

ATTACHMENT II
EXHIBIT II-B – Effective Date: July 1, 2014
LONG-TERM CARE (LTC) MANAGED CARE PROGRAM

Section I. Definitions and Acronyms

The definitions and acronyms in Core Provisions Section I, Definitions and Acronyms apply to all LTC Managed Care Plans and Comprehensive LTC Managed Care Plans unless specifically noted otherwise in this Exhibit.

Section II. General Overview

The provisions in this Exhibit apply to all LTC Managed Care Plans and Comprehensive LTC Managed Care Plans.

In accord with the order of precedence listed in Attachment I, any additional items or enhancements listed in the Managed Care Plan's response to the Invitation to Negotiate are included in this Exhibit by this reference.

Section III. Eligibility and Enrollment

A. Eligibility

1. Mandatory Populations

- a. Eligible recipients age eighteen (18) or older in any of the following programs or eligibility categories are required to enroll in a Managed Care Plan if they have been determined by CARES to meet the nursing facility level of care:

(1) Temporary Assistance to Needy Families (TANF);

(2) SSI (Aged, Blind and Disabled);

(3) Institutional Care;

(4) Hospice;

(5) Aged/Disabled Adult waiver;

- (6) Individuals who age out of Children's Medical Services and meet the following criteria for the Aged/Disabled Adult waiver:

(a) Received care from Children's Medical Services prior to turning age 21;

(b) Age 21 and older;

(c) Cognitively intact;

(d) Medically complex; and

- (e) Technologically dependent.
- (7) Assisted Living waiver;
- (8) Nursing Home Diversion waiver;
- (9) Channeling waiver;
- (10) Low Income Families and Children;
- (11) MEDS (SOBRA) for children born after 9/30/83 (age 18 — 20);
- (12) MEDS AD (SOBRA) for aged and disabled;
- (13) Protected Medicaid (aged and disabled);
- (14) Full Benefit Dual Eligibles (Medicare and Medicaid);
- (15) Individuals enrolled in the Frail/Elderly Program component of United Healthcare HMO; and
- (16) Medicaid Pending for Long-term Care Managed Care HCBS waiver services.

2. Voluntary Populations

Eligible recipients eighteen (18) years or older in any of the following eligibility categories may, but are not required to, enroll in a Managed Care Plan if they have been determined by CARES to meet the nursing facility level of care:

- a. Traumatic Brain and Spinal Cord Injury waiver;
- b. Project AIDS Care (PAC) waiver;
- c. Adult Cystic Fibrosis waiver;
- d. Program of All-Inclusive Care for the Elderly (PACE) plan members;
- e. Familial Dysautonomia waiver;
- f. Model waiver (age 18 — 20);
- g. Developmental Disabilities waiver (iBudget and Tiers 1-4);
- h. Medicaid for the Aged and Disabled (MEDS AD) — Sixth Omnibus Budget Reconciliation Act (SOBRA) for aged and disabled — enrolled in Developmental Disabilities (DD) waiver; and
- i. Recipients with other creditable coverage excluding Medicare.

3. Excluded Populations

- a. Recipients in any eligibility category not listed in items A., Eligibility, sub-items 1., Mandatory Populations and 2., Voluntary Populations, above, are excluded from enrollment in a LTC Managed Care Plan.
- b. In addition, regardless of eligibility category, the following recipients are excluded from enrollment in a LTC Managed Care Plan:
 - (1) Recipients residing in residential commitment facilities operated through DJJ or mental health facilities;
 - (2) Recipients residing in DD centers including Sunland and Tacachale;
 - (3) Children receiving services in a prescribed pediatric extended care center (PPEC);
 - (4) Children with chronic conditions enrolled in the Children's Medical Services Network; and
 - (5) Recipients in the Health Insurance Premium Payment (HIPP) program.

4. Medicaid Pending for Home and Community-Based Services

- a. The Managed Care Plan shall authorize and provide services to Medicaid Pending enrollees as specified in Section V, Covered Services.
- b. Medicaid Pending recipients may choose to disenroll from the Managed Care Plan at any time, but the Managed Care Plan shall not encourage the enrollee to do so. However, Medicaid Pending recipients may not change managed care plans until full financial Medicaid eligibility is complete.
- c. The Managed Care Plan shall be responsible for reimbursing subcontracted providers for the provision of home and community-based services (HCBS) during the Medicaid Pending period, whether or not the enrollee is determined financially eligible for Medicaid by DCF. The Managed Care Plan shall assist Medicaid Pending enrollees with completing the DCF financial eligibility process.
- d. The Agency will notify the Managed Care Plan in a format to be determined by the Agency of Medicaid Pending recipients that have chosen to enroll in the Managed Care Plan on a schedule consistent with the X-12 834 monthly enrollment files. On the first of the month after the notification, the Managed Care Plan shall provide services as indicated in Section V, Covered Services. The Managed Care Plan shall not deny or delay services covered under this Contract to Medicaid Pending enrollees based on their Medicaid eligibility status.
- e. The Agency will notify the Managed Care Plan if and when Medicaid Pending enrollees are determined financially eligible by DCF via the X-12 834 enrollment files. If full Medicaid eligibility is granted by DCF, the Managed Care Plan shall be reimbursed a capitated rate, by whole months, retroactive to the first of the month

in which the recipient was enrolled into the Managed Care Plan as a Medicaid Pending enrollee. At the request of the Agency, the Managed Care Plan shall provide documentation to prove all medically necessary services were provided for the Medicaid Pending recipient during their pending status.

- f. If DCF determines the recipient is not financially eligible for Medicaid, the Managed Care Plan may terminate services and seek reimbursement from the enrollee. In this instance only, the Managed Care Plan may seek reimbursement only from the individual for documented services, claims, copayments and deductibles paid on behalf of the Medicaid Pending enrollee for services covered under this Contract during the period in which the Managed Care Plan should have received a capitation payment for the enrollee in a Medicaid Pending status. The Managed Care Plan shall send the affected enrollee an itemized bill for services. The itemized bill and related documentation shall be included in the enrollee's case notes. The Managed Care Plan shall not allow subcontractors to seek payment from the Medicaid Pending enrollee on behalf of the Managed Care Plan.

B. Enrollment

There are no additional enrollment provisions unique to the LTC managed care program.

C. Disenrollment

There are no additional disenrollment provisions unique to the LTC managed care program.

D. Marketing

There are no additional marketing provisions unique to the LTC managed care program.

Section IV. Enrollee Services and Grievance Procedures

A. Enrollee Materials

1. New Enrollee Procedures and Materials

For each new HCBS enrollee, the Managed Care Plan shall complete and submit to DCF a 2515 form (Certification of Enrollment Status HCBS) within five (5) business days after receipt of the applicable enrollment file from the Agency or its agent. The Managed Care Plan shall retain proof of submission of the completed 2515 form to DCF.

2. Enrollee Handbook Requirements

The Managed Care Plan shall include additional information in its handbooks applicable to the LTC program, as follows:

- a. An explanation of the role of the case manager and how to access a case manager;

- b. Instructions on how to access services included in an enrollee's plan of care;
- c. Information regarding how to develop the enrollee disaster/emergency plan including information on personal and family plans and shelters, dealing with special medical needs, local shelter listings, special needs registry, evacuation information, emergency preparedness publications for people with disabilities, and information for caregivers, all of which is available at the web site www.floridadisaster.org;
- d. Information regarding how to develop a contingency plan to cover gaps in services;
- e. A signature page for signature of the enrollee/authorized representative;
- f. Instructions on how to access appropriate state or local educational and consumer resources providing additional information regarding residential facilities and other Long-term Care providers in the Managed Care Plan's network. At a minimum, the Managed Care Plan shall include the current website addresses for the Agency's Health Finder website (www.FloridaHealthFinder.gov) and the Department of Elder Affairs' Florida Affordable Assisted Living consumer website (<http://elderaffairs.state.fl.us/faal/>).
- g. Information regarding participant direction for the following services:
 - (1) Attendant care services;
 - (2) Homemaker services;
 - (3) Personal care services;
 - (4) Adult companion care services; and
 - (5) Intermittent and skilled nursing.
- h. Patient responsibility obligations for enrollees residing in a residential facility.

B. Enrollee Services

1. Medicaid Redetermination Assistance

- a. The Managed Care Plan shall send enrollees Medicaid redetermination notices and assist enrollees with maintaining eligibility.
- b. The Managed Care Plan shall develop a process for tracking eligibility redetermination and documenting the assistance provided by the Managed Care Plan to ensure continuous Medicaid eligibility, including both financial and medical/functional eligibility.
- c. The Managed Care Plan's assistance shall include:
 - (1) Within the requirements provided below, using Medicaid recipient redetermination date information provided by the Agency to remind enrollees that their Medicaid eligibility may end soon and to reapply for Medicaid if needed;

- (2) Assisting enrollees to understand applicable Medicaid income and asset limits and, as appropriate and needed, supporting enrollees to meet verification requirements;
 - (3) Assisting enrollees to understand any patient responsibility obligation they may need to meet to maintain Medicaid eligibility;
 - (4) Assisting enrollees to understand the implications of their functional level of care as it relates to the eligibility criteria for the program;
 - (5) Having staff that has received Agency-specified training complete the Agency-defined reassessment form and submit it to CARES staff to review and determine whether the enrollee continues to meet nursing facility level of care; and
 - (6) If appropriate and needed, assisting enrollees to obtain an authorized representative.
- d. The Agency will provide Medicaid recipient redetermination date information to the Managed Care Plan.
- e. The Managed Care Plan shall train all affected staff, prior to implementation, on its policies and procedures and the Agency's requirements regarding the use of redetermination date information. The Managed Care Plan shall document such training has occurred, including a record of those trained, for the Agency's review within five (5) business days after the Agency's request.
- f. The Managed Care Plan shall use redetermination date information in written notices to be sent to their enrollees reminding them that their Medicaid eligibility may end soon and to reapply for Medicaid if needed. The Managed Care Plan shall adhere to the following requirements:
- (1) The Managed Care Plan shall mail the redetermination date notice to each enrollee for whom it has received a redetermination date. The Managed Care Plan may send one (1) notice to the enrollee's household when there are multiple enrollees within a family who have the same Medicaid redetermination date, provided that these enrollees share the same mailing address.
 - (2) The Managed Care Plan shall use the Agency-provided LTC template for its redetermination date notices. The Managed Care Plan may put this template on its letterhead for mailing; however, the Managed Care Plan shall make no other changes, additions or deletions to the letter text.
 - (3) The Managed Care Plan shall mail the redetermination date notice to each enrollee no more than sixty (60) days and no less than thirty (30) days before the redetermination date occurs.
- g. The Managed Care Plan shall keep the following information about each mailing made available for the Agency's review within five (5) business days after the

Agency's request. For each month of mailings, a dated hard copy or pdf. of the monthly template used for that specific mailing shall include:

- (1) A list of enrollees to whom a mailing was sent. This list shall include each enrollee's name and Medicaid identification number, the address to which the notice was mailed, and the date of the Agency's enrollment file used to create the mailing list; and
 - (2) A log of returned, undeliverable mail received for these notices, by month, for each enrollee for whom a returned notice was received.
- h. The Managed Care Plan shall keep up-to-date and approved policies and procedures regarding the use, storage and securing of this information as well as address all requirements of this subsection.
- i. Should any complaint or investigation by the Agency result in a finding that the Managed Care Plan has violated this subsection, the Managed Care Plan may be sanctioned in accordance with Section XI, Sanctions. In addition to any other sanctions available in Section XI, Sanctions, the first such violation may result in a thirty- (30) day suspension of use of Medicaid redetermination dates; any subsequent violations will result in thirty (30) day incremental increases in the suspension of use of Medicaid redetermination dates. In the event of any subsequent violations, additional penalties may be imposed in accordance with Section XI, Sanctions. Additional or subsequent violations may result in the Agency's rescinding provision of redetermination date information to the Managed Care Plan.

C. Grievance System

There are no additional grievance system provisions unique to the LTC managed care program.

Section V. Covered Services

A. Required Benefits

1. Specific LTC Services to be Provided

- a. The Managed Care Plan shall provide the services listed below in accordance with the Florida Medicaid State Plan, the Florida Medicaid Coverage and Limitations Handbooks, the Florida Medicaid fee schedules, and the provisions herein, unless otherwise specified elsewhere in this Contract. The Managed Care Plan shall comply with all state and federal laws pertaining to the provision of such services. The following provisions highlight key requirements for certain covered services, including requirements specific to the LTC program.
- (1) Adult Companion Care — Non-medical care, supervision and socialization provided to a functionally impaired adult. Companions assist or supervise the enrollee with tasks such as meal preparation or laundry and shopping, but do not perform these activities as discreet services. The provision of companion

services does not entail hands-on nursing care. This service includes light housekeeping tasks incidental to the care and supervision of the enrollee.

- (2) Adult Day Health Care — Services provided pursuant to Chapter 429, Part III, F.S. Services furnished in an outpatient setting which encompass both the health and social services needed to ensure optimal functioning of an enrollee, including social services to help with personal and family problems and planned group therapeutic activities. Adult day health care includes nutritional meals. Meals are included as a part of this service when the patient is at the center during meal times. Adult day health care provides medical screening emphasizing prevention and continuity of care, including routine blood pressure checks and diabetic maintenance checks. Physical, occupational and speech therapies indicated in the enrollee's plan of care are furnished as components of this service. Nursing services, which include periodic evaluation, medical supervision and supervision of self-care services directed toward activities of daily living and personal hygiene, are also a component of this service. The inclusion of physical, occupational and speech therapy services, and nursing services as components of adult day health services does not require the Managed Care Plan to contract with the adult day health provider to deliver these services when they are included in an enrollee's plan of care. The Managed Care Plan may contract with the adult day health care provider for the delivery of these services or the Managed Care Plan may contract with other providers qualified to deliver these services pursuant to the terms of this Contract.
- (3) Assistive Care Services — An integrated set of twenty-four (24) hour services only for Medicaid-eligible residents in adult family care homes.
- (4) Assisted Living — A service comprising personal care, homemaker, chore, attendant care, companion care, medication oversight, and therapeutic social and recreational programming provided in a home-like environment in an assisted living facility, licensed pursuant to Chapter 429, Part I, F.S., in conjunction with living in the facility. Service providers shall ensure enrollees reside in a facility offering care with HCB characteristics in accordance with item 3., Home-Like Environment and Community Inclusion – (HCB Characteristics), below. This service includes twenty-four (24) hour onsite response staff to meet scheduled or unpredictable needs in a way that promotes maximum dignity independence, and to provide supervision, safety and security. Individualized care is furnished to persons who reside in their own living units (which may include dual occupied units when both occupants consent to the arrangement) which may or may not include kitchenette and/or living rooms and which contain bedrooms and toilet facilities. The resident has a right to privacy. Living units may be locked at the discretion of the resident, except when a physician or mental health professional has certified in writing that the resident is sufficiently cognitively impaired as to be a danger to self or others if given the opportunity to lock the door, and all protections have been met to ensure individuals' rights have not been violated. The facility shall have a central dining room, living room or parlor, and common activity areas, which may also serve as living rooms or dining rooms. The resident retains the right to assume risk, tempered only by a person's ability to assume responsibility for that risk. Care shall be furnished

in a way that fosters the independence of each consumer to facilitate aging in place. Routines of care provision and service delivery shall be consumer-driven to the maximum extent possible, and treat each person with dignity and respect. The Managed Care Plan may arrange for other authorized service providers to deliver care to residents of assisted living facilities in the same manner as those services would be delivered to a person in their own home. ALF administrators, direct service personnel and other outside service personnel such as physical therapists have a responsibility to encourage enrollees to take part in social, educational and recreational activities they are capable of enjoying. All services provided by the assisted living facility shall be included in a care plan maintained at the facility with a copy provided to the enrollee's case manager. The Managed Care Plan shall be responsible for placing enrollees in the appropriate assisted living facility setting based on each enrollee's choice and service needs.

- (5) Attendant Care — Hands-on care, of both a supportive and health-related nature, specific to the needs of a medically stable, physically handicapped individual. Supportive services are those which substitute for the absence, loss, diminution or impairment of a physical or cognitive function. This service may include skilled or nursing care to the extent permitted by state law. Housekeeping activities which are incidental to the performance of care may also be furnished as part of this activity.
- (6) Behavioral Management — This service provides behavioral health care services to address mental health or substance abuse needs of members. These services are in excess of those listed in the Community Behavioral Health Services Coverage and Limitations Handbook and the Mental Health Targeted Case Management Coverage and Limitations Handbook. The services are used to maximize reduction of the enrollee's disability and restoration to the best possible functional level and may include, but are not limited to: an evaluation of the origin and trigger of the presenting behavior; development of strategies to address the behavior; implementation of an intervention by the provider; and assistance for the caregiver in being able to intervene and maintain the improved behavior.
- (7) Caregiver Training — Training and counseling services for individuals who provide unpaid support, training, companionship or supervision to enrollees. For purposes of this service, individual is defined as any person, family member, neighbor, friend, companion or co-worker who provides uncompensated care, training, guidance, companionship or support to an enrollee. This service may not be provided to train paid caregivers. Training includes instruction about treatment regimens and other services included in the plan of care, use of equipment specified in the plan of care, and includes updates as necessary to safely maintain the enrollee at home. Counseling shall be aimed at assisting the unpaid caregiver in meeting the needs of the enrollee. All training for individuals who provide unpaid support to the enrollee shall be included in the enrollee's plan of care.
- (8) Care Coordination/Case Management — Services that assist enrollees in gaining access to needed waiver and other State plan services, as well as other needed medical, social, and educational services, regardless of the

funding source for the services to which access is gained. Case management services contribute to the coordination and integration of care delivery through the ongoing monitoring of service provision as prescribed in each enrollee's plan of care.

- (9) Home Accessibility Adaptation Services — Physical adaptations to the home required by the enrollee's plan of care which are necessary to ensure the health, welfare and safety of the enrollee or which enable the enrollee to function with greater independence in the home and without which the enrollee would require institutionalization. Such adaptations may include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems to accommodate the medical equipment and supplies, which are necessary for the welfare of the enrollee. Excluded are those adaptations or improvements to the home that are of general utility and are not of direct medical or remedial benefit to the enrollee, such as carpeting, roof repair or central air conditioning. Adaptations which add to the total square footage of the home are not included in this service. All services shall be provided in accordance with applicable state and local building codes.
- (10) Home Delivered Meals — Nutritionally sound meals to be delivered to the residence of an enrollee who has difficulty shopping for or preparing food without assistance. Each meal is designed to provide a minimum thirty-three and three tenths percent (33.3%) of the current Dietary Reference Intake (DRI). The meals shall meet the current Dietary Guidelines for Americans, the USDA My Pyramid Food Intake Pattern and reflect the predominant statewide demographic.
- (11) Homemaker Services — General household activities such as meal preparation and routine household care provided by a trained homemaker when the individual regularly responsible for these activities is temporarily absent or unable to manage these activities. Chore services, including heavy chore services and pest control may be included in this service.
- (12) Hospice — Services are forms of palliative medical care and services designed to meet the physical, social, psychological, emotional and spiritual needs of terminally ill recipients and their families. Hospice care focuses on palliative care rather than curative care. An individual is considered to be terminally ill if he has a medical diagnosis with a life expectancy of six (6) months or less if the disease runs its normal course.
- (13) Intermittent and Skilled Nursing — The scope and nature of these services do not differ from skilled nursing furnished under the State Plan. This service includes the home health benefit available under the Medicaid state plan as well as expanded nursing services coverage under this waiver. Services listed in the plan of care that are within the scope of Florida's Nurse Practice Act and are provided by a registered professional nurse, or licensed practical or vocational nurse under the supervision of a registered nurse, licensed to practice in the state. Skilled nursing services shall be listed in the enrollee's plan of care and are provided on an intermittent basis to enrollees who either do not require continuous nursing supervision or whose need is predictable.

- (14) Medical Equipment and Supplies — Medical equipment and supplies, specified in the plan of care, include: (a) devices, controls or appliances that enable the enrollee to increase the ability to perform activities of daily living; (b) devices, controls or appliances that enable the enrollee to perceive, control or communicate the environment in which he or she lives; (c) items necessary for life support or to address physical conditions along with ancillary supplies and equipment necessary to the proper functioning of such items; (d) such other durable and non-durable medical equipment that is necessary to address enrollee functional limitations; (e) necessary medical supplies not available under the State Plan including consumable medical supplies such as adult disposable diapers. This service includes the durable medical equipment benefits available under the state plan service as well as expanded medical equipment and supplies coverage under this waiver. All items shall meet applicable standards of manufacture, design and installation. This service also includes repair of such items as well as replacement parts.
- (15) Medication Administration — Pursuant to s. 429.256, F.S., assistance with self-administration of medications, whether in the home or a facility, includes taking the medication from where it is stored and delivering it to the enrollee; removing a prescribed amount of medication from the container and placing it in the enrollee's hand or another container; helping the enrollee by lifting the container to their mouth; applying topical medications; and keeping a record of when an enrollee receives assistance with self-administration of their medications.
- (16) Medication Management — Review by the licensed nurse or pharmacist of all prescriptions and over-the-counter medications taken by the enrollee, in conjunction with the enrollee's physician on at least an annual or as needed basis upon a significant change in the enrollee's condition. The purpose of the review is to assess whether the enrollee's medication is accurate, valid, non-duplicative and correct for the diagnosis; that therapeutic doses and administration are at an optimum level; that there is appropriate laboratory monitoring and follow-up taking place; and that drug interactions, allergies and contraindications are being assessed and prevented.
- (17) Nutritional Assessment/Risk Reduction Services — An assessment, hands-on care, and guidance to caregivers and enrollees with respect to nutrition. This service teaches caregivers and enrollees to follow dietary specifications that are essential to the enrollee's health and physical functioning, to prepare and eat nutritionally appropriate meals and promote better health through improved nutrition. This service may include instructions on shopping for quality food and food preparation.
- (18) Nursing Facility Services — Services furnished in a health care facility licensed under Chapter 395 or Chapter 400, F.S. per the Nursing Facility Coverage and Limitation Handbook.
- (19) Personal Care — A service that provides assistance with eating, bathing, dressing, personal hygiene, and other activities of daily living. This service includes assistance with preparation of meals, but does not include the cost

of the meals. This service may also include housekeeping chores such as bed making, dusting and vacuuming, which are incidental to the care furnished or are essential to the health and welfare of the enrollee, rather than the enrollee's family.

- (20) Personal Emergency Response Systems (PERS) — The installation and service of an electronic device that enables enrollees at high risk of institutionalization to secure help in an emergency. The PERS is connected to the person's phone and programmed to signal a response center once a "help" button is activated. The enrollee may also wear a portable "help" button to allow for mobility. PERS services are generally limited to those enrollees who live alone or who are alone for significant parts of the day and who would otherwise require extensive supervision.
- (21) Respite Care — Services provided to enrollees unable to care for themselves furnished on a short-term basis due to the absence or need for relief of persons normally providing the care. Respite care does not substitute for the care usually provided by a registered nurse, a licensed practical nurse or a therapist. Respite care is provided in the home/place of residence, Medicaid licensed hospital, nursing facility or assisted living facility.
- (22) Occupational Therapy — Treatment to restore, improve or maintain impaired functions aimed at increasing or maintaining the enrollee's ability to perform tasks required for independent functioning when determined through a multi-disciplinary assessment to improve an enrollee's capability to live safely in the home setting.
- (23) Physical Therapy — Treatment to restore, improve or maintain impaired functions by use of physical, chemical and other properties of heat, light, electricity or sound, and by massage and active, resistive or passive exercise. There shall be an explanation that the patient's condition will be improved significantly (the outcome of the therapies shall be measurable by the attending medical professional) in a reasonable (and generally predictable) period of time based on an assessment of restoration potential, or a determination that services are necessary to a safe and effective maintenance program for the enrollee, using activities and chemicals with heat, light, electricity or sound, and by massage and active, resistive or passive exercise when determined through a multi-disciplinary assessment to improve an enrollee's capability to live safely in the home setting.
- (24) Respiratory Therapy — Treatment of conditions that interfere with respiratory functions or other deficiencies of the cardiopulmonary system. Services include evaluation and treatment related to pulmonary dysfunction.
- (25) Speech Therapy — The identification and treatment of neurological deficiencies related to feeding problems, congenital or trauma-related maxillofacial anomalies, autism, or neurological conditions that effect oral motor functions. Therapy services include the evaluation and treatment of problems related to an oral motor dysfunction when determined through a multi-disciplinary assessment to improve an enrollee's capability to live safely in the home setting.

- (26) Transportation – Non-emergent transportation services shall be offered in accordance with the enrollee’s plan of care and coordinated with other service delivery systems. This non-emergency transportation service includes trips to and from services offered by the LTC Managed Care Plan and includes trips to and from the Managed Care Plan’s expanded benefits.
- b. The Managed Care Plan shall provide covered services to enrollees who lose eligibility for up to sixty (60) days. Likewise, care coordination/case management services shall continue for such enrollees for up to sixty (60) days.

2. Participant Direction Option (PDO)

a. General Provisions

- (1) The Managed Care Plan is responsible for implementing and managing the Participant Direction Option (PDO) as defined in Section I, Definitions and Acronyms. The Managed Care Plan shall ensure the PDO is available to all Long-term Care enrollees who have any PDO-qualifying service on their authorized care plan and who live in their own home or family home.
- (2) An enrollee’s care plan shall include one or more of the following services in order for the enrollee to be eligible to participate in the PDO: adult companion care, attendant care, homemaker services, intermittent and skilled nursing, or personal care. The enrollee may choose to participate in the PDO for one or more of the eligible PDO services, as outlined in their authorized care plan.
- (3) Enrollees who receive PDO services shall be called “participants” in any PDO specific published materials. The enrollee shall have employer authority. An enrollee may delegate their employer authority to a representative. The representative can neither be paid for services as a representative, nor be a direct service worker. For the purposes of this section, “enrollee” means the enrollee or their representative.
- (4) The Managed Care Plan shall develop PDO-specific policies and procedures that shall be updated at least annually and shall obtain Agency approval prior to distributing PDO materials to enrollees, representatives, direct service workers, and case managers.
- (5) The Managed Care Plan shall operate the PDO service delivery option in a manner consistent with the PDO Manual and the PDO Participant Guidelines provided by the Agency.
- (6) The Agency will provide templates for the following to the Managed Care Plan: PDO Consent Form, PDO Representative Agreement, PDO Participant Guidelines, PDO Training Evaluations, and PDO Pre-Screening Tool.
- (7) The Managed Care Plan shall maintain books, records, documents, and other evidence of PDO-related expenditures using generally accepted accounting principles (GAAP).

- (8) The Managed Care Plan shall submit a PDO report monthly as specified in Section XIV, Reporting Requirements and the Managed Care Plan Report Guide. The Managed Care Plan shall provide ad-hoc PDO related information, records, and statistics, at the request of the Agency within the specified timeframe.
- (9) The Agency will conduct PDO satisfaction surveys on at least an annual basis and shall provide results to the Managed Care Plan for use in quality improvement plans.
- (10) The Managed Care Plan shall cooperate with, and participate in, ongoing evaluations and focus groups conducted by the Agency to evaluate the quality of the PDO.

b. Training Requirements

- (1) The Managed Care Plan shall ensure all applicable staff receives basic training on the PDO service delivery option
- (2) The Managed Care Plan shall designate staff to participate in PDO training conducted by the Agency.
- (3) The Managed Care Plan shall ensure an adequate number of case managers are trained extensively in the PDO. This extensive PDO training, beyond the general PDO informational training, is provided to case managers who serve enrollees and consists of training specific to PDO employer responsibilities, such as: completing federal and state tax documents, interviewing potential direct service workers, developing Emergency Back-up Plans, training direct service workers, completing the PDO Pre-Screening tool, evaluating direct service worker job performance, and completing and submitting timesheets.
- (4) The Managed Care Plan shall submit completed PDO Training Evaluations from all Managed Care Plan staff and case manager trainings, to the Agency, on at least an annual basis. The Agency will supply a PDO Training Evaluation template to be distributed during all Managed Care Plan staff and case manager trainings.
- (5) The Managed Care Plan shall provide PDO-trained staff as part of the enrollee and provider call centers to be available during the business hours specified in this Contract.

c. PDO Case Management

- (1) The case manager is responsible for informing enrollees of the option to participate in the PDO when any of the PDO services are listed on the enrollee's authorized care plan.
- (2) The Managed Care Plan shall assign a case manager trained extensively in the PDO within two business days of an enrollee electing to participate in the PDO delivery option.

- (3) In addition to the other case manager requirements in this Contract, all case managers are responsible for:
 - (a) Documenting the PDO was offered to the enrollee, initially and annually, upon reassessment. This documentation shall be signed by the enrollee and included in the case file;
 - (b) Referring Managed Care Plan enrollees, who have expressed an interest in choosing the PDO, to available case managers who have received specialized PDO training.
- (4) In addition to the other case manager requirements in this Contract, case managers who have received extensive PDO training are responsible for:
 - (a) Completing the PDO Pre-Screening Tool with each enrollee and prospective representative;
 - (b) Ensuring enrollees choosing the PDO understand their roles and responsibilities;
 - (c) Ensuring the Participant Agreement is signed by enrollees and included in the case file;
 - (d) Facilitating the transition of enrollees to, and from, the PDO service delivery system;
 - (e) Ensuring PDO and non-PDO services do not duplicate;
 - (f) Training enrollees, initially, and as needed, on employer responsibilities such as: creating job descriptions, interviewing, hiring, training, supervising, evaluating job performance, and terminating employment of the direct service worker(s);
 - (g) Assisting enrollees as needed with finding and hiring direct service workers;
 - (h) Assisting enrollee's with resolving disputes with direct service workers and/or taking employment action against direct service workers;
 - (i) Assisting enrollees with developing emergency back-up plans including identifying Plan network providers and explaining the process for accessing network providers in the event of a foreseeable or unplanned lapse in PDO services;
 - (j) Assisting and training enrollees as requested in PDO related subjects.
- d. Enrollee Employer Authority/Direct Service Workers
 - (1) Enrollees may hire any individual who satisfies the minimum qualifications set forth in Section VI, Provider Network, including, but not limited to, neighbors,

family members, or friends. The Managed Care Plan shall not restrict an enrollees' choice of direct service worker(s) or require them to choose providers in the Managed Care Plan's provider network.

- (2) The Managed Care Plan shall inform enrollees, upon choosing the PDO, of the rate of payment for the PDO services. If the rate of payment changes for any PDO service, the Managed Care Plan shall provide a written notice to the applicable enrollees and direct service workers, at least thirty (30) days prior to the change.
 - (3) The Managed Care Plan shall ensure the enrollees update their Participant/Direct Service Worker Agreement indicating any changes in rate of payment.
 - (4) The Managed Care Plan shall provide instructions to the enrollee regarding the submission of timesheets.
 - (5) The Managed Care Plan shall ensure the Participant/Direct Service Worker Agreement includes, at a minimum, include the following:
 - (a) Service(s) to be provided;
 - (b) Hourly rate;
 - (c) Direct service worker work schedule;
 - (d) Relationship of the direct service worker to the enrollee;
 - (e) Job description and duties;
 - (f) Agreement statement; and
 - (g) Dated signatures of the case manager, enrollee, and direct service worker.
 - (6) The Managed Care Plan shall pay for Level 2 background screening for at least one representative (if applicable) per enrollee and at least one direct service worker for each service per enrollee, per Contract year. The Managed Care Plan shall receive the results of the background screening and make a determination of clearance, adhering to all requirements in Chapters 435 and 408.809 F.S.
 - (7) The Managed Care Plan shall monitor over and under use of services based on payroll and an enrollee's approved care plan and provide reports to the Agency, or its designee.
- e. Fiscal/Employer Agent
- (1) The Managed Care Plan shall be the Fiscal/Employer Agent (F/EA) for PDO enrollee's or may sub-contract this function. Should any of the F/EA duties be sub-contracted, the Managed Care Plan shall provide enrollees with at least

thirty (30) days' notice informing them that the Managed Care Plan shall utilize a subcontractor to perform certain F/EA duties.

- (2) The Managed Care Plan shall meet all applicable PDO-related Federal and State requirements and shall be operated in accordance with Section 3504 of the Internal Revenue Code, per Revenue Procedure 70-6 and Section 3504 Agent Employment Tax Liability proposed regulations (REG-137036-08) issued by the IRS on January 13, 2010.
- (3) The Managed Care Plan remain abreast of all federal and state F/EA requirements and tax forms, and shall ensure all materials distributed to enrollees, representatives, direct service workers, and case managers are current, and in accordance with the appropriate federal and state regulations.
- (4) The Managed Care Plan shall have a separate Federal Employer Identification Number (FEIN) that is used only for purposes of representing enrollees as employers. This FEIN should not be used to file or pay taxes for the Managed Care Plan's staff.
- (5) The Managed Care Plan shall complete the following payroll and F/EA tasks:
 - (a) Develop a pay schedule and distribute it to all enrollees at least annually;
 - (b) Collect and process timesheets submitted by the enrollee. Resolve any timesheet issues with the enrollee and/or direct service worker;
 - (c) Disburse payroll (no less than twice per month) by direct deposit or pre-paid card to each direct service worker who has a complete and current Hiring Packet on file and has provided services to an enrollee as authorized in the enrollee's care plan and the Participant/ Direct Service Worker Agreement by the published pay date;
 - (d) Maintain payroll documentation for all direct service workers;
 - (e) Compute, maintain, and appropriately withhold all employer and direct service worker taxes pursuant to federal and state law. All payments that are not in compliance with federal and state tax withholding, reporting, and payment requirements shall be corrected within two (2) business days of identifying an error;
 - (f) Process applicable direct service worker garnishments, liens, and levies in accordance with state and federal garnishment rules. Submit payments and reports to applicable agencies per garnishment instructions;
 - (g) Deposit direct service worker aggregate payroll deductions per federal and state tax deposit requirements. Federal Income Tax, Social Security and Medicare and enrollee Federal Social Security and Medicare (FICA) taxes in the aggregate per deposit frequency required by an F/EA. (See IRS publication 15-A, located at www.irs.gov/);

- (h) Deposit employer aggregate tax deductions per federal and state tax deposit requirements. Federal Unemployment Tax (FUTA) shall be deposited in the aggregate per F/EA deposit frequency. (See IRS publication 15-A, located at www.irs.gov);
- (i) Refund over-collected FICA for direct service workers who earn less than the Federal FICA threshold for the calendar year (See IRS Publication 15, Circular E for threshold information);
- (j) File a single IRS Form 941, Employer's Quarterly Tax Return in the aggregate on behalf of all enrollees represented by the Managed Care Plan. Form 941 is completed using the Managed Care Plan's separate F/EA, FEIN. Wages and taxes reported represent total, aggregate wages and taxes for all enrollees represented by the Managed Care Plan. Schedule B should be completed per rules. The Managed Care Plan shall also complete and submit Schedule R with the Form 941. Schedule R disaggregates each enrollee's employer wages and federal tax liability;
- (k) Adjust Forms 941 as applicable by completing and filing IRS Form 941-X.
- (l) File a single IRS Form 940, Employer's Annual Federal Unemployment Tax Return in the aggregate on behalf of all enrollees represented by the Managed Care Plan. Form 940 is completed using the Managed Care Plan's separate FEIN. Wages and FUTA tax reported represent total, aggregate wages and taxes for all enrollees represented by the Managed Care Plan. Note: Even Managed Care Plans incorporated with a nonprofit 501c3 status SHALL file and pay FUTA on behalf of enrollees;
- (m) Process and distribute IRS Forms W-2 to the direct service workers and submit them electronically according to IRS Form W-2 instructions, per IRS rules and regulations;
- (n) Track payroll disbursed to all direct service workers and provide reports as may be required by the Agency or its designee in accordance with this Contract;
- (o) Provide written notification to the case manager and enrollee if utilization is less than 10% of the monthly hours as approved on the authorized care plan for more than one month;
- (p) Obtain workers' compensation coverage for the enrollee's direct service workers, if required by Florida statute or rule (see, e.g., Chapter 440, F.S., and Rule 69L, F.A.C.), which shall be funded by the Managed Care Plan;
- (q) Comply with, and support enrollee compliance with, state workers' compensation audits as applicable;
- (r) Prepare for and support enrollee preparation for unemployment claim proceedings, as applicable;

- (s) Maintain records in compliance with Fair Labor Standards Act requirements for employers;
- (t) Ensure a payroll system with maximum data integrity in which direct service workers are not paid above authorized hours as prescribed in the enrollee's care plan and the Participant/Direct Service Worker Agreement;
- (u) Respond to requests for direct service worker employment verification;
- (v) Perform all duties regarding disenrollment of an enrollee from the PDO, including final federal and state tax filings and payments and revocation of accounts, numbers, and authorizations previously obtained by the Managed Care Plan. This includes retiring the FEIN and State Unemployment Tax Account (SUTA) Number;
- (w) Provide a transitioning enrollee's new plan with the enrollee's FEIN and SUTA numbers.

f. PDO Monitoring

The Managed Care Plan shall monitor for compliance with PDO requirements, and shall report to the Agency or its designee upon request for an annual F/EA Quality Assessment and Performance Review including:

- (1) Whether timesheets are signed by the enrollee (or representative, if applicable) and the direct service worker;
- (2) Utilization of services based on payroll and an enrollee's approved care plan;
- (3) Whether services, duties, and hours listed on the Participant/Direct Service Worker Agreement are in compliance with the authorized care plan;
- (4) Whether direct service workers are qualified pursuant to the PDO Participant Guidelines and the PDO Manual, prior to providing services to an enrollee;
- (5) Duplication of PDO and non-PDO services.

3. Home-Like Environment and Community Inclusion - (HCB Characteristics)

- a. Each enrollee is guaranteed the right to receive home and community-based services in a home-like environment and participate in his or her community regardless of his or her living arrangement.
- b. The Managed Care Plan shall ensure enrollees who reside in assisted living facilities and adult family care homes reside in a home-like environment, and are integrated into their community as much as possible, unless medical, physical, or cognitive impairments restrict or limit exercise of these options which, at a minimum, includes the following characteristics:

- (1) Choice of: private or semi-private rooms; roommate for semi-private rooms; locking door to living unit; access to telephone and length of use; eating schedule; and participation in facility and community activities;
 - (2) Ability to have unlimited visitation; and snacks as desired; and
 - (3) Ability to prepare snacks as desired; and maintain personal sleeping schedule.
- c. The Managed Care Plan shall include language in the enrollee handbook explaining the enrollee's right to receive home and community-based services in a HCB characteristic compliant setting regardless of their living arrangement. It shall provide enrollees with information regarding the community integration goal planning process and their participation in that process.
 - d. The case manager shall work with the enrollee and their providers as appropriate to facilitate the enrollee's personal goals and community activities. The case manager is responsible for continuously educating the enrollee of their rights and documenting their efforts in the case file for Agency review.
 - e. The case manager shall discuss these rights with enrollees residing in assisted living facilities and adult family care homes at least annually and document this in the case file for Agency review.
 - f. The Managed Care Plan shall include language provided by the Agency pursuant to HCB characteristics in its provider contract agreements with assisted living facility and adult family care home providers, and shall require these providers to be in compliance with the Assisted Care Communities Resident Bill of Rights per s. 429.28, Florida Statutes.
 - g. The Managed Care Plan shall verify during the credentialing and recredentialing process that assisted living facilities and adult family care homes conform to the HCB characteristics as described herein. Verification shall include on-site review of the facilities by the managed care plan staff prior to the Managed Care Plan offering the provider as a provider choice to enrollees.
 - h. The Managed Care Plan shall include documentation of all network assisted living facility and adult family care homes' compliance with the requirements of this contract in each provider's credentialing and recredentialing file for Agency review.
 - i. The Managed Care Plan shall take corrective action as necessary if the Managed Care Plan or the Agency concludes an assisted living facility or adult family care home does not meet the HCB characteristics.
 - j. Upon receipt of finding an assisted living facility or adult family care home is not in compliance with and part of the HCB characteristics, the Managed Care Plan shall have fifteen (15) business days to both ensure the deficiencies are rectified and submit accompanying documentation to the Agency, or if required, to submit a corrective action plan.

- k. The Managed Care Plan shall not place, shall not continue to place, and shall not receive reimbursement for, enrollees in an assisted living facility or adult family care home that does not meet the HCB characteristics and/or does not have an effective provider agreement including the HCB characteristic language provided by the Agency.
- l. The Managed Care Plan shall transition enrollees out of assisted living facilities and adult family care homes that do not meet HCB characteristics and do not take corrective action if the enrollee wishes to remain enrolled in the Managed Care Plan.
- m. The Managed Care Plan may involuntarily disenroll an enrollee who wishes to remain in an assisted living facility or adult family care home that does not comply with HCB characteristics pursuant to this Contract.

B. Expanded Benefits

There are no additional expanded benefits provisions unique to the LTC managed care program.

C. Excluded Services

There are no additional excluded services provisions unique to the LTC managed care program.

D. Coverage Provisions

1. Case Closure Standard

- a. Case managers are required to provide community referral information on available services and resources to meet the needs of enrollees who are no longer eligible for the Long-term Care component of the SMMC program.
- b. If a service is closed because the Managed Care Plan has determined that it is no longer medically necessary, the enrollee shall be given a written Notice of Action regarding the intent to discontinue the service that contains information about his/her rights with regards to that decision.
- c. When the enrollee's enrollment will be changed to another Managed Care Plan, the case manager shall coordinate a transfer between the managed care plans. This includes transferring case management records from the prior twelve (12) months to the new managed care plan.
- d. The case manager is responsible for notification of and coordination with service providers to assure a thorough discharge planning process and transition case management.
- e. Case notes shall be updated to reflect closure activity, including, but not limited to:

- (1) Reason for the closure;
- (2) Enrollee's status at the time of the closure; and
- (3) Referrals to community resources if the enrollee is no longer Medicaid eligible.

2. Abuse/Neglect and Adverse Incident Reporting Standard

The Managed Care Plan shall ensure the adherence to the following provisions:

- a. Suspected cases of abuse, neglect and/or exploitation must be reported to the Florida Abuse Hotline (1-800-96A-BUSE) (see s. 415.1034, F.S.). The DCF Adult Protective Services Program has the responsibility for investigating allegations of abuse and neglect of elders and individuals with disabilities, once a report has been accepted by the Abuse Hotline. Abuse Hotline assigns reports of abuse, neglect and/or exploitation to the appropriate Adult Protective Services Unit. If the investigation requires the enrollee to move from his/her current location(s), the Managed Care Plan shall assist the investigator in finding a safe living environment or another participating provider of the enrollee's choice.
- b. After receiving an intake from the Florida Abuse Hotline, the Adult Protective Investigator assigns a risk-level designation of "low," "intermediate" or "high" for each referral. If the enrollee needs immediate protection from further harm, which can be accomplished completely or in part with the provision of home and community-based services, the referral is designated "high" risk. The Managed Care Plan shall serve enrollees who have been designated "high" risk within seventy-two (72) hours after being referred to the Managed Care Plan from the Florida Adult Protective Services Unit or designee, as mandated by Florida Statute. To ensure that Adult Protective Investigators can easily contact the Managed Care Plan, the Managed Care Plan shall provide Adult Protective Services a primary and back-up contact person, including a telephone number, for "high" risk referrals. The Managed Care Plan's contacts shall return calls from Adult Protective Services within twenty-four (24) hours of initial contact.
- c. Documentation related to the suspected abuse, neglect or exploitation, including the reporting of such, must be kept in a file, separate from the enrollee's case file, that is designated as confidential. This documentation will consist of only the necessary elements for the treatment of, and service delivery to a vulnerable adult. Such file shall be made available to the Agency upon request.
- d. Enrollee quality of care issues must be reported to and a resolution coordinated with the Managed Care Plan's Quality Management Department.

3. Monitoring of Care Coordination and Services

- a. The Managed Care Plan shall describe inter-departmental interface with UM, Care Coordination, Quality Management and inter-agency coordination (e.g., DOEA, AHCA) in the Case Management Program Description. Interface shall include electronic and written reports and verbal communication required for coordination of care planning activities.

b. Service Gap Identification and Contingency Plan

- (1) The Managed Care Plan shall ensure the case manager review, with the enrollee and/or representative, the Managed Care Plan's process for immediately reporting any unplanned gaps in service delivery at the time of each plan of care review for each HCBS enrollee receiving in-home HCBS.
- (2) The Managed Care Plan shall develop a standardized system for verifying and documenting the delivery of services with the enrollee or representative after authorization. The case manager shall verify the Managed Care Plan's documentation of assisted living services components and their delivery as detailed in the plan of care during each face-to-face review.
- (3) The Managed Care Plan shall develop a form for use as a Service Gap Contingency and Back-Up Plan for enrollees receiving HCBS in the home. A gap in in-home HCBS is defined as the difference between the number of hours of home care worker critical service scheduled in each enrollee's HCBS plan of care and the hours of the scheduled type of in-home HCBS that are actually delivered to the enrollee. This form shall be reviewed and approved by the Agency prior to implementation. The Service Gap Contingency and Back-Up Plan shall also be completed for those enrollees who will receive any of the following HCBS services that allow the enrollee to remain in their own home:
 - (a) Personal Care/Attendant Care Services, including participant directed services;
 - (b) Homemaker;
 - (c) In-Home Respite; and/or
 - (d) Skilled and intermittent Nursing.
- (4) The following situations are not considered gaps:
 - (a) The enrollee is not available to receive the service when the service provider arrives at the enrollee's home at the scheduled time;
 - (b) The enrollee refuses the caregiver when s/he arrives at the enrollee's home, unless the service provider's ability to accomplish the assigned duties is significantly impaired by the caregiver's condition or state (e.g., drug and/or alcohol intoxication);
 - (c) The enrollee refuses services;
 - (d) The provider agency or case manager is able to find an alternative service provider for the scheduled service when the regular service provider becomes unavailable;

- (e) The enrollee and regular service provider agree in advance to reschedule all or part of a scheduled service; and/or
 - (f) The service provider refuses to go or return to an unsafe or threatening environment at the enrollee's residence.
- (5) The contingency plan shall include information about actions that the enrollee and/or representative should take to report any gaps and what resources are available to the enrollee, including on-call back-up service providers and the enrollee's informal support system, to resolve unforeseeable gaps (e.g., regular service provider illness, resignation without notice, transportation failure, etc.) within three (3) hours unless otherwise indicated by the enrollee. The informal support system shall not be considered the primary source of assistance in the event of a gap, unless this is the enrollee's/family's choice.
- (6) The Managed Care Plan's contingency plan shall include the telephone numbers for provider and/or Managed Care Plan that will be responded to promptly twenty-four hours per day, seven days per week (24/7).
- (7) In those instances where an unforeseeable gap in in-home HCBS occurs, it is the responsibility of the Managed Care Plan to ensure that in-home HCBS are provided within three hours of the report of the gap. If the provider agency or case manager is able to contact the enrollee or representative before the scheduled service to advise him/her that the regular service provider will be unavailable, the enrollee or representative may choose to receive the service from a back-up substitute service provider, at an alternative time from the regular service provider or from an alternate service provider from the enrollee's informal support system. The enrollee or representative has the final say in how (informal versus paid service provider) and when care to replace a scheduled service provider who is unavailable will be delivered.
- (8) When the Managed Care Plan is notified of a gap in services, the enrollee or enrollee representative shall receive a response acknowledging the gap.
- (9) The contingency plan shall be discussed with the enrollee/representative at least quarterly. A copy of the contingency plan shall be given to the enrollee when developed and at the time of each review visit and updated as necessary.

4. Monitoring Activities

- a. The Managed Care Plan shall implement a systematic method of monitoring its case management program to include, but not be limited to conducting quarterly case file audits and quarterly reviews of the consistency of enrollee assessments/service authorizations (inter-rater reliability). The Managed Care Plan shall compile reports of these monitoring activities to include an analysis of the data and a description of the continuous improvement strategies the Managed Care Plan has taken to resolve identified issues. This information shall be submitted to the Agency on a quarterly basis, thirty (30) days after the close of each quarter.

- b. The case management case file audit tool to be used by the Managed Care Plan shall be approved by the Agency prior to implementation and revision.
- c. At a minimum the case file and plan of care audit tool shall include:
 - (1) Verification of participant eligibility;
 - (2) Proper completion of assessment;
 - (3) Evidence of special screening for and monitoring of high risk persons and conditions;
 - (4) Comprehensive plan of care consistent with assessment and properly completed and signed by the individual;
 - (5) Management of diagnosis;
 - (6) All assessment forms and plans of care are complete and comprehensive including all required signatures whenever appropriate;
 - (7) Appropriateness and timeliness of care;
 - (8) Use of services;
 - (9) Ongoing case narrative documenting case management visits and other contacts;
 - (10) Documentation of individual provider choice and Medicaid Fair-Hearing information;
 - (11) Evidence of quality monitoring and improvement;
 - (12) Satisfaction survey;
 - (13) Review of complaint and the quality remediation to resolve and prevent problems; and
 - (14) The Managed Care Plan shall report the number and frequency of enrollees having executed Freedom of Choice Certification Forms in the enrollees' case record, as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide.
- d. The Managed Care Plan shall have data collection and analysis capabilities that enable the tracking of enrollee service utilization, cost and demographic information and maintain documentation of the need for all services provided to enrollees.
- e. Utilization reporting shall include but not be limited to:
 - (1) Reporting by level of service;

- (2) Identification of HCBS enrollees not using services;
 - (3) Participant direction enrollment and activity report;
 - (4) Care coordination/case management activity report; and
 - (5) Case management file audit report.
- f. The Managed Care Plan shall provide reports demonstrating case management monitoring and evaluation as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide. These reports shall include results for the following performance measures but not limited to:
- (1) Level of care related reassessments within three-hundred thirty-five (335) days of previous level of care determination;
 - (2) Complete and accurate level of care forms for annual re-evaluations sent to CARES within thirty (30) days of LOC due date;
 - (3) Number and percent of staff meeting mandated abuse, neglect and exploitation training requirements;
 - (4) Plan of care audit results;
 - (5) Number and percentage of enrollee plans of care being distributed within ten (10) business days of development to the enrollee's PCP;
 - (6) Number and percentage of plans of care/summaries where enrollee participation is verified by signatures;
 - (7) Number and percentage of enrollee plans of care reviewed for changing needs on a face-to-face basis at least every three (3) months and updated as appropriate;
 - (8) Number and percentage of plan of care services delivered according to the plan of care as to service type, scope, amount and frequency;
 - (9) Number and percentage of enrollees with plans of care addressing all identified care needs;
 - (10) Number and frequency of enrollees having executed freedom of choice forms in their files;
 - (11) Number/percent of adverse/critical incidents reported within twenty-four (24) hours to the appropriate agency;
 - (12) Number and percent of case files that include evidence that advance directives were discussed with the enrollee; and
 - (13) Number and percent of enrollees requesting a Fair Hearing and outcomes.

- g. The Managed Care Plan shall develop an organized quality assurance and quality improvement program to enhance delivery of services through systemic identification and resolution of enrollee issues as specified in Section VII, Quality and Utilization Management.
- h. The Managed Care Plan shall develop a recording and tracking system log for enrollee complaints and resolutions and identify and resolve enrollee satisfaction issues, as specified in Core Provision, Section IV, Enrollee Services and Grievance Procedures.

5. Missed Services

The Managed Care Plan shall submit a monthly summary report of all missed facility and non-facility services in accordance with Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide. For months without missed services, the Managed Care Plan shall submit a report explaining that no authorized covered services were missed during the reported month.

6. Continuity of Care During Temporary Loss of Eligibility

The Managed Care Plan shall provide covered services to enrollees who lose eligibility for up to sixty (60) days. Likewise, care coordination/case management services shall continue for such enrollees for up to sixty (60) days.

7. Behavioral Health

The Managed Care Plan is responsible for coordinating with other entities available to provide behavioral health services including:

- a. Developing and implementing a plan to ensure compliance with s. 394.4574, F.S., related to services provided to residents of licensed assisted living facilities that hold a limited mental health license. A cooperative agreement, as defined in s. 429.02, F.S., shall be developed with the ALF if an enrollee is a resident of the ALF.
- b. Ensuring that appropriate behavioral health screening and assessment services are provided to plan enrollees and that medically necessary mental health targeted case management and behavioral health care services are available to all enrollees who reside in this type of setting.
- c. Educating Managed Care Plan staff on screening; privacy and consent regulations and procedures; referral processes; and follow-up and provider coordination requirements.
- d. Developing a systematic process for coordinating referrals to services for enrollees who request or who are identified by screening as being in need of behavior health care, by facilitating contact with the Medical Assistance managed care plan or other relevant entity or referring them to treatment providers for assessment and treatment.

- e. Ensuring coordination of care of any specialized services identified in the PASRR:
 - (1) Federal regulations (42CFR 483.100-483.138) require Preadmission Screening and Resident Review (PASRR) for all residents of Medicaid-certified nursing facilities, regardless of payer, based on s. 1919(e)(7) of the Social Security Act. The purpose is to ensure that nursing facility applicants and residents with serious mental illness (MI), mental retardation (MR), or a related condition receive a thorough evaluation, found to be appropriate for nursing facility placement, and will receive all specialized services necessary to meet their unique needs in the least restricting setting.
 - (2) The PASRR process includes:
 - (a) PASRR Level I screening to identify possible MI/MR or related condition; and
 - (b) PASRR Level II evaluation and determination when a Level I screening indicates possible MI/MR or related condition, or a Resident Review is required.
 - (3) Detailed information and forms related to PASRR are available at the following website: http://elderaffairs.state.fl.us/doea/cares_pasrr.php.
 - (4) Medicaid reimbursement for nursing facility services requires providers to keep the following hard-copy documentation on file to support that:
 - (a) PASRR determined the recipient appropriate for the nursing facility setting;
 - (b) DCF determined the individual eligible for ICP; and
 - (c) DCF determined the monthly amount of the ICP-eligible recipient's patient responsibility.
 - (5) Medicaid reimbursements are subject to recoupment, and providers are subject to sanctions and fines for any date of service:
 - (a) PASRR was not performed in a complete, timely and accurate manner;
 - (b) PASRR had not determined the individual appropriate for the nursing facility setting; or
 - (c) DCF had not determined the individual eligible for ICP.
- f. Documenting all efforts to coordinate services, including the following:
 - (1) Authorizations for release of information;
 - (2) Intake and referral;

- (3) Diagnosis and evaluation;
 - (4) Needs assessment;
 - (5) Plan of care development;
 - (6) Resource assessment;
 - (7) Plan of care implementation;
 - (8) Medication management;
 - (9) Progress reports;
 - (10) Reassessment and revision of plans of care; and
 - (11) Routine monitoring of services by appropriate clinical staff.
- g. Ensuring that a community living support plan, as defined in Core Provision, Section I, Definitions and Acronyms, is developed and implemented for each enrollee who is a resident of an ALF or an AFCH, and that it is updated annually.
 - h. Coordinating care (including communication of medication management, treatment plans and progress among behavioral health providers, medical specialists and Long-term Care providers).
 - i. Ensure that a quarterly review of the enrollee's plan of care is conducted to determine the appropriateness and adequacy of services, and to ensure that the services furnished are consistent with the nature and severity of needs. Documentation of this quarterly review shall be maintained on file and provided at the Agency's request.
 - j. Maintaining information about the enrollee's behavioral health condition, the types of services to be furnished, the amount, frequency and duration of each service, and the provider who will furnish each service.
 - k. Provide training to the ALF staff and administrators of the procedures to follow should an urgent or emergent behavior health condition arise and ensuring that the procedures are followed; Assist the facility to develop and implement procedures for responding to urgent and emergent behavior health conditions, if none exist.
 - l. Ensuring that facilities are fully compliant with the voluntary, involuntary and transport provisions of the Baker Act (see chapters 394, 400 and 429, F.S.) for Long-term Care residents who are sent to a hospital or Baker Act receiving facility for psychiatric issues.
 - m. Ensuring through monitoring and reporting that facilities are fully compliant with Baker Act requirements (see s. 394.451, F.S.).
 - n. Provide training to ALF staff which includes:

- (1) Signs and symptoms of mental illness;
- (2) Behavior management strategies;
- (3) Identification of suicide risk and management;
- (4) Verbal de-escalation strategies for aggressive behavior;
- (5) Trauma informed care;
- (6) Documentation and reporting of behavior health concerns; and
- (7) Abuse, neglect, exploitation and adverse incident reporting standards (as found in Core Provision, Section V, Covered Services.)

E. Care Coordination / Case Management

1. Case Management Program Description

The Managed Care Plan shall submit a Case Management Program Description annually to the Agency by June 1. The Case Management Program Description shall address:

- a. How the Managed Care Plan shall implement and monitor the case management program and standards outlined in this Exhibit.
- b. A description of the methodology for assigning and monitoring case management caseloads and emergency preparedness plans.
- c. An evaluation of the Managed Care Plan's case management program from the previous year, highlighting lessons learned and strategies for improvement.

2. Case Management Staff Qualifications and Experience

- a. Case managers shall meet one of the following qualifications:
 - (1) Case Managers with the following qualifications shall also have a minimum of two (2) years of relevant experience:
 - (a) Bachelor's degree in social work, sociology, psychology, gerontology or a related social services field;
 - (b) Registered nurse, licensed to practice in the state;
 - (c) Bachelor's degree in a field other than social science; or
 - (2) Case Managers with the following qualifications shall also have a minimum of four (4) years of relevant experience: Licensed Practical Nurse, licensed to practice in the state.

- (3) Case Managers without the aforementioned qualifications may substitute professional human service experience on a year-for-year basis for the educational requirement. Case Managers without a bachelor's degree shall have a minimum of six (6) years of relevant experience.
- b. All case managers are required to obtain a successful Level 2 criminal history and/or background investigation.
- c. All Case Managers shall have at least four (4) hours of in-service training in the identification of abuse, neglect and exploitation and shall complete this training requirement annually.
- d. The Managed Care Plan shall ensure that a staff person(s) is designated as the expert(s) on housing, education and employment issues and resources within the Managed Care Plan's Contract region(s). This individual shall be available to assist case managers with up-to-date information designed to aid enrollees in making informed decisions about their independent living options.

3. Case Management Supervision

- a. Supervision of case managers:

A supervisor-to-case-manager ratio shall be established that is conducive to a sound support structure for case managers. Supervisors shall have adequate time to train and review the work of newly hired case managers as well as provide support and guidance to established case managers. A system of internal monitoring of the case management program, to include case file audits and reviews of the consistency of enrollee assessments and service authorizations, shall be established and applied, at a minimum, on a quarterly basis. The results of this monitoring, including the development and implementation of continuous improvement strategies to address identified deficiencies, shall be documented and made available to the Agency upon request.

- b. Case management supervisor qualifications:

- (1) Successful completion of a Level 2 criminal history and/or background investigation; and
- (2) Master's degree in a human service, social science or health field and has a minimum of two (2) years' experience in case management, at least one (1) year of which shall be related to the elderly and disabled populations; or
- (3) Bachelor's degree in a human service, social science or health field with a minimum of five (5) years' experience in case management, at least one (1) year of which shall be related to the elderly and disabled populations; or
- (4) Professional human service, social science or health related experience may be substituted on a year-for-year basis for the educational requirement, (i.e., a high school diploma or equivalent and nine (9) years of experience in a

human service, social science or health field, five (5) years of which shall be related to case management, at least one (1) year of which shall be related to elders and individuals with disabilities).

4. Training

- a. The Managed Care Plan shall provide case managers with adequate orientation and ongoing training on subjects relevant to the population served. Documentation of training dates and staff attendance as well as copies of materials used shall be maintained. The respondent shall ensure that there is a training plan in place to provide uniform training to all case managers. This plan should include formal training classes as well as practicum observation and instruction for newly hired case managers.
- b. Newly hired case managers shall be provided orientation and training in a minimum of the following areas:
 - (1) The role of the case manager in utilizing a person-centered approach to Long-term Care case management, including involving the enrollee and their family in decision making and care planning;
 - (2) Enrollee rights and responsibilities;
 - (3) Enrollee safety and infection control;
 - (4) Participant Direction Option (overview);
 - (5) Case management responsibilities as outlined in this Exhibit;
 - (6) Case management procedures specific to the Managed Care Plan;
 - (7) The Long-term Care component of SMMC and the continuum of Long-term Care services including available service settings and service restrictions/limitations;
 - (8) The Managed Care Plan's provider network by location, service type and capacity;
 - (9) Information on local resources for housing, education and employment services/program that could help enrollees gain greater self-sufficiency in these areas;
 - (10) Responsibilities related to monitoring for and reporting of regulatory issues and quality of care concerns, including, but not limited to, suspected abuse/neglect and/or exploitation and adverse incidents (see Chapters 39 and 415, F.S.);
 - (11) General medical information, such as symptoms, medications and treatments for diagnostic categories common to the Long-term Care population serviced by the Managed Care Plan;

- (12) Behavioral health information, including identification of enrollee's behavioral health needs and how to refer to behavioral health services;
 - (13) Reassessment processes using the Agency's required forms.
- c. In addition to review of areas covered in orientation, all case managers shall also be provided with regular ongoing training on topics relevant to the population(s) served. The following are examples of topics that could be covered:
- (1) In-service training on issues affecting the aged and disabled population;
 - (2) Abuse, neglect and exploitation training;
 - (3) Alzheimer's disease and related disorders continuing education training from a qualified individual or entity, focusing on newly developed topics in the field;
 - (4) Policy updates and new procedures;
 - (5) Refresher training for areas found deficient through the Managed Care Plan;
 - (6) Interviewing skills;
 - (7) Assessment/observation skills;
 - (8) Cultural competency;
 - (9) Enrollee rights;
 - (10) Participant Direction Option (extensive);
 - (11) Critical incident and adverse event reporting;
 - (12) Medical/behavioral health issues;
 - (13) Medication awareness (including identifying barriers to compliance and side effects); and/or
 - (14) The Managed Care Plan shall ensure all case management staff hold current CPR certification.

5. Caseload and Contact Management

- a. The Managed Care Plan shall have an adequate number of qualified and trained case managers to meet the needs of enrollees.
- b. Caseload:
 - (1) The Managed Care Plan shall ensure that case manager caseloads do not exceed a ratio of sixty (60) enrollees to one case manager for enrollees that reside in the community and no more than a ratio of one-hundred (100) enrollees to one (1) case manager for enrollees that reside in a nursing

facility. Where the case manager's caseload consists of enrollees who reside in the community and enrollees who reside in nursing facilities (mixed caseload), the Managed Care Plan shall ensure the ratio of enrollees to one (1) case manager does not exceed sixty (60).

- (2) The Managed Care Plan shall have written protocols to ensure newly enrolled enrollees are assigned to a case manager immediately upon enrollment. The case manager assigned to special subpopulations (e.g., individuals with AIDS, dementia, behavioral health issues or traumatic brain injury) shall have experience or training in case management techniques for such populations.
- (3) The Managed Care Plan shall ensure that case managers are not assigned duties unrelated to enrollee-specific case management for more than fifteen percent (15%) of their time if they carry a full caseload.
- (4) Caseload Exceptions: The Managed Care Plan shall receive authorization from the Agency prior to implementing caseloads whose values exceed those outlined above. Lower caseload sizes may be established by the Managed Care Plan and do not require authorization.
- (5) The Managed Care Plan shall report to the Agency monthly on its case manager caseloads as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide.

c. Initial Contact:

- (1) An onsite visit to develop an individualized plan of care shall be completed by the Managed Care Plan within five (5) business days of the enrollee's effective date of enrollment for enrollees in the community (including ALFs and AFCHs) and within seven (7) business days of the effective date of enrollment for those enrolled in a nursing facility. If information obtained during the initial contact or during the eligibility determination indicates the enrollee has more immediate needs for services, the onsite visit should be completed as soon as possible. Services covered under this Contract may not be denied based on an incomplete plan of care. The Managed Care Plan shall ensure the enrollee's or enrollee's representative's completion and signature of the Agency-approved Freedom of Choice Certification Form within the above time frames.
- (2) The Managed Care Plan shall follow up with the enrollee or the enrollee's authorized representative by telephone within seven (7) business days after initial contact and care plan development to ensure that services were started on the first of the month, if applicable.
- (3) The enrollee shall be present for, and be included in, the onsite visit. The enrollee representative shall be contacted for care planning, including establishing service needs and setting goals, if the enrollee is unable to participate due to cognitive impairment, or the enrollee has a designated representative or a legal guardian.

- (4) If the case manager is unable to locate/contact an enrollee via telephone, visit or letter, or through information from the enrollee's relatives, neighbors or others, another letter requesting that the enrollee contact the case manager should be left at, or sent to, the enrollee's residence. If there is no contact within thirty (30) days from the enrollee's date of enrollment, the case shall be referred to the Agency Contract manager via e-mail or phone call.
 - (5) All contacts attempted and made with, or regarding, an enrollee shall be documented in the enrollee's case file.
 - (6) The case manager is responsible for explaining the enrollee's rights and responsibilities including the procedures for filing a grievance, appeal or fair hearing, including continuation of benefits during the fair hearing process.
- d. Frequency and type of ongoing minimum contact requirements include:
- (1) Maintain, at a minimum, monthly telephone contact with the enrollee to verify satisfaction and receipt of services;
 - (2) The case manager shall evaluate and document the HCB characteristics as part of the care planning process and update of the plan of care for enrollees residing in ALFs and AFCHs during face-to-face visits every ninety (90) days. The responses to the HCB characteristics queries shall become part of the case record documentation of the update;
 - (3) Review the plan of care in a face-to-face visit every ninety (90) days and, if necessary, update the enrollee's plan of care;
 - (4) Review the plan of care in a face-to-face visit more frequently than once every ninety (90) days if the enrollee's condition changes or requires it; and
 - (5) Have an annual face-to-face visit with the enrollee to complete the annual reassessment using Agency-required forms and to determine the enrollee's functional status, satisfaction with services, changes in service needs and develop a new plan of care.
- e. If the enrollee is not capable of making his/her own decisions, but does not have a legal representative or enrollee representative available, the case manager shall refer the case to the Public Guardianship Program or other available resource. If a guardian/fiduciary is not available, the reason shall be documented in the file.
- f. If the case manager is unable to contact an enrolled enrollee to schedule an ongoing visit, a letter shall be sent to the enrollee or authorized representative requesting contact within ten (10) business days from the date of the letter. If no response is received by the designated date, the Managed Care Plan shall report such inability to locate enrollees to the Agency, as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide indicating loss of contact for possible disenrollment from the LTC component of SMMC.
- g. Access to case managers and back-up case managers:

- (1) Enrollee shall be able to contact the case manager during business hours with emergency or back-up through an after-hours telephone line.
- (2) A system of back-up case managers shall be in place and enrollees who contact an office when their case manager is unavailable shall be given the opportunity to be referred to a back-up for assistance.
- (3) There shall be a mechanism to ensure enrollees, representatives and providers receive timely communication when messages are left for case managers.

6. Case Management of Enrollees

The Managed Care Plan shall ensure the adherence to the following provisions.

- a. Person-centered approach: Case managers are expected to use a person-centered approach regarding the enrollee assessment and needs, taking into account not only covered services, but also other needed services and community resources, regardless of payor source, as applicable. Elements of the case management process include:
 - (1) Identification;
 - (2) Outreach;
 - (3) Contact and visits;
 - (4) Initial (immediate care needs) and ongoing (care needs necessary after immediate care needs stabilized);
 - (5) Enrollee packet/informing enrollee;
 - (6) Comprehensive assessment;
 - (7) Core assessment criteria (applicable to all plans);
 - (8) Assessment of risks and barriers;
 - (9) CARES assessment;
 - (10) Plan of care and coordination of services; and
 - (11) Assistance to enrollees living in the community in developing a personal emergency plan and determining whether they need to register with a Special Needs Shelter.
- b. Needs Assessment Standard

- (1) The case manager shall review and utilize Agency-required forms when completing the initial assessment of the enrollee and developing the initial plan of care.
 - (2) Assessment will include an individual risk assessment to identify safety, health and behavioral risks that should be addressed in developing the plan of care.
- c. Care Planning Standard
- (1) The case manager shall develop a single, comprehensive, person centered plan of care specific to the enrollee's needs and goals that are identified using, at a minimum, the assessment form(s) provided to the Managed Care Plan by the Agency and the Managed Care Plan's assessment tool, if applicable. The enrollee or legal guardian and the guardian advocate, caregiver, PCP or other enrollee-authorized representative shall be consulted in the development of the plan of care.
 - (2) Care planning includes, but is not limited to face-to-face discussion with the enrollee, the enrollee's representative and any other enrollee-approved person, that includes a systematic approach to the assessment of the enrollee's strengths and needs in at least the following areas:
 - (a) Functional abilities;
 - (b) Medical conditions;
 - (c) Physical and cognitive functioning;
 - (d) Behavioral health;
 - (e) Personal goals;
 - (f) Social/environmental/cultural factors;
 - (g) Existing support system;
 - (h) End-of life decisions;
 - (i) Recommendations of the enrollee's primary care provider (PCP); and
 - (j) Input from service providers, as applicable.
 - (3) The plan of care template shall at a minimum include:
 - (a) Enrollee's Name and Medicaid ID number and SSN;
 - (b) Plan of care effective date (the first date a recipient is enrolled in the Managed Care Plan);

- (c) Plan of care review date (at a minimum, every ninety (90) days);
 - (d) Services needed, including routine medical and waiver services;
 - (e) Each service authorization begin and end date;
 - (f) All the services and supports to be provided regardless of the funding source;
 - (g) All service providers;
 - (h) The enrollee's assisted living service components provided by the ALF as well as the amount and frequency of those services if the enrollee resides in an ALF;
 - (i) The number of units of each service to be provided;
 - (j) The date on which the Managed Care Plan shall submit the completed Agency-required reassessment tool and required medical documentation to CARES;
 - (k) Case Manager's' signature; and
 - (l) Enrollee or authorized representative's signature and date.
- (4) The plan of care (reviewed face-to-face with the enrollee at a minimum every three (3) months) shall also include:
- (a) Goals and objectives;
 - (b) Service schedules;
 - (c) Medication management strategies;
 - (d) Barriers to progress; and
 - (e) Detail of interventions.
- (5) The Managed Care Plan shall submit the plan of care template that includes these minimum components to the Agency for approval forty-five (45) days prior to implementation.
- (6) Together, the case manager and enrollee shall develop goals that address the issues that are identified in the care planning process including goals that ensure the enrollee is integrated into the community. Goals should be built on the enrollee's strengths and include steps that the enrollee will take to achieve the goal. Goals shall be written to outline clear expectations about what is to be achieved through the service delivery and care coordination processes. Enrollee goals shall:

- (a) Be enrollee specific;
 - (b) Be measurable;
 - (c) Specify a plan of action/interventions to be used to meet the goals;
 - (d) Include a timeframe for the attainment of the desired outcome; and
 - (e) Be reviewed at each assessment visit and progress shall be documented. Progress means information regarding potential barriers, changes that need to be made to the goal and/or plan of action, and, if the goal has been met but will be continued, the reason(s) for this.
- (7) The case manager is responsible for identifying the enrollee's primary care provider (PCP) and specialists involved in the enrollee's treatment and obtaining the required authorizations for release of information in order to coordinate and communication with the primary care provider and other treatment providers.
- (8) The case manager is responsible for informing enrollees' primary care and other treatment providers that recipients should be encouraged to adopt healthy habits and maintain their personal independence.
- (9) Upon the enrollee's or enrollee representative's agreement to the plan of care, the case manager is responsible for coordinating the services with appropriate providers.
- (10) Copies of the plan of care shall be forwarded to the enrollee's primary care provider and, if applicable, to the facility where the enrollee resides within ten (10) business days of development.
- (11) The plan of care shall document that the process for enrollee grievance and appeals was clearly explained. It shall be noted for each service whether the frequency/quantity of the service has changed since the previous plan of care. The enrollee or representative shall indicate whether they agree or disagree with each service authorization and sign the plan of care at initial development and when there are changes in services. The case manager shall provide a copy of the plan of care to the enrollee or representative and maintain a copy in the case file.
- (12) Enrollees who reside in "own home" settings should be encouraged, and assisted as indicated, by the case manager to have a disaster/emergency plan for their household that considers the special needs of the enrollee. If applicable, this plan shall be placed in the enrollee's case file. Informational materials are available at the Federal Emergency Management Agency's (FEMA) website at www.fema.gov or www.ready.gov. Enrollees should also be encouraged to register with the state's Emergency Preparedness Special Needs Shelter Registry. For more information go to <http://www.doh.state.fl.us/phnursing/SpNS/SpecialNeedsShelter.html>.

- (13) At initial plan of care development and when there are changes in services, the case manager shall create a plan of care summary. The case manager shall provide the enrollee or enrollee's representative with a plan of care summary containing the following minimum components:
- (a) The enrollee's name;
 - (b) The enrollee's date of birth and Medicaid ID Number;
 - (c) Covered services provided including routine medical and HCBS services;
 - (d) Begin date of services;
 - (e) Providers;
 - (f) Amount and frequency;
 - (g) Case manager's signature; and
 - (h) Enrollee or the enrollee's authorized representative's signature and date.

d. Placement/Service Planning Standard

- (1) Service authorizations shall reflect services as specified in the plan of care. When developing service authorizations, case managers shall authorize ongoing services within timeframes specified in the plan of care.
- (2) The authorization time period shall be consistent with the end date of the services as specified in the plan of care.
- (3) When service needs are identified, the enrollee shall be given information about the available providers so that an informed choice of providers can be made. The entire care planning process shall be documented in the case record.
- (4) The case manager shall ensure that the enrollee or representative understands that some Long-term Care services (such as home health nurse, home health aide or durable medical equipment (DME) shall be prescribed by the PCP.
- (5) The case manager is responsible for coordinating physician's orders for those services requiring a physician's order.
- (6) If the enrollee does not have a PCP or wishes to change PCP, it is the case manager's responsibility to coordinate the effort to obtain a PCP or to change the PCP.
- (7) The case manager shall also verify that medically necessary services are available in the enrollee's community. If a service is not currently available, the case manager shall substitute a combination of other services in order to meet the enrollee's needs until such time as the desired service becomes

available. A temporary alternative placement may be needed if services cannot be provided to safely meet the enrollee's needs.

- (8) Enrollees cannot be required to enter an alternative residential placement/setting because it is more cost-effective than living in his/her home.
- (9) If the enrollee disagrees with the assessment and/or authorization of placement/services (including the amount and/or frequency of a service), the case manager shall provide the enrollee with a written notice of action that explains the enrollee's right to file an appeal regarding the placement or plan of care determination.
- (10) If the case manager and PCP or attending physician do not agree regarding the need for a change in level of care, placement or physician's orders for medical services, the case manager shall refer the case to the Managed Care Plan's Medical Director for review. The Medical Director is responsible for reviewing the case, discussing it with the PCP and/or attending physician if necessary, and making a determination in order to resolve the issue.
- (11) The enrollee or enrollee representative shall be notified in writing of any denial, reduction, termination or suspension of services, that varies from the type, amount, or frequency of services detailed on the plan of care that the enrollee or his/her representative has signed. Refer to Section IV, Enrollee Services and Grievance Procedures.
- (12) The Managed Care Plan shall submit a monthly summary report of all enrollees whose services have been denied, reduced, or terminated for any reason as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide.
- (13) The Managed Care Plan shall submit a summary report of the physical location/residence of all enrollees, including Medicaid Pending enrollees, as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide.

e. Reassessment Standard

- (1) The Managed Care Plan shall submit quarterly reports to the Agency on those enrollees receiving annual level of care redeterminations, within 365 days of the previous determination, enrollees having current level of care based on the Agency-required assessment tool and required medical documentation and on enrollees requesting a fair hearing related to their level of care, as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide.
- (2) Case managers are responsible for ongoing monitoring of the services and placement of each enrollee assigned to their caseload in order to assess the continued suitability of the services and placement in meeting the enrollee's needs as well as the quality of the care delivered by the enrollee's service providers.

- (3) Case managers are responsible for ensuring that an enrollee's care is coordinated, including, but not limited to:
- (a) Ensuring each enrollee has an ongoing source of primary care appropriate to his/her needs;
 - (b) Coordinating the services furnished to the enrollee with services the enrollee receives from any other managed care entity or any other health care payor source;
 - (c) Conducting Long-term Care planning and face-to-face reassessments for level-of-care determination as required by this Contract;
 - (d) Tracking level-of-care redeterminations to ensure enrollees are reassessed face-to-face with the Agency-required assessment tool and required medical documentation and a new level of care determination authorized annually. Enrollees residing and remaining in the nursing home setting are exempt from the annual level of care redetermination requirement. If the Agency-required assessment tool is not submitted to the state in a timely manner and the level of care expires, the case manager is responsible for ensuring that a new Agency-required certification form is completed, signed and dated by a physician;
 - (e) For enrollees residing and remaining in the community, the Managed Care Plan shall conduct the annual reassessment and required medical documentation and submit to CARES no earlier than sixty (60), and no later than thirty (30) days prior to the one (1) year anniversary date of the previous Notification of Level of Care form;
 - (f) For enrollees transitioned from the nursing facility into the community within twelve (12) months of their initial level of care determination, the Managed Care Plan shall submit the reassessment thirty (30) days prior to the date on the initial Notification of Level of Care form;
 - (g) For enrollees that reside in a nursing facility more than twelve (12) months before being transitioned into the community, the reassessment shall be due thirty (30) days prior to the anniversary date of discharge from the nursing facility;
 - (h) Tracking an enrollee's Medicaid financial eligibility on annual basis, and are responsible for helping the enrollee continuously maintain Medicaid financial eligibility. If the enrollee loses Medicaid financial eligibility due to inaction or lack of follow-through with the DCF redetermination process, the case manager shall help the enrollee regain Medicaid financial eligibility; and
 - (i) Referring pregnant enrollees to appropriate maternity and family services and notifying medical service payers of enrollee status for further eligibility determination for the enrollee and unborn infant.

- (4) Case managers shall conduct a face-to-face review within five (5) business days following an enrollee's change of placement type (e.g., from HCBS to an institutional setting, own home to assisted living facility or institutional setting to HCBS). This review shall be conducted to ensure that appropriate services are in place and that the enrollee agrees with the plan of care as authorized.
- (5) The case manager shall meet face-to-face at least every three (3) months with the enrollee and/or representative, in order to:
 - (a) Discuss the type, amount and providers of authorized services. If any issues are reported or discovered, the case manager shall take and document action taken to resolve these as quickly as possible;
 - (b) Assess needs, including any changes to the enrollee's informal support system;
 - (c) Discuss the enrollee's perception of his/her progress toward established goals;
 - (d) Identify any barriers to the achievement of the enrollee's goals;
 - (e) Develop new goals as needed;
 - (f) Review, at least annually, the enrollee handbook to ensure enrollees/representatives are familiar with the contents, especially as related to the grievance and reporting abuse, neglect, and exploitation, appeals process, covered services and their rights/responsibilities;
 - (g) Document the enrollee's current functional, medical, behavioral and social strengths; and
 - (h) Complete the Agency-required assessment form and medical documentation annually.
- (6) The enrollee representative shall be involved for the above if the enrollee is unable to participate due to a cognitive impairment or if the enrollee has a legal guardian.
- (7) The case manager shall document contacts and face-to-face visits at the time of each visit or contact and when there are any changes in services. The enrollee or representative shall indicate whether they agree or disagree with each service authorization and sign the plan of care each time changes occur. The enrollee shall be given a copy of each signed plan of care.
- (8) The enrollee's HCBS providers shall be contacted at least annually to discuss their assessment of the enrollee's needs and status. Contact should be made as soon as possible to address problems or issues identified by the enrollee/representative or case manager. This should include providers of such services as personal or attendant care, home delivered meals, therapy, etc.

7. Disease Management Program

- a. In addition to the disease management program specified in Attachment I, the Managed Care Plan shall include disease management programs for:
 - (1) Dementia and Alzheimer's issues;
 - (2) Cancer;
 - (3) Diabetes;
 - (4) Chronic Obstructive Pulmonary Disease (COPD); and
 - (5) End of life issues including information on advance directives.
- b. The Managed Care Plan shall develop and implement a disease management programs to combine elements of caregiver support and disease management. The integrated program shall be aimed at providing enrollee caregivers, circles of support for enrollees and the enrollee with support and education to help care for and improve the health and quality of life for the enrollee living with chronic conditions in the home.

F. Quality Enhancements

The Managed Care Plan shall offer quality enhancements (QE) to enrollees as specified below:

1. Safety concerns in the home and fall prevention;
2. End of life issues, including information on advanced directives; and
3. Ensuring that case managers and providers screen enrollees for signs of domestic violence and offer referral services to applicable domestic violence prevention community agencies.

Section VI. Provider Network

A. Network Adequacy Standards

1. Network Capacity and Geographic Access Standards

- a. In accordance with s. 409.982(4), F.S., and s. 409.98(1) - (19), F.S., the Managed Care Plan's network shall include the following types of providers: (See LTC Provider Qualifications and Minimum Network Adequacy Requirements Table, for minimum waiver network standards).
 - (1) Adult companion providers;
 - (2) Adult day health care centers;

- (3) Adult family care homes;
- (4) Assistive care service providers;
- (5) Assisted living facilities;
- (6) Attendant care providers;
- (7) Behavior management providers;
- (8) Caregiver training providers;
- (9) Case managers or case management agency;
- (10) Community care for the elderly lead agencies (CCEs);
- (11) Health care services pools;
- (12) Home adaptation accessibility providers;
- (13) Home health agencies;
- (14) Homemaker and companion service providers;
- (15) Hospices;
- (16) Medication administration providers;
- (17) Medication management providers;
- (18) Medical supplies providers;
- (19) Nurse registries;
- (20) Nursing facilities;
- (21) Nutritional assessment and risk reduction providers;
- (22) Personal care providers;
- (23) Personal emergency response system providers;
- (24) Transportation providers; and
- (25) Therapy (occupational, speech, respiratory, and physical) providers.

- b. In accordance with s. 409.982(1), F.S., the Managed Care Plan may limit the providers in its network based on credentials, quality and price; however, during the period between October 1, 2013 and September 30, 2014, the Managed

Care Plan shall, in good faith, offer a provider contract to all of the following providers in the region:

- (1) Nursing facilities;
 - (2) Hospices; and
 - (3) Aging network services providers that previously participated in home and community-based waivers serving elders or community-service programs administered by DOEA, as identified by the state.
- c. In accordance with s. 409.982(1), F.S., after twelve (12) months of active participation in the Managed Care Plan's network, the Managed Care Plan may exclude any of the providers named in b. above for failure to meet quality or performance criteria.
- d. Therapy, facility-based hospice, and adult day health care services shall be available within an average of thirty (30) minutes from an enrollee's residence or other preferred location within the region. The Agency may waive this requirement, in writing, for rural areas and for areas where there is no applicable provider within a thirty (30) minute average travel time. Travel time requirements for adult day health care and therapy services are increased to sixty (60) minutes for rural areas.
- e. Unless otherwise provided in this Contract or authorized by the Agency, the Managed Care Plan shall ensure that each county in a region has at least two (2) providers available to deliver each covered HCBS. For HCBS provided in an enrollee's place of residence, the provider does not need to be located in the county of the enrollee's residence but shall be willing and able to serve residents of that county. For adult day health care, the service provider does not have to be located in the enrollee's county of residence, but shall meet the access standards for adult day health care.
- f. Facility-based services are those services the enrollee receives from the residential facility in which they live. For purposes of this Contract assisted living facility, adult family care homes, assistive care, and nursing facility care services are facility-based.
- g. The Managed Care Plan shall contract with at least two (2) facility-based service providers per county in the region(s) it serves and meet the licensed bed ratio requirement of one (1) licensed bed for each enrollee included in the applicable maximum enrollment level. If the Managed Care Plan demonstrates to the Agency's satisfaction that it is not feasible to meet either or both requirements within a specific county within a contracted region, the Agency may provide written authorization to use network facilities from one or more neighboring counties within the region to meet network requirements.
- h. If the Managed Care Plan is able to demonstrate to the Agency's satisfaction that a region as a whole is unable to meet either or both network requirements for facility-based services, the Agency may waive the requirement at its discretion in writing. As soon as additional service providers become available, however, the

Managed Care Plan shall augment its network to include such providers in order to meet the network adequacy requirements. Such a written waiver shall require attestation by the Managed Care Plan that it agrees to modify its network to include such providers as they become available.

- i. Facilities from neighboring counties within the region are allowed as additional network providers above and beyond the required number. No state approval is required to include these additional providers in the Managed Care Plan network as long as minimum requirements specified in Section VI.A.1.e. have been met.
- j. The Managed Care Plan may not include facility-based service providers from outside the region as network providers unless the Managed Care Plan's provider agreement or subcontract specifies that it will serve the respective region(s); however, such providers may not be used to meet the region's minimum network requirements. A waiver from the Agency will be necessary if the Managed Care Plan cannot meet network requirements for facility-based services for a region using only providers located within that region.
- k. The Managed Care Plan shall provide authorized HCBS within the timeframe prescribed in Section V, Covered Services. This includes initiating HCBS in the enrollee's plan of care within the timeframes specified in this Contract and continuing services in accordance with the enrollee's plan of care, including the amount, frequency, duration and scope of each service in accordance with the enrollee's service schedule.
- l. The Managed Care Plan shall permit enrollees in the community to choose care through participant direction for allowable services as specified in Section V, Covered Services. Such providers shall agree to all applicable terms of the Managed Care Plan's policies and procedures. Such qualification requirements shall include the minimum provider qualifications in Table 2 and all training and background screening requirements. The Managed Care Plan shall develop any necessary policies, procedures, or agreements to allow providers to provide care to enrollees where appropriate.
- m. The Managed Care Plan shall not continue to contract with providers designated as chronic poor performers, pursuant to the Managed Care Plan's policies and procedures.
- n. The Managed Care Plan shall permit enrollees to choose from among all Managed Care Plan network residential facilities with a Medicaid-designated bed available. The Managed Care Plan shall inform the enrollee of any residential facilities that have specific cultural or religious affiliations. If the enrollee makes a choice, the Managed Care Plan shall make a reasonable effort to place the enrollee in the facility of the enrollee's choice. In the event the enrollee does not make a choice, the Managed Care Plan shall place the enrollee in a participating residential facility with a Medicaid-designated bed available within the closest geographical proximity to the enrollee's current residence. All Managed Care Plan enrollee placements into participating or non-participating residential facilities shall be appropriate to the enrollees' needs.

- o. The Managed Care Plan shall report monthly to the Agency results of its internal monitoring, ensuring that all Long-term Care providers are appropriately qualified, as specified in Table 1 - LTC Provider Qualifications & Minimum Network Adequacy Requirements, and Table 2 – PDO Provider Qualifications below. This report shall be submitted as specified in Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide.

B. Network Development and Management Plan

1. Regional Network Changes

The Managed Care Plan shall notify the Agency within seven (7) business days of any significant changes to its regional provider network. A significant change is defined as follows:

- a. Managed Care Plans shall report to the Agency a loss of a nursing facility, adult day health care center, adult family care home or assisted living facility in a region where another participating nursing facility, adult day health care center, adult family care home or assisted living facility of equal service ability is not available to ensure compliance with the geographic access standards specified in this Exhibit.
- b. If the Managed Care Plan excludes an Aging Network Provider, as defined by the state, the Managed Care Plan shall provide written notice to all enrollees who have chosen that provider for care, and the notice shall be provided at least thirty (30) days before the effective date of the exclusion.

C. Provider Credentialing and Contracting

1. Credentialing and Recredentialing

- a. The Managed Care Plan shall establish and verify provider credentialing and recredentialing criteria that includes a determination of whether the provider, or employee or volunteer of the provider, meets the definition of “direct service provider” and completion of a Level 2 criminal history background screening on each direct service provider to determine whether any have disqualifying offenses as provided for in s. 430.0402, F.S., and s. 435.04, F.S. Any provider or employee or volunteer of the provider meeting the definition of “direct service provider” who has a disqualifying offense is prohibited from providing services to enrollees. No additional Level 2 screening is required if the individual is qualified for licensure or employment by the Agency pursuant to its background screening standards under s. 408.809, F.S., and the individual is providing a service that is within the scope of his or her licensed practice or employment. (See s. 430.0402(3), F.S.)
 - (1) The Managed Care Plan shall maintain a signed affidavit from each provider attesting to its compliance with this requirement, or with the requirements of its licensing agency if the licensing agency requires Level 2 screening of direct services providers.

- (2) The Managed Care Plan shall include compliance with this requirement in its provider contracts and subcontracts and verify compliance as part of its subcontractor and provider monitoring activity.
- b. The Managed Care Plan shall establish and verify provider credentialing and recredentialing criteria to ensure that assisted living facilities and adult family care homes meet the minimum HCB characteristics as defined in this Contract.
 - c. The Managed Care Plan's credentialing and recredentialing process shall include ensuring that all Long-term Care providers are appropriately qualified, as specified in Table 1 - LTC Provider Qualifications & Minimum Network Adequacy Requirements, and Table 2 – PDO Provider Qualifications below.

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Table 1

LTC Provider Qualifications & Minimum Network Adequacy Requirements Table*

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
Adult Companion	Community Care for the Elderly (CCE) Provider	As defined in Ch. 410 or 430, F. S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Center for Independent Living	As defined under 413.371, F. S.		
	Homemaker/Companion Agency	Registration in accordance with 400.509, F.S.		
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	Nurse Registries	Licensed per Chapter 400.506, F.S.		
	Health Care Service Pools	Licensed per Chapter 400, Part IX, F. S.		
Adult Day Care (Adult Day Health Care)	Assisted Living Facility (ALF)	Licensed per Ch. 429, Part I, F.S. with a written approval from local AHCA office to provide services under 429.905(2) F.S.	At least two (2) providers serving each county of the region AND at least (1) provider within 30 minutes travel time.	At least two (2) providers serving each county of the region AND at least (1) provider within 60 minutes travel time.
	Adult Day Care Center	Licensed per Ch. 429, Part III, F.S.		
Assisted Living Facility Services	Assisted Living Facility	Licensed per Ch. 429, Part I, F.S. and ALF must agree to offer facility services with home-like characteristics	At least two (2) providers serving each county of the region and one (1) licensed bed for each enrollee in the	At least two (2) providers serving each county of the region and one (1) licensed bed for each enrollee in the

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
			applicable max enrollment.	applicable max enrollment.
Assistive Care Services	Adult Family Care Home (AFCH)	Licensed per Ch. 429, Part II, F.S. and Adult Family Care Home (AFCH) must agree to offer facility services with home-like characteristics	At least two (2) providers serving each county of the region and one (1) licensed bed for each enrollee in the applicable max enrollment.	At least two (2) providers serving each county of the region and one (1) licensed bed for each enrollee in the applicable max enrollment.
Attendant Care	Center for Independent Living	As defined under Chapter 413.371, F.S.; have licensed direct care staff, if required, to perform the waiver services	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	Registered Nurse (RN), Licensed Practical Nurse (LPN)	Licensed per Ch. 464, F.S.		
	Nurse Registry	Licensed per 400.506, F.S. Services shall be provided by a licensed RN or LPN.		
Behavior Management	Clinical Social Worker, Mental Health Counselor	Licensed per Ch. 491, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Community Mental Health Center	Licensed per Ch. 394, F.S.		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	Home Health Agencies	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484. Direct service provider shall have a minimum of two (2) years direct experience working with adult populations diagnosed with Alzheimer's disease, other dementias or persistent behavioral problems.		
	Psychologist	Licensed per Ch. 490, F.S.		
	Registered Nurse	Licensed per Ch. 464, Part I "Nurse Practice Act", F.S. and Ch. 64B9 "Board of Nursing", F.A.C.; Minimum of 2 years direct experience working with adult populations diagnosed with Alzheimer's disease, other dementias or persistent behavioral problems.		
	Center for Independent Living	As defined under Chapter 413.371, F.S.; have licensed direct care staff, if required, to perform the waiver services		
Caregiver Training	CCE Provider	As defined in Ch. 410 or 430, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Clinical Social Worker, Mental Health Counselor	Licensed per Ch. 491, F.S.		
	RN, LPN	Licensed per Ch. 400, Part III, F.S.		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	Home Health Agency	Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	Center for Independent Living	As defined under Chapter 413.371, F.S.; have licensed direct care staff, if required, to perform the waiver services		
Case Management	Case Managers employed or contracted by Managed Care Plans	Either: 2+ yrs. of relevant experience and; (1) BA or BS in Social Work, Sociology, Psychology, Gerontology or related social services field; (2) RN licensed in FL; (3) BA or BS in unrelated field, OR: 4+ yrs. relevant experience and LPN licensed in FL, OR: Professional human services experience can be substituted on a year-for-year basis for the educational requirements. All shall have four (4) hrs. of in-service training in identifying and reporting abuse, neglect and exploitation.	Each case manager's caseload may not exceed sixty (60) for enrollees in HCBS settings, one-hundred (100) for enrollees in nursing facilities or sixty (60) when the case manager has a mixed caseload	Each case manager's caseload may not exceed sixty (60) for enrollees in HCBS settings, one-hundred (100) for enrollees in nursing facilities or sixty (60) when the case manager has a mixed caseload.
	Center for Independent Living	Either: 2+ yrs. of relevant experience and; (1) BA or BS in Social Work, Sociology, Psychology, Gerontology or related social services field; (2) RN licensed in FL; (3) BA or BS in unrelated field, OR: 4+ yrs. relevant experience and LPN licensed in FL, OR: Professional human services experience can be substituted on a year-for-year basis for the educational requirements. All shall have four (4) hrs. of in-service		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
		training in identifying and reporting abuse, neglect and exploitation.		
	Case Management Agency	Either: 2+ yrs. of relevant experience and; (1) BA or BS in Social Work, Sociology, Psychology, Gerontology or related social services field; (2) RN licensed in FL; (3) BA or BS in unrelated field, OR: 4+ yrs. relevant experience and LPN licensed in FL, OR: Professional human services experience can be substituted on a year-for-year basis for the educational requirements. All shall have four (4) hrs. of in-service training in identifying and reporting abuse, neglect and exploitation. Designated a CCE Lead Agency by DOEA (per Ch. 430 F.S.) or other agency meeting comparable standards as determined by DOEA.		
Home Accessibility Adaptation	Independent Provider	Licensed per state and local building codes or other licensure appropriate to tasks performed. Ch. 205, F.S.; Licensed by local city and/or county occupational license boards for the type of work being performed. Required to furnish proof of current insurance.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Center for Independent Living	As defined under 413.371, F. S. and licensed under Ch. 205, F. S.		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	General Contractor	Licensed per 459.131, F.S.		
Home Delivered Meals	Food Establishment Older Americans Act	Permit under 500.12, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Older American's Act (OAA) Provider	As defined in Rule 58A-1, F.A.C.		
	CCE Provider	As defined in Ch. 410 or 430, F.S.		
	Food Service Establishment	Licensed per s. 509.241, F.S.		
Homemaker	Nurse Registry	Licensed per 400.506, F.S.	At least two (2) providers serving each county of the region	At least two (2) providers serving each county of the region
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	CCE Provider	As defined in Ch. 410 or 430, F.S.		
	Center for Independent Living	As defined under 413.371, F. S.		
	Homemaker/Companion Agency	Registration in accordance with Ch. 400.509, F.S.		
	Health Care Service Pools	Licensed per Chapter 400, Part IX, F. S.		
Hospice	Hospice Organizations	Hospice providers shall be licensed under Chapter 400, Part IV, F. S. and meet Medicaid and Medicare conditions of participation annually.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
Intermittent and	Home Health Agency	Licensed per Ch. 400, Part III, F.S.;	At least two (2) providers	At least two (2) providers

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
Skilled Nursing		Optional to meet Federal Conditions of Participation under 42 CFR 484.	serving each county of the region.	serving each county of the region.
Medication Administration	RN, LPN	Licensed per Ch. 464, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	Unlicensed Staff Member Trained per 58A-5.0191(5), F.A.C.	Trained per 58A-5.0191(5), F.A.C.; demonstrate ability to accurately read and interpret a prescription label.		
	Nurse Registry	Licensed per 400.506, F.S.		
	Pharmacist	Licensed per Ch. 465, F.S.		
Medication Management	Home Health Agencies	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484. Individuals providing services shall be an RN or LPN.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Nurse Registries	Licensed per 400.506, F.S. Individuals providing services shall be an RN or LPN.		
	Licensed Nurse, LPN	Licensed per Ch. 464, F.S.		
	Pharmacist	Licensed per Ch. 465, F.S.		
Medical Equipment & Supplies	Pharmacy	Licensed per Ch. 465, F.S.; Permitted per Ch. 465, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	Home Medical Equipment Company	Licensed per Ch. 400, Part VII, F.S.		
Nutritional Assessment and Risk Reduction	CCE Provider	As defined in Ch. 410 or 430, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	Nurse Registry	Licensed per 400.506, F.S.		
	Other Health Care Professional	Must practice within the legal scope of their practice.		
	Dietician/Nutritionist or Nutrition Counselor	Licensed per Ch. 468, Part X, F.S.		
	Center for Independent Living	As defined under Chapter 413.371, F.S.; have licensed direct care staff, if required, to perform the waiver services		
Nursing Facility Care	See State Plan Requirements.	See State Plan Requirements.	At least two (2) providers serving each county of the region and one (1) licensed bed for each enrollee in the applicable max enrollment	At least two (2) providers serving each county of the region and one (1) licensed bed for each enrollee in the applicable max enrollment
Personal Care	Nurse Registry	Licensed per 400.506, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	CCE Provider	As defined in Ch. 410 or 430, F.S.		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	Center for Independent Living	As defined under Chapter 413.371, F.S.; have licensed direct care staff, if required, to perform the waiver services		
Personal Emergency Response System	Alarm System Contractor	Certified per Ch. 489, Part II, F.S.	At least two (2) providers serving each county of the region	At least two (2) providers serving each county of the region
	Low-Voltage Contractors and Electrical Contractors	Exempt from licensure in accordance with 489.503(15)(a-d), F.S. and 489.503(16), F.S.		
Respite Care	CCE Provider	As defined in Ch. 410 or 430, F.S.	At least two (2) providers serving each county of the region	At least two (2) providers serving each county of the region
	Nurse Registry	Licensed per 400.506, F.S.		
	Adult Day Care Center	Licensed per Ch. 429, Part III, F.S.		
	Assisted Living Facility**	Licensed per Ch. 429, Part I, F.S.		
	Nursing Facility	Licensed per Ch. 400, Part II, F.S.		
	Center for Independent Living	As defined under 413.371, F. S.		
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
Homemaker/ Companion Agency	Registration in accordance with 400.509, F.S.			
Transportation	Independent (private auto, wheelchair van, bus, taxi)	Licensed per Ch. 322, F.S.; Residential facility providers that comply with requirements of Ch. 427, F.S.	At least two (2) providers serving each county of the region.	At least two (2) providers serving each county of the region.

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	Community Transportation Coordinator	Licensed per Chapter 316 and 322, F. S., in accordance with Chapter 41-2, F. A. C		
Occupational Therapy	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.	At least two (2) providers serving each county of the region AND at least (1) provider within 30 minutes travel time	At least two (2) providers serving each county of the region AND at least (1) provider within 60 minutes travel time.
	Occupational Therapist Assistant	Licensed per Ch. 468, Part III, F.S.		
	Occupational Therapist	Licensed per Ch. 468, Part III, F.S.		
	Center for Independent Living	As defined under Chapter 413.371, F.S.; have licensed direct care staff, if required, to perform the waiver services		
	Hospital Outpatient Department	Licensed per Ch. 395, Part I and 408, Part II, F.S., and required licensure or be under supervision of a licensed professional qualified to provide the service.		
	Nursing Facility	Licensed per Ch. 400, Part III, F.S.;		
Physical Therapy	Physical Therapist	Licensed per Ch. 486, F.S.	At least two (2) providers serving each county of the region AND at least (1) provider within 30 minutes travel time.	At least two (2) providers serving each county of the region AND at least (1) provider within 60 minutes travel time.
	Physical Therapist Assistant	Licensed per Ch. 486, F.S.		
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	Center for Independent	As defined under Chapter 413.371,		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	Living	F.S.; have licensed direct care staff, if required, to perform the waiver services		
	Hospital Outpatient Department	Licensed per Ch. 395, Part I and 408, Part II, F.S., and required licensure or be under supervision of a licensed professional qualified to provide the service.		
	Nursing Facility	Licensed per Ch. 400, Part III, F.S.;		
Respiratory Therapy	Home Health Agency	Home Health Agencies licensed per Chapter 400, Part III, F. S, employing certified respiratory therapists licensed under Chapter 468, F. S and may meet Federal conditions of Participation under 42 CFR 484 or individuals licensed per Chapter 468, F. S. as certified respiratory therapists.	At least two (2) providers serving each county of the region AND at least (1) provider within 30 minutes travel time.	At least two (2) providers serving each county of the region AND at least (1) provider within 60 minutes travel time.
	Respiratory Therapist	Licensed per Ch. 468, F.S.		
	Health Care Service Pools	Licensed per Chapter 400, Part IX, F. S.		
	Center for Independent Living	As defined under Chapter 413.371, F.S.; and registered, certified or licensed under s. 468, Part V, F.S., as a respiratory therapist or under the direct supervision of such registered, certified or licensed respiratory therapists.		

Long-Term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications	Minimum Network Adequacy Requirements	
			Urban Counties	Rural Counties
	Hospital Outpatient Department	Licensed per Ch. 395, Part I and 408, Part II, F.S., and required licensure or be under supervision of a licensed professional qualified to provide the service.		
	Nursing Facility	Licensed per Ch. 400, Part III, F.S.;		
Speech Therapy	Speech-Language Pathologist	Licensed per Ch. 468, Part I, F.S.	At least two (2) providers serving each county of the region AND at least (1) provider within 30 minutes travel time.	At least two (2) providers serving each county of the region AND at least (1) provider within 30 minutes travel time.
	Home Health Agency	Licensed per Ch. 400, Part III, F.S.; Optional to meet Federal Conditions of Participation under 42 CFR 484.		
	Center for Independent Living	As defined under Chapter 413.371, F.S.; have licensed direct care staff, if required, to perform the waiver services		

* The Agency reserves the right to change Minimum Provider Qualifications and Minimum Network Adequacy Requirements.

**Additional qualifications: See Section V.A.3.g. for HCB characteristics requirements.

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Table 2
PDO Provider Qualifications

Long-term Care Plan Benefit	Qualified Service Provider Types	Minimum Provider Qualifications
Adult Companion	Individual	None *
Attendant Care	Registered Nurse (RN), Licensed Practical Nurse (LPN)	Licensed per Chapter 464, F. S.*
Homemaker	Individual	None *
Intermittent/ Skilled Nursing	Registered Nurse (RN), Licensed Practical Nurse (LPN)	Licensed per Chapter 464, F. S.*
Personal Care	Individual	None*

*Individuals of the enrollee's choosing may provide PDO services so long as they meet the minimum provider qualifications as above and are eighteen (18) years of age or older. PDO providers are also required to sign a Participant/Direct Service Worker Agreement and obtain a satisfactory Level 2 background screening.

2. Provider Contract Requirements

- a. The Managed Care Plan shall include the following provisions in its provider contracts:
 - (1) Require that each provider develop and maintain policies and procedures for back-up plans in the event of absent employees, and that each provider maintain sufficient staffing levels to ensure that service delivery is not interrupted due to absent employees;
 - (2) Include requirements for residential facilities regarding collection of patient responsibility, including prohibiting the assessment of late fees; and
 - (3) For assisted living facilities and adult family care homes, that they shall conform to the HCB characteristics pursuant this Contract. The Managed Care Plan shall include the following statement verbatim in its provider contracts with assisted living facility and adult family care home providers:

(Insert ALF/AFCH identifier) will support the enrollee's community inclusion and integration by working with the case manager and enrollee to facilitate the enrollee's personal goals and community activities.

Enrollees residing in (insert ALF/AFCH identifier) shall be offered services with the following options unless medical, physical, or cognitive impairments restrict or limit exercise of these options.

Choice of:

- Private or semi-private rooms;
- Roommate for semi-private rooms;
- Locking door to living unit;
- Access to telephone and length of use;
- Eating schedule; and
- Participation in facility and community activities.

Ability to have:

- Unlimited visitation; and
- Snacks as desired.

Ability to:

- Prepare snacks as desired; and
- Maintain personal sleeping schedule.

- (4) The Managed Care Plan shall include the following statement in its provider contract with assisted living facility providers:

(Insert ALF identifier) hereby agrees to accept monthly payments from (insert plan identifier) for enrollee services as full and final payment for all Long-term Care services detailed in the enrollee's plan of care which are to be provided by (insert ALF identifier). Enrollees remain responsible for the separate ALF room and board costs as detailed in their resident contract. As enrollees age in place and require more intense or additional Long-term Care services, (insert ALF identifier) may not request payment for new or additional services from an enrollee, their family members or personal representative. (Insert ALF identifier) may only negotiate payment terms for services pursuant to this provider contract with (insert plan identifier).

- (5) The Managed Care Plan shall include the following provision in its provider contract with nursing facilities and hospices: The provider shall maintain active Medicaid enrollment and submit required cost reports to the Agency for the duration of this agreement.

D. Provider Services

1. Provider Handbook and Bulletin Requirements

- a. The Managed Care Plan shall include the following information in its provider handbooks:

- (1) The role of case managers;
- (2) Requirements for HCBS providers regarding critical incident reporting and management; and
- (3) Requirements for residential facilities regarding patient responsibility.

E. Medical/ Case Records Requirements

1. Standards for Medical/Case Records

- a. The Managed Care Plan shall ensure the adherence to the following provisions.
 - (1) The enrollee's case record documents all activities and interactions with the enrollee and any other provider(s) involved in the support and care of the enrollee. The record shall include, at a minimum, the following information:
 - (a) Enrollee demographic data including emergency contact information, guardian contact data, if applicable, permission forms and copies of assessments, evaluations, and medical and medication information;
 - (b) Legal data such as guardianship papers, court orders and release forms;
 - (c) Copies of eligibility documentations, including level of care determinations by CARES;
 - (d) Identification of the enrollee's PCP;
 - (e) Information from quarterly onsite assessments that addresses at least the following:
 - i. Enrollee's current medical/functional/behavioral health status, including strengths and needs;
 - ii. Identification of family/informal support system or community resources and their availability to assist the enrollee, including barriers to assistance;
 - iii. Enrollee's ability to participate in the review and/or who case manager discusses service needs and goals with if the enrollee was unable to participate, and
 - iv. Environmental and/or other special needs.
 - (f) Needs assessments, including all physician referrals;
 - (g) Documentation of HCB characteristics for enrollees in ALFs and AFCHs. The responses to the HCB characteristics queries and enrollee limitations shall be documented;

- (h) Documentation of interaction and contacts (including telephone contacts) with enrollee, family of enrollees, service providers or others related to services;
- (i) Documentation of issues relevant to the enrollee remaining in the community with supports and services consistent with his or her capacities and abilities. This includes monitoring achievement of goals and objectives as set forth in the plan of care;
- (j) Residential agreements between facilities and the enrollee;
- (k) Problems with service providers shall be addressed in the narrative with a planned course of action noted;
- (l) Copies of eligibility documents, including LOC determinations;
- (m) Record of Service authorizations;
- (n) CARES assessment documents;
- (o) Documentation that the enrollee has received and signed, if applicable, all required plan and program information (including copies of the enrollee handbook, provider directory, etc.);
- (p) Documentation of the discussion of Advanced Directives and Do Not Resuscitate orders;
- (q) Documentation of the discussion with the enrollee on the procedures for filing complaints and grievances;
- (r) Documentation of the choice of a participant-directed care option;
- (s) Notices of Action sent to the enrollee regarding denial or changes to services (discontinuance, termination, reduction or suspension);
- (t) Enrollee-specific correspondence;
- (u) Physician's orders for Long-term Care services and equipment;
- (v) Provider evaluations/assessments and/or progress reports (e.g., home health, therapy, behavioral health);
- (w) Case notes including documentation of the type of contact made with the enrollee and/or all other persons who may be involved with the enrollee's care (e.g., providers);
- (x) Other documentation as required by the Managed Care Plan;
- (y) Copy of the contingency plan and other documentation that indicates the enrollee/representative has been advised regarding how to report unplanned gaps in authorized service delivery; and

- (z) Documentation of choice between institutional and home and community-based services.
- (2) Case management enrollee file information shall be maintained by the Managed Care Plan in compliance with state regulations for record retention. Per 42 CFR 441.303(c)(3), written and electronically retrievable documentation of all evaluations and re-evaluations shall be maintained as required in 45 CFR 92.42. The Managed Care Plan shall specify in policy where records of evaluation and re-evaluations of level of care are maintained and exchanged with the CARES unit.
- (3) The Managed Care Plan shall adhere to the confidentiality standards under the Health Insurance Portability and Accountability Act (HIPAA).
- (4) Case files shall be kept secured.
- (5) All narratives in case records shall be electronically signed and dated by the case manager. Electronic signatures with date stamps are allowable for electronic case records.

Section VII. Quality and Utilization Management

A. Quality Improvement

There are no additional quality improvements provisions unique to the LTC managed care program.

B. Performance Measures (PMs)

1. Required Performance Measures (PMs)

- a. The Managed Care Plan shall collect and report the following performance measures, certified via qualified auditor.

HEDIS/Agency-defined	
1	Care for Older Adults (COA): – included components: advance care planning; medication review; and functional status assessment. Add age bands: 18 to 60 years as of December 31 of the measurement year* 61 to 65 years as of December 31 of the measurement year* 66 years and older as of December 31 of the measurement year
Agency-defined	
2	Required Record Documentation (RRD)
3	Face-To-Face Encounters (F2F)
4	Case Manager Training (CMT)
5	Timeliness of Services (TOS)
6	Prevalence of Antipsychotic Drug Use in Long-Stay Dementia Residents

*Agency addition to HEDIS

- b. The Agency, at its sole discretion, may add and/or change required performance measures based on state and federal quality initiatives. These measures may include, but are not limited to, Medicare measures related to nursing home care and home-based care. Examples of measures that may be included are avoidable hospitalizations; hospital readmissions; prevalence of pressure ulcers; prevalence of use of restraints; rates of antipsychotic drug use; prevalence of dehydration among enrollees; and prevalence of Baker Act-related hospitalizations.
- c. The first Performance Measure Report is due to the Agency no later than July 1, 2014, covering the measurement period of calendar year 2013. Due to continuous enrollment requirements, several measures will not be reported for calendar year 2013. The measures that some managed care plans should be able to report are:
 - (1) Face-to-Face Encounters (managed care plans with at least three (3) months of enrollment);
 - (2) Case Manager Training (managed care plans with case managers employed ninety (90) days or more as of December 31, 2013);
 - (3) Timeliness of Services (managed care plans with at least one month of enrollment).

C. Performance Improvement Projects (PIPs)

The Managed Care Plan shall perform two (2) Agency-approved statewide performance improvement projects (PIPs), one (1) clinical PIP and one (1) non-clinical PIP.

- 1. The collaborative PIP topic for the long-term care plans is Medication Review. This is a clinical PIP.
- 2. The Managed Care Plan shall submit a proposed non-clinical PIP topic to the Agency contract manager no later than March 21, 2014.
- 3. PIP proposals (including activities I through VI of the EQRO PIP validation form) for both the collaborative PIP and the non-clinical PIP are due to the Agency no later than August 1, 2014.

D. Satisfaction and Experience Surveys

1. Enrollee Satisfaction Survey

- a. The Managed Care Plan shall conduct an annual enrollee satisfaction survey for a time period specified by the Agency, using the revised Enrollee Survey for Long-term Care Plans provided February 20, 2014 and located at: http://ahca.myflorida.com/medicaid/statewide_mc/survey.shtml.
- b. The Managed Care Plan shall follow the Survey Administration Guidelines below:

- (1) Long-term Care Plans (LTC Plans) are required to contract with an Agency-approved independent survey vendor to administer the surveys. The minimum sample size is 1,700, with a target of 411 completed surveys. The survey should be administered according to the NCQA mixed mode protocol (mail with telephone follow-up).
- (2) The first round of surveys will be of LTC Plan members residing in the community. A simple random sample per NCQA protocol should be used.
- (3) To be included in the survey sample, enrollees must have been enrolled in the LTC plan for at least six months with no more than a 1-month gap in enrollment.
- (4) LTC Plans are required to use the core LTC Plan Enrollee Survey. If they would like to add questions to the survey, those questions may be added to the end of the core survey. Additional questions must be submitted to the Agency contract manager for review and approval prior to being included in the survey.
- (5) LTC plans must submit an Excel file of the survey results (including the responses to each survey item for each respondent) as well as an Excel file report of the aggregate response rates for the plan for each survey item. Both of these items must be attested to by the plan's independent survey vendor and a plan attestation regarding the accuracy and completeness of the files must be submitted. The submission templates for each of these two files may be obtained from the Agency's contract manager.
- (6) The due dates for the LTC Plan Enrollee Survey Results submissions will be as follows:
 - (a) The first enrollee survey results submissions will be due to the Agency by December 31, 2014.
 - (b) The second enrollee survey results submissions will be due to the Agency by October 1, 2015.
 - (c) The third submission is due by July 1, 2016.
 - (d) Thereafter, submissions are due to the Agency by July 1 of each Contract year.
- c. The Managed Care Plans shall submit to the Agency, in writing, by April 7, 2014, a proposal for survey administration and reporting that includes identification of the survey administrator/vendor; sampling methodology; administration protocol; analysis plan; and reporting description.
- d. The Managed Care Plan shall submit a corrective action plan, as required by the Agency, within sixty 60 days of the request from the Agency to address any deficiencies the annual enrollee satisfaction survey.

- e. The Managed Care Plan shall use the results of the annual member satisfaction survey to develop and implement plan-wide activities designed to improve member satisfaction. Activities conducted by the Managed Care Plan pertaining to improving member satisfaction resulting from the annual enrollee satisfaction survey must be reported to the Agency on a quarterly basis.

E. Provider- Specific Performance Monitoring

1. Medical/Case Record Review

- a. The Managed Care Plan shall conduct medical/case record reviews at the following provider sites:
 - (1) Adult Family Care Homes at least once every two (2) years; and
 - (2) Assisted Living Facilities at least once every two (2) years.

F. Other Quality Management Requirements

1. Critical Incidents

- a. The Managed Care Plan shall develop and implement a critical and adverse incident reporting and management system for incidents that occur in a home and community-based Long-term Care service delivery setting, including: community-based residential alternatives other than assisted living facilities; other HCBS provider sites; and an enrollee's home, if the incident is related to the provision of covered HCBS.
- b. The Managed Care Plan shall require HCBS providers to report adverse incidents to the Managed Care Plans within twenty-four (24) hours of the incident. The Managed Care Plan shall not require nursing facilities or assisted living facilities to report adverse incidents or provide incident reports to the Managed Care Plan. Adverse incidents occurring in nursing facilities and assisted living facilities will be addressed in accordance with Florida law, including but not limited to ss. 400.147, 429.23, Chapter 39 and Chapter 415, F.S.
- c. If the event involves a health and safety issue for an enrollee with LTC benefits, the LTC Managed Care Plan or Comprehensive LTC Managed Care Plan and case manager shall arrange for the enrollee to move from his/her current location or change providers to accommodate a safe environment and participating or direct service provider of the enrollee's choice.
- d. If an investigation of suspected abuse, neglect or exploitation requires the enrollee to move from his/her current locations, the LTC Managed Care Plan or Comprehensive LTC Managed Care Plan shall coordinate with the investigator to find a safe living environment or another participating provider of the enrollee's choice.

G. Utilization Management

There are no additional utilization management provisions unique to the LTC managed care program.

H. Continuity of Care in Enrollment

There are no additional continuity of care in enrollment provisions unique to the LTC managed care program.

Section VIII. Administration and Management

A. Organizational Governance and Staffing

Addition requirements related to case management staffing are specified in Section V.E. 2, Case Management Staff Qualifications and Experience.

B. Subcontracts

There are no additional subcontract provisions unique to the LTC managed care program.

C. Information Management and Systems

There are no additional information management and systems provisions unique to the LTC managed care program.

D. Claims and Provider Payment

There are no additional claims and provider payment provisions unique to the LTC managed care program.

E. Encounter Data Requirements

There are no additional encounter data provisions unique to the LTC managed care program.

F. Fraud and Abuse Prevention

There are no additional fraud and abuse prevention provisions unique to the LTC managed care program.

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Section IX. Method of Payment

A. Fixed Price Unit Contract

There are no additional provisions unique to the LTC managed care program.

B. Payment Provisions

1. Capitation Rates

- a. The Agency will prospectively adjust the base capitation rates included in Attachment I, Scope of Services to reflect the Managed Care Plan's enrolled risk.
- b. The Agency will develop a pre-enrollment benchmark case mix for each region based on analysis of the most recent twelve (12) months of historical data that allows for three (3) months of claims run out. The enrollment distribution will be calculated using population segmentation logic consistent with that used in rate development. Recipients whose last care setting prior to the start of the capitation rate period was nursing facility will be classified as Non-HCBS. Recipients who become program-eligible after the start of the capitation rate period will be classified as Non-HCBS based on program codes that indicate Institutional Care Program eligibility. Enrollees not meeting the Non-HCBS classification criteria will be classified as HCBS. For rate purposes, for both the transitioned and new enrollees, the recipient's initial classification will remain valid through the duration of the capitation rate period.
- c. Month 1: In each region, the Agency will pay the Managed Care Plan a blended capitation rate that reflects the regional pre-enrollment benchmark case mix, adjusted for the Agency-required transition percentage, which is included as Attachment I, Scope of Services, Exhibit I-C. AHCA will later perform a reconciliation based on month one (1) actual enrollment and case mix for each plan.
- d. Subsequent months: For the second month and each subsequent month of the contract payment period, AHCA will develop a blended capitation rate for the Managed Care Plan, adjusted for the new enrollments and disenrollments that occurred in the previous month, and adjusted for the Agency-required transition percentage.
- e. Once ninety-five percent (95%) of regional eligible recipients are enrolled in managed care plans, the Agency will ensure that the recalibrated rates are budget neutral to the State on a PMPM basis. The benchmark against which budget neutrality will be measured is the region-wide rate based on the pre-enrollment case mix with the Agency-required transition percentage.

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2. Rate Adjustments and Reconciliations

a. Pursuant to ss. 409.983(6) and 409.983(7), F.S., the Agency will reconcile the Managed Care Plan's payments to nursing facilities, including patient responsibility and hospices as follows:

(1) Actual nursing facility payments shall be reconciled by the Agency to ensure actual claim payments are, at a minimum, the same as Medicaid fee-for-service (FFS) claim payments. Any Managed Care Plan provider payments to nursing homes in excess of FFS claim payment will not be reimbursed by the Agency or in any way increase per member per month payment to the Managed Care Plan in any current or future capitation rate setting period. The Managed Care Plan accepts and assumes all risks of excess payments as a cost of doing business and cannot seek additional Medicaid payments for such business decisions. Any inadvertent payments made by the Agency to a Managed Care Plan in excess of the FFS amount shall be overpayments and shall be recouped.

(a) The nursing facility rate reconciliation process required by 409.983(6), Florida Statutes, is as follows:

- i. The Agency will set facility-specific payment rates based on the rate methodology outlined in the most recent version of the Florida Title XIX Long-term Care Reimbursement Plan. The Managed Care Plan shall pay nursing facilities an amount no less than the nursing facility specific payment rates set by the Agency and published on the Agency website. The Managed Care Plan shall use the published facility-specific rates as a minimum payment level for all future payments.
- ii. Participating nursing facilities shall maintain their active Medicaid enrollment and submit required cost reports to the Agency.
- iii. For changes in nursing facility payment rates that apply prospectively, the following process shall be used:
 - The Agency will annually reconcile between the nursing facility payment rates used in the capitation rates and the actual published payment rates. This Managed Care Plan-specific reconciliation will be performed using the Managed Care Plan's own utilization, as reflected through encounter data that covers the capitation rate period dates of services with at least four (4) months of claims run out.
 - The Managed Care Plan shall review and provide written comments or a letter of concurrence to the Agency within forty-five (45) days after receipt of the reconciliation results. This reconciliation is considered final if the Managed Care Plan concurs with the result.

- Comments and errors identified are limited to the published rates reviewed and related Managed Care Plan nursing facility and hospice payments, methodology and/or calculations.
 - If the Managed Care Plan or the Agency comments that such an error has occurred, a new forty-five (45) calendar review period shall start on the date the Managed Care Plan receives the Agency's final determination of the reconciliation results. The Agency's final determination of the reconciliation results shall be final and conclusive. The Managed Care Plan may dispute the Agency's decision as per Section XVI.I., Disputes, if it does not concur with the results.
 - If the Managed Care Plan does not provide comments within the forty-five (45) calendar day period, no further opportunity for review consideration will be provided.
- iv. For changes in nursing facility payment rates that apply retroactively, the following process shall be used:
- The Agency will settle directly with nursing facilities that were overpaid for the prior period. The Managed Care Plan shall not collect such payments from the nursing facilities.
 - The Agency may settle directly with nursing facilities that were underpaid for the prior period, or may send the payment to the Managed Care Plan for distribution to the affected nursing facility. If the Managed Care Plan is asked to distribute an underpayment to a nursing facility under this process, payment to the facility shall be made within fifteen (15) days of receiving the payment from the Agency.
- (2) Hospices: The Agency will set hospice level of care and room and board rates based upon the rate development methodology detailed in 42 CFR Part 418 for per diem rates and Chapter 409.906 (14), Florida Statutes and 59G-4.140, Florida Administrative Code, for room and board rates. The Managed Care Plan shall pay hospices an amount no less than the hospice payment rates set by the Agency and published on the Agency website no later than October 1 of each year for per diem rates and January 1 and July 1 of each year for room and board rates for nursing home residents. The Managed Care Plan shall use the published hospice rates as a minimum payment level for all future payments.
- (a) Participating hospices shall maintain their active Medicaid enrollment and submit room and board cost logs to the Agency.
- (b) For changes in hospice per diem and room and board payment rates that apply prospectively, the following process shall be used:

- i. The Agency will annually reconcile between the hospice per diem and room and board payment rates used in the capitation rates paid and the actual published payment rates. This hospice-specific reconciliation will be performed using the Managed Care Plan's own utilization, as reflected through encounter data that covers the capitation rate period dates of services with at least four (4) months of claims run out.
 - ii. The Managed Care Plan shall review and provide written comments or a letter of concurrence to the Agency within forty-five (45) days after receipt of the reconciliation results. This reconciliation is considered final if the Managed Care Plan concurs with the result.
 - iii. Comments and errors identified are limited to the published rates reviewed and related Managed Care Plan hospice payments, and methodology, and/or calculations.
 - iv. If the Managed Care Plan or the Agency comments that such an error has occurred, a new forty-five (45) calendar review period shall start on the date the Managed Care Plan receives the Agency's final determination of the reconciliation results. The Agency's final determination of the reconciliation results shall be final and conclusive. The Managed Care Plan may dispute the Agency's decision as per Section XVI.I., Disputes, if it does not concur with the results.
 - v. If the Managed Care Plan does not provide comments within the forty-five (45) calendar day period, no further opportunity for review consideration will be provided.
- (3) Patient Responsibility Reconciliation. The Managed Care Plan shall have its annual patient responsibility collections and HCBS waiver service costs report reviewed annually to verify the patient responsibility collections on a per capita basis did not exceed the cost of HCBS services. If the per capita patient responsibility collections exceed the HCBS waiver costs, the Agency will adjust the capitation to correct the Managed Care Plan overpayment.
- (4) Nursing Facility, Hospice and Patient Responsibility Collection Reconciliation Schedule. The Agency will announce the reconciliation schedule after the close of each capitation rate period. The Managed Care Plan shall respond to any Agency requests for additional information concerning the reconciliation within fifteen (15) days of notification.
- (5) Actual hospice payments shall be reconciled by the Agency to ensure actual claim payments are, at a minimum, the same as Medicaid fee-for-service (FFS) claim payments. Any Managed Care Plan provider payments to hospices in excess of FFS claim payment will not be reimbursed by the agency or in any way increase per member per month payment to the Managed Care Plan in any current or future capitation rate setting period. The Managed Care Plan accepts and assumes all risks of excess payments as a cost of doing business and cannot seek additional Medicaid payments for such business decisions. Any inadvertent payments made by the Agency to a

Managed Care Plan in excess of the FFS amount shall be overpayments and shall be recouped.

7. Community High Risk Pool (CHRP)

- a. The Community High Risk Pool (CHRP) for the SMMC Long-Term Care (LTC) program, implemented July 1, 2014, recognizes the disproportionate enrollment of high cost home and community-based (HCBS) recipients. The CHRP operates as a revenue neutral redistribution of plan reimbursement associated with community enrollees. The risk pool is funded through a small withhold amount applied to the pre-transition adjusted HCBS enrollment for the LTC contractor. Encounter data submissions are required in accordance with **Attachment II**, Core Contract Provisions, Section VIII, Administration and Management, E., Encounter Data Requirements. The Agency shall analyze the LTC encounter data submitted by the LTC plans.
 - (1) Only HCBS services will be used to evaluate the SMMC LTC risk pool for an enrolled recipient.
 - (2) Costs associated with nursing home services and hospice services are explicitly excluded from the distribution of the risk pool.
- b. Effective July 1, 2014, the Agency will establish a withhold per-member-per-month (PMPM) on a quarterly basis.
 - (1) The withhold PMPM will use only state-plan or waiver approved services and exclude nursing facility and hospice services.
 - (2) The CHRP will be established by SMMC LTC region.
 - (3) The Agency may adjust the PMPM withhold value on a quarterly basis as necessary.
 - (4) The Agency shall communicate the terms of the CHRP including the threshold and coinsurance amount each quarter.
 - (5) The established CHRP withhold will be applied to the pre-transition HCBS enrollment on a monthly basis.
- c. The Agency will distribute the funds in the CHRP in proportion to each LTC Plan's reported or Agency adjusted expenditures in excess of the CHRP threshold average PMPM for HCBS recipients for the quarterly period.
 - (1) The Agency will utilize encounter data submitted by the LTC Plan and the enrollment maintained by the Agency to evaluate LTC plan expenditures for the purpose of distributing the CHRP funds. Encounter data shall be submitted in accordance with Attachment, II, Core Contract Provisions, Section VIII, Administration and Management, E., Encounter Data Requirements.

- (2) The Agency shall aggregate the qualified service expenditures from the encounter data by LTC Plan for the quarter based on incurred date reported on the encounter data for HCBS recipients who were eligible on the date of service. The Agency, at its discretion, may reprice encounter data based on what the Agency would have paid for the same services under fee-for-service.
 - (3) The first CHRP distribution will cover the months of July and August 2014, for incurred dates paid through November 2014, with payment in December 2014, after which distributions will occur every three (3) months) using the following schedule:
 - (a) February Disbursement – Claims incurred September – November, paid and submitted through January;
 - (b) May Disbursement – Claims incurred December – February, paid and submitted through April;
 - (c) August Disbursement – Claims incurred March – May, paid and submitted through July; and
 - (d) November Disbursement – Claims incurred June – August, paid and submitted through October.
 - (4) At the end of each twelve (12) month period, in the event the eligible expenditures for the CHRP are less than the total amount withheld the balance of the withheld amount less any disbursement for eligible expenditures will be refunded to the LTC Plans participating in the region
 - (5) At the end of each twelve (12) month period, in the event the LTC Plan(s) in a region do not have any HCBS recipients whose expenditures meet the threshold the withheld amounts will be refunded to the LTC Plans participating in the region.
 - (6) At the end of each twelve (12) month period, the Agency will close the funds, eliminating any carry over balances, and return any unused portion of each regional fund to the LTC Plans operating in that region on a per member basis. The Agency, at its discretion, may distribute any unused portion of the funds from the pool before the end of the twelve (12) month period.
- d. The Agency may adjust prior CHRP distributions if the encounter data used for the original CHRP distribution has changed through adjustments submitted in the encounter data that may include but are not limited to voided and replaced encounters submitted by the LTC Plans or a recipients retro-active disenrollment from the SMMC LTC program. Twelve (12) months after the end of the quarter, the Agency will make no further post-payment adjustments.

Section X. Financial Requirements

A. Insolvency Protection

There are no additional insolvency provisions unique to the LTC managed care program.

B. Surplus

There are no surplus provisions unique to the LTC managed care program.

C. Interest

There are no additional interest provisions unique to the LTC managed care program.

D. Third Party Resources

1. Patient Responsibility

- a. The Managed Care Plan is responsible for collecting patient responsibility as determined by DCF and shall have policies and procedures to ensure that, where applicable, enrollees are assessed for and pay their patient responsibility. Some enrollees have no patient responsibility either because of their limited income or the methodology used to determine patient responsibility.
- b. The Managed Care Plan may transfer the responsibility for collecting its enrollees' patient responsibility to residential providers and compensate these providers net of the patient responsibility amount. If the Managed Care Plan transfers collection of patient responsibility to the provider, the provider contract shall specify complete details of both parties' obligations in the collection of patient responsibility. The Managed Care Plan shall either collect patient responsibility from all of its residential providers or transfer collection to all of its residential providers.
- c. The Managed Care Plan shall have a system in place to track the receipt of patient responsibility at the enrollee level irrespective of which entity collects the patient responsibility. This data shall be available upon request by the Agency. The Managed Care Plan or its providers shall not assess late fees for the collection of patient responsibility from enrollees.
- d. The Managed Care Plan shall submit a Patient Responsibility Report annually, in accordance with Section XIV, Reporting Requirements, and the Managed Care Plan Report Guide. If an enrollee's patient responsibility exceeds the reported Medicaid Home and Community Based service expenditure, the Agency will employ the reconciliation process detailed in Section IX.B., Payment Provisions, to determine if a payment adjustment is required.

E. Assignment

There are no additional assignment provisions unique to the LTC managed care program.

F. Financial Reporting

There are no additional financial reporting provisions unique to the LTC managed care program.

G. Inspection and Audit of Financial Records

There are no additional inspection provisions unique to the LTC managed care program.

Section XI. Sanctions

A. Contract Violations and Non-Compliance

There are no additional provisions unique to the LTC managed care program.

B. Performance Measure Action Plans (PMAP) and Corrective Action Plans (CAP)

There are no additional PMAP and/or CAP provisions unique to the LTC managed care program.

C. Performance Measure Sanctions

1. The Agency may sanction the Managed Care Plan for failure to achieve minimum performance scores on performance measures specified by the Agency after the first year of poor performance. The HEDIS measure will be compared to the National Committee for Quality Assurance HEDIS National Means and Percentiles. The Agency-defined measures have threshold rates (percentages) that may trigger a sanction. The Survey-based measures have threshold average ratings (from 0-10) that may trigger a sanction.

Performance Measure Sanction Table – Effective 8/01/2013 – 8/31/2018	
HEDIS Measures	Rate and applicable sanction
Care for Older Adults	Rate < 25 th percentile - immediate monetary sanction and PMAP may be imposed Rate < 50 th percentile - PMAP may be required
Agency-defined Measures	Rate and applicable sanction
Required Record Documentation – numerators 1-4	Rate < 85% - immediate monetary sanction and PMAP may be imposed Rate < 90% - PMAP may be required
Face-to-Face Encounters	
Care Manager Training	
Timeliness of Service	

Survey-based Measures	Average rating and applicable sanction
Satisfaction with Long-term Care Plan	Rate 4.0 or lower – immediate monetary sanction and PMAP may be imposed Rate 5.0 or lower – PMAP may be required
Satisfaction with Care Manager	
Rating of Quality of Services	

2. Monetary sanctions: The Managed Care Plan may receive a monetary sanction for measures for which their scores meet the thresholds given in the above table for the first offense. Managed Care Plans shall receive a monetary sanction for measures for which their scores meet the thresholds given in the above table for the second offense and subsequent offenses. For the HEDIS and Agency-defined measures, if the Health Plan has a score/rate that triggers an immediate monetary sanction, the Health Plan may be sanctioned \$500 for each case in the denominator not present in the numerator. If the Health Plan fails to improve these performance measures in subsequent years, the Agency will impose a sanction of \$1,000 per case. For each Survey-based measure in the table above for which the Health Plan has an average rate that triggers an immediate monetary sanction, the Health Plan may be sanctioned \$10,000.
3. The Agency may amend the performance measure thresholds and sanctions and will notice the Managed Care Plans prior to the start of the applicable measurement year or with an amount of notice mutually agreed upon by the Agency and the Managed Care Plans. Amendments to the performance measure thresholds and sanctions may include, but are not limited to, adding and removing performance measures from the sanction strategy, changing thresholds for sanctions, and changing the monetary amounts of sanctions.

D. Other Sanctions

There are no additional provisions unique to the LTC managed care program.

E. Notice of Sanctions

There are no additional notice provisions unique to the LTC managed care program.

F. Dispute of Sanctions

There are no additional disputes provisions unique to the LTC managed care program.

Section XII. Special Terms and Conditions

The Special Terms and Conditions in Section XII, Special Terms and Conditions apply to all LTC Managed Care Plans and Comprehensive LTC Managed Care Plans unless specifically noted otherwise in this Exhibit.

Section XIII. Liquidated Damages

A. Damages

Additional damages issues and amounts unique to the LTC managed care program are specified below.

B. Issues and Amounts

If the Managed Care Plan fails to perform any of the services set forth in the Contract, the Agency may assess liquidated damages for each occurrence listed in the LTC Issues and Amounts Table below.

Liquidated Damaged Issues and Amounts		
#	LTC PROGRAM ISSUE	DAMAGES
1	Failure to comply with the medical/case records documentation requirements pursuant to the Contract.	\$500 per plan of care for HCBS enrollees that does not include all of the required elements. \$500 per member file that does not include all of the required elements. \$500 per face-to-face visit where the care coordinator fails to document the specified observations. These amounts shall be multiplied by two (2) when the Managed Care Plan has not complied with the caseload and staffing requirements
2	Failure to comply with the timeframes for developing and approving a plan of care for transitioning or initiating home and community-based services as described in the Contract.	\$500 per day, per occurrence.
3	Failure to have a face-to-face contact between the Managed Care Plan case manager and each enrollee at least every ninety (90) days or following a significant change as described in the Contract.	\$5,000 for each occurrence.
4	Failure to complete in a timely manner minimum care coordination contacts required for persons transitioned from a nursing facility to a community placement as described in the Contract.	\$500 per day, per occurrence.
5	Failure to meet the performance standards established by the Agency regarding missed visits for personal care, attendant care, homemaker, or home-delivered meals for enrollees (referred to herein as "specified HCBS") pursuant to the Contract.	\$500 per day, per occurrence.

Liquidated Damaged Issues and Amounts		
#	LTC PROGRAM ISSUE	DAMAGES
6	Failure to develop a person-centered plan of care for an enrollee that includes all of the required elements, and which has been reviewed with and signed and dated by the member or authorized representative, unless the member/representative refuses to sign, which shall be documented in writing as described in the Contract.	\$500 per deficient plan of care. These amounts shall be multiplied by two (2) when the Managed Care Plan has not complied with the caseload and staffing requirements specified in the Contract.
7	Failure to meet any timeframe regarding care coordination for members as described in the Contract.	\$250 per calendar day, per occurrence.
8	Failure to follow-up within seven (7) days of service authorization for the initial care plan to ensure that services are in place as described in the Contract	\$5,000 for each occurrence.
9	Failure to provide a copy of the care plan to each enrollee's PCP and residential facility in the timeframes as described in the Contract.	\$500 per calendar day.
10	Failure to report enrollees that do not receive any Long-term Care services listed in the approved care plan for a month, as described in the Contract.	For each enrollee, an amount equal to the capitation rate for the month in which the enrollee did not receive Long- term Care services.
11	Failure to comply with obligations and time frames in the delivery of annual face-to-face reassessments for level of care as described in the Contract.	\$1,000 per occurrence.
12	Failure to ensure that for each enrollee all necessary paperwork is submitted to DCF within the timeframes included in the Contract.	\$100 assessed for each enrollee who temporarily loses eligibility (for less than 60 days) pursuant to a redetermination.
13	Failure to follow-up within twenty-four (24) hours of initial contact by the Florida Adult Protective Services Unit pursuant to the Contract	\$5,000 for each occurrence
14	Performance Measure: Care for Older Adults	Failure to achieve a rate at the 25 th percentile (per the NCQA National Means and Percentiles, Medicare) or higher will result in liquidated damages of \$500 per each case in the denominator not present in the numerator for the measure. If the Managed Care Plan's rate remains below the 25 th percentile in subsequent years, damages will be \$1,000 per case.

Liquidated Damaged Issues and Amounts		
#	LTC PROGRAM ISSUE	DAMAGES
15	Performance Measure: Required Record Documentation – numerators 1-4	<p>Failure to achieve a rate of 90% or higher for each of these measures will result in liquidated damages of \$500 per each case in the denominator not present in the numerator for the measure.</p> <p>If the Managed Care Plan's rate remains below 90% in subsequent years, damages will be \$1,000 per case.</p>
16	Performance Measure: Face-to-Face Encounters	<p>Failure to achieve a rate of 90% or higher for each of these measures will result in liquidated damages of \$500 per each case in the denominator not present in the numerator for the measure.</p> <p>If the Managed Care Plan's rate remains below 90% in subsequent years, damages will be \$1,000 per case.</p>
17	Performance Measure: Care Manager Training	<p>Failure to achieve a rate of 90% or higher for each of these measures will result in liquidated damages of \$500 per each case in the denominator not present in the numerator for the measure.</p> <p>If the Managed Care Plan's rate remains below 90% in subsequent years, damages will be \$1,000 per case.</p>
18	Performance Measure: Timeliness of Service	<p>Failure to achieve a rate of 90% or higher for each of these measures will result in liquidated damages of \$500 per each case in the denominator not present in the numerator for the measure.</p> <p>If the Managed Care Plan's rate remains below 90% in subsequent years, damages will be \$1,000 per case.</p>
19	Performance Measure: Satisfaction with Care Manager and LTC Managed Care Plan	<p>Failure to achieve a rate of 90% or higher for each of these measures will result in liquidated damages of \$500 per each case in the denominator not present in the numerator for the measure.</p> <p>If the Managed Care Plan's rate remains below 90% in subsequent years, damages will be \$1,000 per case.</p>

Liquidated Damaged Issues and Amounts		
#	LTC PROGRAM ISSUE	DAMAGES
20	Performance Measure: Rating of Quality of Services	<p>Failure to achieve a rate of 90% or higher for each of these measures will result in liquidated damages of \$500 per each case in the denominator not present in the numerator for the measure.</p> <p>If the Managed Care Plan's rate remains below 90% in subsequent years, damages will be \$1,000 per case.</p>

Section XIV. Reporting Requirements

A. Managed Care Plan Reporting Requirements

1. Required Reports

The Managed Care Plan shall comply with all reporting requirements set forth in this Contract, including reports specific to LTC Managed Care Plans as specified in the Summary of Reporting Requirements Table below and the Managed Care Plan Report Guide.

Summary of Reporting Requirements		
Report Name	Plan Type	Frequency
Participant Direction (PDO) Roster Report	All LTC Plans	Monthly
Utilization Report	All LTC Plans	Quarterly
Case Management File Audit Report	All LTC Plans	Quarterly
Case Management Monitoring and Evaluation Report	All LTC Plans	Quarterly and Annually
Missed Services Report	All LTC Plans	Monthly
Case Manager Caseload Report	All LTC Plans	Monthly
Denial, Reduction or Termination of Services Report	All LTC Plans	Monthly
Enrollee Roster and Facility Residence Report	All LTC Plans	Monthly
Unable to Locate Report	All LTC Plans	Monthly
Level of Care Report	All LTC Plans	Quarterly
Patient Responsibility Report	All LTC Plans	Annually
Freedom of Choice Selection Report	All LTC Plans	Quarterly

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