SNF or back into Community (SNF, Community or N/A)
- Date of transition to SNF or Community (if applicable, N/A if not)
- Date the 2515 form was sent to DCF if transitioning (if applicable, N/A if not)
- Able to Locate Enrollee: Yes (Y) or No (No)
- Able to Contact Enrollee: Yes (Y) or No (No)
- If unable to contact or locate enrollee, what was the date of last contact? (if applicable, N/A if not)
- Comments including the demonstration of attempts to contact enrollee (if applicable, N/A if not)

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Enrollee_Roster_Facility_Residence_Report_SMMC_LTC_06012014.xls

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Chapter 27: PLACEHOLDER for Level of Care Report
UNDER DEVELOPMENT

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Chapter 28: Missed Services Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | |
| <input type="checkbox"/> | MMA Capitated PSN | |
| <input type="checkbox"/> | MMA Specialty Plan | |
| <input type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to monitor all missed facility and non-facility services covered by the Managed Care Plan for the previous month.

FREQUENCY & DUE DATES:

This report is due monthly, within thirty (30) calendar days after the end of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Missed Services Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must submit the Missed Services Report in the format and layout specified in the report template. A missed service is defined as any covered service unit(s) (including nursing facility services) that were not provided during the reported month.
2. Data to be reported includes, but is not limited to the following:
 - Enrollee's full name
 - Enrollee Medicaid ID
 - Authorized service type
 - Authorized service units for the reported month
 - Number of authorized service units that were not provided in the reported month (missed service units)

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- Explanation and resolution of missed services

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Missed_Services_Report_SMMC_LTC_06012014.xlsx

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Chapter 29: Nursing Facility Transfer Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | |
| <input type="checkbox"/> | MMA Capitated PSN | |
| <input type="checkbox"/> | MMA Specialty Plan | |
| <input type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to inform the enrollment management process, to monitor trends in transition from the nursing facility to the community and vice versa, and to monitor to ensure placements are safe and appropriate. The report is designed to track individuals who transition from nursing facilities into the community, as well as track individuals who transition from the community into the nursing facilities.

FREQUENCY & DUE DATES:

This report is due monthly, within fifteen (15) calendar days after the end of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following Excel file to the SMMC SFTP site:

- Nursing Facility Transfer Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

Nursing Facility Residents Transitioning to the Community

For nursing facility residents transitioning to the community during the reporting month, this report must include the following information:

- Managed Care Plan ID (Managed Care Plan three-character identifier from Chapter 2)
- Full name (last, first) of enrollee
- Enrollee's Medicaid ID
- Enrollee's Social Security number

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- Enrollee's date of birth (mm/dd/yyyy)
- Enrollee's county of residence pre-community placement
- Effective date of enrollment with the Managed Care Plan (mm/dd/yyyy)
- Date enrollee admitted to the nursing facility (mm/dd/yyyy)
- Name of nursing facility
- Nursing facility Medicaid provider number
- Date enrollee transitioned to the community (mm/dd/yyyy)
- Community residence (assisted living facility (ALF), adult family care home (AFCH) or enrollee's own/family home)
 - Street address
 - Name of residence (if applicable)
 - License number (if applicable)
- Name of the enrollee's county of residence post-community placement

Community Residents Transitioning to the Nursing Facility

For community residents transitioning to the nursing facility during the reporting month, this report must include the following information:

- Managed Care Plan ID (Managed Care Plan three-character identifier from Chapter 2)
- Full name (last, first) of enrollee
- Enrollee's Medicaid ID
- Enrollee's Social Security number
- Enrollee's date of birth (mm/dd/yyyy)
- Enrollee's county of residence pre-nursing facility placement
- Effective date of enrollment with the Managed Care Plan (mm/dd/yyyy)
- Name of nursing facility
- Name of the enrollee's county of residence post-nursing facility placement
- Nursing facility Medicaid provider number
- Date enrollee admitted to the nursing facility (mm/dd/yyyy)
- Community residence prior to nursing facility (assisted living facility (ALF), adult family care home (AFCH) or enrollee's own/family home)
 - Street address
 - Name of residence (if applicable)
 - License number (if applicable)
- Information regarding the enrollee's previous transition into the community from a nursing facility
- If previous transition occurred, date of previous transition (mm/dd/yyyy)

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VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Nursing_Facility_Transfer_Report.xls

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Chapter 30: Participant Direction Option (PDO) Roster Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | | | |
| <input type="checkbox"/> | MMA Capitated PSN | | | |
| <input type="checkbox"/> | MMA Specialty Plan | | | |
| <input type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to provide information about the total number of participants enrolled in and total number of participants who have discontinued participation from the Participant Direction Option (PDO). The report includes the PDO services provided to each participant, the PDO services that were discontinued during the report month and the reasons for discontinuing participation.

FREQUENCY & DUE DATES:

This report is due monthly, within fifteen (15) calendar days after the end of the reporting month.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Participant Direction Option (PDO) Roster Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must create the Participant Direction Option (PDO) Roster Report in the format and layout specified in the report template.
2. For the reporting month, the report must include a list of all PDO participants.
3. The report will also include any participants who disenrolled from the PDO for the month being reported and the reasons for discontinuing participation.

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Note: If a participant does not have any direct service workers receiving a paycheck for more than 30 calendar days, the participant should be reported as disenrolled from PDO.

4. The report will include the PDO services that each PDO participant is currently receiving and the PDO services that the disenrolled participant was receiving up until disenrollment.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Participant_Directed_Option_Roster_Report_SMMC-LTC_06012014.xlsx

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Chapter 31: Patient Responsibility Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|---|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input checked="" type="checkbox"/> LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | |
| <input type="checkbox"/> | MMA Capitated PSN | |
| <input type="checkbox"/> | MMA Specialty Plan | |
| <input type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to provide a comparison of the total cost of home and community-based services (HCBS) to the enrollee's assigned patient responsibility amount for the prior Contract year.

FREQUENCY & DUE DATES:

This report is due annually, by October 1 for the prior Contract year.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Patient Responsibility Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must create the Patient Responsibility Report in the format and layout specified in the report template.
2. Data to be reported includes the following:
 - Enrollee name
 - Enrollee Medicaid ID
 - Total patient responsibility amount
 - Total cost of home and community-based services enrollee received
 - Service(s) for which the Managed Care Plan and enrollee agreed that patient responsibility was/would be applied

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- Total cost of other Medicaid services enrollee received via the Managed Care Plan
- Is the total cost of the HCBS received greater than or equal to the enrollee's patient responsibility amount?

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Patient_Responsibility_Report_SMMC-LTC_06012014.xlsx

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Chapter 32: Utilization Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|-------------------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input checked="" type="checkbox"/> | LTC FFS PSN |
| <input type="checkbox"/> | MMA HMO | | | |
| <input type="checkbox"/> | MMA Capitated PSN | | | |
| <input type="checkbox"/> | MMA Specialty Plan | | | |
| <input type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to enable the tracking of LTC Managed Care Plan enrollee service utilization, cost and demographic information including: the plan member's age, residential setting, presence of caregiver, and length of time enrolled with the plan. The report provides information about the service utilization of participants enrolled in and disenrolled from the LTC Managed Care Plan.

FREQUENCY & DUE DATES:

This report is due quarterly, within thirty (30) calendar days after the end of the reporting quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the SMMC SFTP site:

- Utilization Report using the template provided.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must create the Utilization Report in the format and layout specified in the report template.
2. For the purpose of this report, the following enrollees must be included in the participant count:
 - Identification of enrollees receiving home and community based services, nursing facility services, or hospice services.

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- Identification of HCBS enrollees not using services
3. For the reporting quarter, the report must include a list of enrollees receiving services from the Managed Care Plan. The report will include enrollee information, enrollee demographic information, services received, units of service, and actual expenditures.
 4. Each quarter, the Managed Care Plan must include calendar year-to-date information as specified on the template.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Utilization_Report_SMMC-LTC_06012014.xls

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Section Four: Managed Medical Assistance Reports

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**Chapter 33: PLACEHOLDER for Additional Network Adequacy
Standards Report**
UNDER DEVELOPMENT

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Chapter 34: Affordable Care Act (ACA) Primary Care Physician (PCP) Payment Increase Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|--|------------------|--------------------------------------|
| <input checked="" type="checkbox"/> Comprehensive LTC Plan | | <input type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> MMA HMO | | |
| <input checked="" type="checkbox"/> MMA Capitated PSN | | |
| <input checked="" type="checkbox"/> MMA Specialty Plan | | |
| <input checked="" type="checkbox"/> MMA CMSN Plan | | |

REPORT PURPOSE:

The purpose of this report is for the capitated Managed Care plan to provide the Agency with accurate data reports that document the primary care physician's (PCP's) eligibility and eligible provider payments, including vaccination administration payments, made to the physician relative to the federal Affordable Care Act provision for increased payments.

FREQUENCY & DUE DATES:

This report is due quarterly, by the last day of the month after the end of the reporting quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2, the Managed Care Plan must submit the following to the MPA SFTP site:

- The Affordable Care Act (ACA) Primary Care Physician (PCP) Payment Increase Report.
- A report attestation described in Chapter 2.

Submission of Data to the MPA FTP Site

To avoid an excessive number of sub-folders, Managed Care Plans must submit their data to the MPA FTP site in the folder "MPA\toMPA\PCP Fee Increase." Where multiple versions of files for a specific quarter are submitted, a suffix of "_2", "_3", etc., should be added to the file name to indicate the sequence number of the submission.

INSTRUCTIONS:

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1. Quarterly Reporting

The Managed Care Plan quarterly reporting requirement consists of two items: (1) a quarterly summary utilization report for each quarter of 2014, for which services are provided to MMA enrollees, and (2) supporting data to identify the corresponding encounters. The quarterly report must be submitted using the Agency-supplied template and the included technical instructions attached, and the specific requirements for the PCP fee increase documentation delineated below.

- a. The content and format for the quarterly summary report are specified in the “PCP Fee Increase Summary Information.xlsx” tab .
- b. The content and file layout for the PCP fee increase supporting encounter data are provided in “PCP Fee Increase Encounter Data File Layout.xlsx” tab .
- c. The first submission of the MMA quarterly summary report and the supporting encounter data is due on or before July 31, 2014. This submission covers eligible services provided between May 1, 2014, and June 30, 2014, with payment dates no later than June 30, 2014. Subsequent submissions are due according to the schedule in Frequency and Due Dates above.
- d. The Managed Care Plan must ensure that the summary report and PCP fee increase supporting encounter data include payments and any adjustments to payments, positive or negative.
- e. The Managed Care Plan must not include ACA PCP fee increases (differential) in its regular, ongoing encounter data submissions to the Agency (see Statewide Medicaid Managed Care Contract, Attachment II, Section VIII, E., Encounter Data Requirements).
- f. The Managed Care Plan must not include payments for primary care services provided to MediKids in the summary reports and encounter data supporting documentation submissions for the ACA PCP fee increase payments.
- g. All services provided by medical school physicians, and claims denied by Managed Care Plans are not eligible for the ACA PCP fee increase. Non-denied fee-for-service claims submitted by Managed Care Plans must include a dollar amount not equal to zero to be eligible for the PCP increase payment. The dollar amount should represent the amount paid by the Managed Care Plan and any amount paid by third parties. Thus, the field designated for reporting payment amount should contain one of the following, as appropriate:
 - (a) the amount paid by the Managed Care Plan, if a third party has paid nothing;
 - (b) the sum of the amount paid by the Managed Care Plan and a third party or parties; or
 - (c) the total amount paid by a third party or parties, where the Managed Care Plan has paid nothing.

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The only exception to the requirement that non-denied fee-for-service claims must include a payment amount, is for vaccine administration codes (90460, 90471, and 90472). These codes are eligible for the PCP increase even when the Managed Care Plan has paid the physician for the vaccine under product (serum) codes. In such cases, it is permissible to include vaccine administration claims with a payment amount of zero in data submitted to the Agency to support the PCP payment calculation.

2. Corrections to Previously Submitted Data

Once payment for a quarter has been made by the Agency, data corrections identified by the Managed Care Plan may still be submitted and applied retroactively. However, corrected data may not be submitted until four months after the payment date. This will allow plans time to finalize corrections. For submission of corrected data, Managed Care Plans should submit both a summary report and supporting encounter data containing only the corrected items.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The ACA PCP Payment Increase Report Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found below:

The Agency's template consists of the following:

- PCP Fee Increase Encounter Data File Layout.xlsx - http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/ACA_PCP_Payment_Increase_Encounter_Data_File_Layout_SMMC_MMA_06012014.xlsx
- PCP Fee Increase Summary Information.xlsx - http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/ACA_PCP_Payment_Increase_Summary_Information_SMMC-MMA_06012014.xlsx
- MPA SFTP Instructions.doc - http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/ACA_PCP_Payment_Increase_MPA_SFTP_Instructions_06012014.doc
- The report attestation as described in Chapter 2 for each submission.

Chapter 35: CHCUP (CMS-416) and FL 80% Screening

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|--------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with data documenting the Managed Care Plan’s program and compliance with federal and state statutory requirements regarding Child Health Check Up (CHCUP) screening and participation.

FREQUENCY & DUE DATES:

The Unaudited CHCUP (CMS-416) and FL 80% Screening Ratio Report and back-up encounter data is due annually, on or before January 15 following the end of the reporting federal fiscal year (October 1 through September 30).

The Audited CHCUP (CMS-416) and FL 80% Screening Ratio Report is due annually; the Audited Report Summary and the Letter of Opinion from an Independent Auditor (certified public account unaffiliated with the Managed Care Plan) is due on or before October 1 following the end of the reporting federal fiscal year (October 1 through September 30).

SUBMISSION:

The Managed Care Plan must submit the following to the SMMC SFTP site:

- For the Unaudited CHCUP (CMS-416) and FL 80% Screening Ratio Report:
 - a. The completed Unaudited CHCUP and FL 80% Screening Ratio Agency-supplied templates, submitted as an XLS file and named: UA-CHCUP-***yyyy.xls, where “***” is the Managed Care Plan’s three character identifier from the Plan Identifier Table (see Chapter 2) and “yyyy” represents the four (4) digit federal fiscal year being reported. For example: ABC Health Plan’s submission for October 1, 2013 – September 30, 2014 would be named “UA-CHCUP-ABC1314.xls”).

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- b. The back-up encounter data, which must be submitted as a text file in .csv format and named using the naming convention, CMS416_***YYYY_Encounters.csv, where *** is the health plan's three-character identifier from the Plan Identifier Table (see Chapter 2) and YYYY is the four-digits of the federal fiscal year being reported (i.e. ABC Managed Care Plan's submission for October 1, 2013 – September 30, 2014 would be named "CMS416_ABC1314_Encounters.csv").
 - Dates of Service: October 1 – September 30
 - Dates of Payment: October 1 - December 31
 - c. The back-up encounter data, which must be submitted as a text file in .csv format and named using the naming convention, CMS416_***YYYY_Eligibility.csv, where *** is the health plan's three-character identifier from the Plan Identifier Table (see Chapter 2) and YYYY is the four-digits of the federal fiscal year being reported (i.e. ABC Health Plan's submission for October 1, 2013 – September 30, 2014 would be named "CMS416_ABC1314_Eligibility.csv").
 - Includes all recipients and all months of eligibility contributing to the calculation of lines 1a and 1b of the CHCUP (CMS-416) & FL 80% Screening Ratio Report
 - Dates of Eligibility: October 1 – September 30
 - d. The attestation (see Chapter 2) for the completed financial statement report template and for the two back-up encounter data reports, which must be submitted with the certified data as a PDF file and named UA-CHCUP-***YYYY-cert.pdf, where *** is the health plan's three-character identifier from the Plan Identifier Table (see Chapter 2), and YYYY is the four-digits of the federal fiscal year being reported (i.e. ABC Health Plan's submission for October 1, 2013 – September 30, 2014 would be named "UA-CHCUP-ABC1314-cert.pdf").
- For the Audited CHCUP (CMS-416) and FL 80% Screening Ratio Report:
- a. The completed Audited CHCUP and FL 80% Screening Ratio Agency-supplied templates submitted as an XLS and named: A-CHCUP-***yyyy.xls, where "****" is the Managed Care Plan's three-character identifier from the Plan Identifier Table (see Chapter 2) and "yyyy" represents the four digit federal fiscal year being reported. For example, ABC Managed Care Plan's submission for October 1, 2013 – September 30, 2014 would be named "A-CHCUP-ABC1314.xls").
 - b. The independent auditor's report summary and letter of opinion, which must be submitted as a PDF file and named AO-CHCUP-***yyyy.pdf, where

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“***” is the Managed Care Plan’s three-character identifier from the Plan Identifier Table (see Chapter 2) and “yyyy” represents the four-digits of the federal fiscal year being reported. For example, ABC Managed Care Plan’s submission for October 1, 2013 – September 30, 2014 would be named “AO-CHCUP-ABC1314.xls”).

- c. The attestation (see Chapter 2) for the completed report template, which must be submitted with the certified data as a PDF file and named A-CHCUP-***YYYY-cert.pdf, where *** is the health plan’s three-character identifier from the Plan Identifier Table (see Chapter 2), and YYYY is the four-digits of the federal fiscal year being reported. For example, ABC Managed Care Plan’s submission for October 1, 2013 – September 30, 2014 would be named “A-CHCUP-ABC1314-cert.pdf”).

INSTRUCTIONS:

1. The audited HEDIS Report does not meet the contractual obligation for submission of the CHCUP report. Note: the audited CHCUP report is required for compliance with federal and state law.
2. Report age based upon the child's age as of September 30 of the federal fiscal year. All case months should be reported as the age on September 30.
3. Services provided to individuals prior to them turning 21 during the report year must be counted in the 19-20 Yr age group even though these individuals are not counted in the 19-20 age category on Line 1. Count all CHCUP services, referrals and dental services in the appropriate lines.
4. Count only CHCUPs that were completed when eligibles were members of the reporting HMO/PSN. Do not count CHCUPs performed by other HMOs or PSNs.
5. Do not count MediKids populations in the data reported.
6. Do not report sick visits or episodic visits provided to children unless an initial or periodic screen was also performed during the visit. However, it may reflect a screen outside of the normal state periodicity schedule that is used as a "catch-up" CHCUP screening. (A catch-up CHCUP screening is defined as a complete screening that is provided to bring a child up-to-date with the State's screening periodicity schedule.) Use data reflecting date of service within the federal fiscal year for such screening services or other documentation of such services furnished under capitated arrangements.
7. All fields in the templates must be completed according to the services required under contract.

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8. Note: Line 11 in the report must include the number of individuals who were referred for corrective treatment. This element does not include correction of health problems during the course of a screening examination. Please refer to the CMS-416 Instructions tab in the Excel template for further details regarding line 11 data.
9. Line 14 in the report must include the number of children receiving blood lead screenings. Blood lead tests done on persons who have been diagnosed or treated for lead poisoning should not be counted. Do not make entries in the shaded columns. Please refer to the CMS-416 Instructions tab in the Excel template for further details regarding line 14 data.
10. The Managed Care Plan must use the instructions and file layouts provided on the Encounter Data tab to complete the back-up encounter data required for this Report.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations.

REPORT TEMPLATE:

The CHCUP (CMS-416) & FL 80% Screening Ratio Report Agency-supplied template must be used as specified in the Report Guide, and is emailed to the Managed Care Plan's compliance contact each November. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template to be used can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Child_Health_Check-Up_SMMC_%20MMA_06012014.xls

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**Chapter 36: PLACEHOLDER for Customized Benefit Notification
Report**
UNDER DEVELOPMENT

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**Chapter 37: PLACEHOLDER for Electronic Health Records Standards
Report**
UNDER DEVELOPMENT

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**Chapter 38: PLACEHOLDER for ER Visits for Enrollees without PCP
Appointment Report**
UNDER DEVELOPMENT

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Chapter 39: PLACEHOLDER for Healthy Behaviors Report
UNDER DEVELOPMENT

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Chapter 40: Hernandez Settlement Agreement Survey

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|--------------------------------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with annual settlement agreement Hernandez et.al. v. Medows (Case number 02-20964 Civ-Gold/Simonton), commonly referred to as the Hernandez Settlement Agreement (HSA) surveys conducted by the Managed Care Plan on no less than 5% of all participating pharmacy locations in an effort to ensure compliance with the HSA.

FREQUENCY & DUE DATES:

This report is due annually, on or before August 1 of each year.

SUBMISSION:

Using the file naming convention described in Chapter 2 of this guide, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The HSA survey template.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must conduct HSA surveys of no less than 5% of all participating pharmacy locations.
2. The Managed Care Plan must not include any participating pharmacy locations that the Managed Care Plan found to be in complete compliance with the HSA requirements within the previous 12 months.
3. The Managed Care Plan must require all participating pharmacy locations that fail any part of the HSA survey to undergo mandatory training within six months and then be re-evaluated within one month of the Managed Care Plan's HSA

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training to ensure compliance.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations

REPORT TEMPLATE:

The HSA Survey Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/HERNANDEZ_SETTLEMENT_AGREEMENT_SURVEY_SMMC_MMA_06012014.xls

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Chapter 41: Hernandez Settlement Ombudsman Log

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|--------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with details regarding any enrollee issues related directly to the settlement agreement Hernandez et.al. v. Medows (Case number 02-20964 Civ-Gold/Simonton), commonly referred to as the Hernandez Settlement Agreement (HSA).

FREQUENCY & DUE DATES:

This report is due quarterly, fifteen (15) calendar days after the end of the reporting quarter.

SUBMISSION:

Using the file naming convention described in Chapter 2 of this guide, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The Agency supplied HSA Template.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must maintain a log of all correspondence and communications from enrollees relating to the HSA Ombudsman process using the provided Agency template.
2. For each line in the report, use "1" to indicate a Comprehensive LTC Plan issue and use "2" to indicate an MMA Plan issue.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations

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REPORT TEMPLATE:

The HSA Log Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

1. The template has 5 spreadsheets — one plan information sheet, and four (4) quarterly spreadsheets

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/HERNANDEZ_SETTLEMENT_AGREEMENT_LOG_SMMC_MMA_06012014.xls

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**Chapter 42: PLACEHOLDER for Patient Centered Medical Home
(PCMH) Providers Report
UNDER DEVELOPMENT**

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Chapter 43: PLACEHOLDER for PCP Appointment Report

UNDER DEVELOPMENT

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Chapter 44: Quarterly and Annual Medical Loss Ratio (MLR) Reports

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | <u>Plan Type</u> | |
|-------------------------------------|------------------------|--------------------------------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | <input type="checkbox"/> LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with unaudited quarterly and unaudited annual financial data showing the medical loss ratio (MLR) information in compliance with Special Terms and Conditions #17c of Florida's Section 1115 Medicaid Managed Care Waiver.

The Agency must calculate the MLR in a manner consistent with 45 C.F.R. Part 158 and s. 409.9122(21)(b) and (c), F.S.

FREQUENCY & DUE DATES:

Quarterly Reporting:

- This report is due quarterly, no later than seven (7) months after the end of each reporting quarter:
 - 1st quarter (July 1 - September 30) is due by April 30,
 - 2nd quarter (October 1 – December 31) is due by July 31,
 - 3rd quarter (January 1 – March 31) is due by October 31, and
 - 4th quarter (April 1 – June 30) is due by January 30.

Annual Reporting:

- This report is due annually, no later than seven (7) months after the end of each reporting year:
 - Annual report (July 1 – June 30) is due by January 30.

SUBMISSION:

The Managed Care Plan must submit the following to the SMMC SFTP site:

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- For the quarterly submissions:
 - a. The completed financial medical loss ratio worksheet, which must be submitted via hard copy or as a PDF file and named using the naming convention, MLR***YYQ#.pdf, where *** is the Managed Care Plan's three-character identifier from the Plan Identifier Table (see Chapter 2), YY are the last two-digits of the year being reported, and # is the one-digit of the quarter being reported (i.e., ABC Health Plan's submission for the 3rd quarter of the reporting year July 1, 2014, through June 30, 2015, would be named "MLRABC14Q3.pdf").
 - b. The attestation (see Chapter 2) for the completed financial medical loss ratio worksheet, which must be submitted with the certified data via hard copy or as a PDF file and named MLR***YYQ#-cert.pdf, where *** is the Managed Care Plan's three-character identifier from the Plan Identifier Table (see Chapter 2), YY are the last two-digits of the year being reported, and # is the one-digit of the quarter being reported (i.e., ABC Health Plan's submission for the 3rd quarter of the reporting year July 1, 2014 through June 30, 2015, would be named "MLRABC14Q3-cert.pdf").

- For the annual submissions:
 - a. The completed financial medical loss ratio worksheet, which must be submitted via hard copy or as a PDF file and named using the naming convention, MLR***YYYY.pdf, where *** is the Managed Care Plan's three-character identifier from the Plan Identifier Table (see Chapter 2), and YYYY are the four-digits of the year being reported (i.e., ABC Health Plan's submission for the reporting year July 1, 2014, through June 30, 2015, would be named "MLRABC2014.pdf").
 - b. The attestation (see Chapter 2) for the completed financial medical loss ratio worksheet, which must be submitted with the certified data via hard copy or as a PDF file and named MLR***YYYY-cert.pdf, where *** is the Managed Care Plan's three-character identifier from the Plan Identifier Table (see Chapter 2), YYYY are the four-digits of the year being reported (i.e., ABC Health Plan's submission for the reporting year July 1, 2014, through June 30, 2015, would be named "MLRABC2012-cert.pdf").
 - c. Any applicable refund due (make check payable to the Agency for Health Care Administration).

INSTRUCTIONS:

1. The Managed Care Plan must submit the completed financial worksheet for the calculation of the medical loss ratio in the following manner:

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- a. The Managed Care Plan must use the Agency's supplied template (see the "Report Template" section of this chapter). The appropriate box must be checked (quarterly/annual) by the Managed Care Plan to identify the reporting period of the submitted report.
 - b. The report must contain MMA data only.
2. When no refund is due to the Agency, the Managed Care Plan is strongly encouraged to submit via email the financial worksheet for the medical loss ratio and the corresponding attestation.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations

REPORT TEMPLATE:

The Quarterly and Annual Medical Loss Ratio (MLR) Reports Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template to be used can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/Quarterly_and_Annual_MLR_Report_Template_SMMC_MMA_06012014.xls

The Agency's template consists of the following:

- A cover letter providing the information necessary for completion of this report;
- A financial worksheet used to calculate the medical loss ratio; and
- A report attestation as described in Chapter 2.

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Chapter 45: Timely Access/PCP Wait Times Report

SMMC PLAN TYPES

The following Managed Care Plans must submit this report:

- | | | <u>Plan Type</u> | | |
|-------------------------------------|------------------------|------------------|--------------------------|-------------|
| <input checked="" type="checkbox"/> | Comprehensive LTC Plan | | <input type="checkbox"/> | LTC FFS PSN |
| <input checked="" type="checkbox"/> | MMA HMO | | | |
| <input checked="" type="checkbox"/> | MMA Capitated PSN | | | |
| <input checked="" type="checkbox"/> | MMA Specialty Plan | | | |
| <input checked="" type="checkbox"/> | MMA CMSN Plan | | | |

REPORT PURPOSE:

The purpose of this report is to provide the Agency with confirmation of the Managed Care Plan’s examination and regular review of its participating PCP offices’ average appointment wait times through a statistically valid sample, and to ensure these PCP offices are held accountable to contractually obligated standards (see Contract Attachment II, Exhibit II-A, Section VI, Provider Network).

FREQUENCY & DUE DATES:

This report is due annually on or before February 1, following the reported calendar year.

SUBMISSION:

Using the file naming convention described in Chapter 2 of this guide, the Managed Care Plan must submit the following to the SMMC SFTP site:

- The completed report using the Agency-supplied template, which must be submitted as an XLS file and named using the file naming convention as described in Chapter 2 of this guide.
- A report attestation as described in Chapter 2.

INSTRUCTIONS:

1. The Managed Care Plan must submit the completed report using the Agency’s supplied template (see the “Report Template” section of this chapter).
 - a. On the Cover Sheet of the report template, the Managed Care Plan must:
 - Indicate which calendar year is being reported; and
 - Submit the methodology used to determine a “statistically valid” sample.

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- b. On the PCP Wait Times Sheet of the report template, the Managed Care Plan must:
 - Indicate the PCP information and the number of calendar days for PCP services and referrals to specialists for covered services.
2. The Managed Care Plan must refer to Exhibit II-A, Section VI of the Managed Care Plan Contract for pertinent wait time definitions.

VARIATIONS BY MANAGED CARE PLAN TYPE:

No variations

REPORT TEMPLATE:

The Timely Access/PCP Wait Times Report Agency-supplied template must be used as specified in the Report Guide. No alterations or duplication must be made to the report template by the Managed Care Plan. The Agency-supplied template can be found at:

http://ahca.myflorida.com/Medicaid/statewide_mc/pdf/LTC/Report_Guides/TIMELY_ACCESS-PCP_WAIT_TIMES_REPORT_SMMC_MMA_06012014.xls

The Agency's template consists of the following:

- A Cover Sheet; and
- A PCP Wait Times worksheet.

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