

**Partnership Plan
Section 1115 Quarterly and Annual Report
Demonstration Year: 16 (10/1/2013 – 9/30/2014)
Federal Fiscal Quarter: 4 (07/01/2014 – 09/30/2014)**

I. Introduction

In July 1997, New York State received approval from the Centers for Medicare and Medicaid Services (CMS), for its Partnership Plan Medicaid Section 1115 Demonstration. The Partnership Plan Demonstration was originally authorized for a five year period and has been extended several times, most recently through December 31, 2014. The primary purpose of the initial Demonstration was to enroll a majority of the State’s Medicaid population into managed care. There have been a number of amendments to the Partnership Plan Demonstration since its initial approval in 1997.

CMS approved an extension on September 29, 2006 of New York’s 1115 Partnership Plan Waiver for the period beginning October 1, 2006 and ending September 30, 2010. CMS subsequently approved a series of short term extensions while negotiations continued on renewing the waiver into 2014. CMS approved three waiver amendments on September 30, 2011, March 30, 2012 and August 31, 2012, incorporating changes resulting from the recommendations of Governor Cuomo’s Medicaid Redesign Team.

New York State’s Federal-State Health Reform Partnership (F-SHRP) Medicaid Section 1115 Demonstration expired on March 31, 2014. In accordance with the April 1, 2011 Special Terms and Conditions (STC) Number 50, a final report for the F-SHRP demonstration was submitted to CMS on June 30, 2014. The state has contracted with Rockefeller Institute of Government (RIG) for the F-SHRP demonstration final evaluation report which is due to CMS by April 1, 2015. Populations in the F-SHRP were transitioned into the 1115 Partnership Plan Waiver.

On May 28, 2014, New York State submitted an application requesting an extension of the Partnership Plan 1115 Demonstration for five years. On May 30, 2014, CMS accepted New York’s application as completed and posted the application for a 30 day public comment period. This application will extend the Demonstration until December 31, 2019, thus allowing New York to reinvest federal savings generated by the Medicaid Redesign Team reform initiatives, and to reinvest in the state’s health care system currently authorized by the Partnership Plan.

II. Enrollment : Fourth Quarter

Partnership Plan- Enrollment as of September 2014

| Demonstration Populations (as hard coded in the CMS 64) | Current Enrollees (to date) | # Voluntary Disenrolled in Current Quarter | # Involuntary Disenrolled in Current Quarter |
|---|--|---|---|
| Population 1 - TANF Child 1 - 20 years in Mandatory Counties as of 10/1/06 | 1,524,452 | 16,648 | 76,590 |
| Population 2 - TANF | 365,140 | 5,799 | 20,872 |

| | | | |
|--|----------------|---------------|---------------|
| Adults aged 21 through 64 in mandatory MC counties as of 10/1/06 Population 2 - TANF Adults 21 - 64 years in Mandatory Counties as of 10/1/06 | | | |
| Population 3 - TANF Child 1 - 20 ('new' MC Enrollment) | 86,793 | 1,373 | 4,773 |
| Population 4 - TANF Adults 21 - 64 ('new' MC Enrollment) | 21,144 | 464 | 1,823 |
| Population 5 - Safety Net Adults | 992,217 | 15,565 | 33,256 |
| Population 6 - Family Health Plus Adults with Children | 156,913 | 5,137 | 25,944 |
| Population 7 - Family Health Plus Adults without Children | 41 | 21 | 50 |
| Population 8 - Disabled Adults and Children 0 - 64 (SSI 0-64 Current MC) | 55,189 | 1,069 | 295 |
| Population 9 - Disabled Adults and Children 0 - 64 (SSI 0-64 New MC) | 249,149 | 7,159 | 1,943 |
| Population 10 - Aged or Disabled Elderly (SSI 65+ Current MC) | 3,350 | 249 | 41 |
| Population 11 - Aged or Disabled Elderly (SSI 65+ New MC) | 48,672 | 2,444 | 554 |

Partnership Plan Waiver – Voluntary and Involuntary Disenrollment

| | |
|---|---------------|
| | |
| Total # Voluntary Disenrollments in Current Demonstration Year¹ | 55,928 |

Reasons for voluntary disenrollments include: enrollment in another plan; approved enrollee request to qualify as either exempt or excluded; relocation to residence outside county of enrollment; and Local Department of Social Services (LDSS) approval to disenroll based upon appropriate cause.

Involuntary Disenrollments

¹ Demonstration year to date: 10/01/2013– 09/30/2014

| |
|---|
| Total # Involuntary Disenrollments in Current Demonstration Year¹ |
|---|

| |
|----------------|
| 166,141 |
|----------------|

Reasons for involuntary disenrollments include: loss of Medicaid eligibility; eligibility transfers between Family Health Plus (FHPlus) and Medicaid; inappropriate enrollment and death.

III. Outreach/Innovative Activities

The New York State Department of Health (the Department), Maximus and the local departments of social services (LDSS) continue to provide education and outreach in the areas of enrollment and health plan selection to Medicaid eligible individuals that are not enrolled in managed care.

A. Mandatory Managed Care Expansion

The expansion of mandatory Medicaid managed care is complete, with programs operating in all counties of the state, including New York City.

B. Outreach Activities

The total Medicaid eligible population in New York City is approximately 3.2 million. Currently, 2.6 million are enrolled in a managed care plan, including eligible SSI recipients.

New York Medicaid Choice (NYMC) Field Customer Services Representatives (FCSRs) were conducting outreach activities at 6 HIV/AIDS Services Administration (HASA) sites, 12 Medicaid offices and 17 Job Centers.

The Education and Enrollment Driven Referral (EED) process was responsible for 88% of 14,000 consumers engaged by NYMC in the last quarter.

The overall activities at Medicaid offices remained constant averaging five consumers per work session. A work session covers a half day of work activities.

A total of 2,481 presentations were scheduled by NYMC. Of these, 556 or 23% of the total scheduled presentations were observed by the Contract Monitoring Unit (CMU).

IV. Operational/Policy Developments/Issues

A. Partnership Plan Waiver Amendments

CMS granted approval of several amendments to the Waiver effective January 1, 2014. These changes coincided with continued implementation of the Affordable Care Act.

CMS approved an expenditure authority to allow the state to claim federal matching dollars for the DSHP, which provides premium subsidies to parents and caretaker relatives with incomes between 138%-150% Federal Poverty Level (FPL), who enroll in a Qualified Health Plan (QHP) using Advanced Premium Tax Credits (APTC). Eligibility for this premium assistance is

determined by New York's Marketplace, and the majority of enrollees were determined during the open enrollment period that concluded April 15, 2014.

An additional DSHP was approved that allows federal matching dollars to provide FHPlus benefits to parents and caretaker relatives up to 150% FPL, for continued funding through the full phase-out of the program. The transition is ongoing and all recipients will be out of the program by December 31, 2014.

B. Health Plans

- Effective July 1, 2014, WellCare of New York, Inc. expanded its Medicaid Managed Care and FHPlus contract service area to include Erie County.
- Effective September 1, 2014, New York State Catholic Health Plan, Inc. expanded its Medicaid Managed Care and FHPlus contract service area to include Jefferson County.
- Changes to Certificates of Authority (COA) :
 - Fidelis-COA updated 09/01/2014- approval for Medicaid, FHPlus, CHPlus expansion into Jefferson County.

C. Surveillance Activities

Surveillance activity for 4th Quarter FFY 2013-2014 (7/1/14 to 9/30/14) included the following:

- Hudson Health Plan, Inc.: A Targeted Operational Survey completed September 30, 2014. Plan was found to be in compliance.
- MetroPlus and MetroPlus HIV SNP: A joint Targeted Operational Survey was completed June 23, 2014. The Plans were found to be in compliance.
- Member Services Focus Surveys were completed on eleven (11) Managed Care Plans during the 4th Quarter FFY 2014.
- Seven of 11 plans were found to be in compliance: MetroPlus Health Plan, Inc. – SNP, VNS Choice – SNP, WellCare of New York, Inc., United Healthcare of New York, Inc., Hudson Health Plan, Inc., Affinity Health Plan, Inc., and HealthFirst PHSP, Inc.
- Four of 11 plans were issued statements of deficiency and acceptable Plans of Correction have been received: MetroPlus Health Plan, Inc., AMERIGROUP New York, LLC, Amida Care, Inc., and New York State Catholic Health Plan, Inc.
- Provider Directory Information Surveys were completed on fifteen (15) Managed Care Plans during the 4th Quarter FFY 2014.
 - Nine of 15 were found to be in compliance: AMERIGROUP New York, LLC, HealthFirst PHSP, Inc., Hudson Health Plan, Inc., MetroPlus Health Plan, Inc., MVP Health Plan, Inc., New York State Catholic Health Plan, Inc., Today's Option of New York, Inc., United Healthcare of New York, Inc., and WellCare of New York, Inc.

- Six of 15 were issued Statements of Deficiency and Acceptable Plans of Correction have been received: Amida Care, Inc., Capital District Physician's Health Plan, Inc., Excellus Health Plan, Inc., Independent Health Association, Inc., Univera Community Health, Inc., and VNS Choice – SNP.
- Provider Participation –Directory Surveys were completed on nine Managed Care Plans during the 4th Quarter FFY 2014.
 - One of nine was found to be in compliance: MetroPlus Health Plan, Inc
 - Eight of nine were issued Statements of Deficiency and Acceptable Plans of Correction have been received: Amida Care, Inc., Capital District Physician's Health Plan, Inc., Excellus Health Plan, Inc., Independent Health Association, Inc., Today's Option of New York, Inc., Univera Community Health, Inc., VNS Choice – SNP, and WellCare of New York, Inc.

V. Waiver Deliverables

A. Medicaid Eligibility Quality Control (MEQC) Reviews

- MEQC 2009 – Review of Medicaid Eligibility Determinations and Re-Determinations for Single and Childless Couple Individuals Determined Ineligible for Temporary Assistance

With CMS approval, the Pacific Health Policy Group (PHPG), the contractor hired to assist the Department with multiple MEQC reviews, implemented an alternate approach for generating the necessary universes of cases. A revised approach was necessary because the availability of DOH system staff continued to be limited due to other system priorities (i.e., system work related to ACA and the NY State of Health Marketplace). Implementation of the revised approach began in September 2013. The process continued for several quarters because the alternate universe identification process was labor intensive and very time consuming.

Initial, peer and supervisory reviews were completed for almost all of the cases during the quarter ending September 30, 2014. During the next quarter, it is anticipated that quality control reviews will be conducted and preliminary findings will be provided to the appropriate local Department of Social Services (LDSS) offices for feedback.

- MEQC 2010 – Review of Medicaid Eligibility Determinations and Redeterminations for Persons Identified as Having a Disability

A summary report was forwarded to the regional CMS office on January 31, 2014.

- MEQC 2011 – Review of Medicaid Self Employment Calculations

A summary report was forwarded to the regional CMS office on June 28, 2013.

- MEQC 2012 – Review of Medicaid Income Calculations and Verifications

A summary report was forwarded to the regional CMS office on July 25, 2013.

- MEQC 2013 – Review of Documentation Used to Assess Immigration Status and Coding

A summary report was forwarded to the regional CMS office on August 1, 2014.

B. Benefit Changes/Other Program Changes

Twelve Month Continuous Coverage

In 2007, revisions were made to Chapter 58 of the New York State Social Services Law to provide continuous coverage for certain Medicaid beneficiaries for a period of twelve months from the date of initial eligibility and subsequent redetermination of eligibility. The intent of the policy is to provide stability and continuity of coverage and care to certain adults in the same way it has for children on Medicaid. Twelve months continuous coverage was effective January 1, 2014, for New York's Marketplace for most Medicaid beneficiaries in Modified Adjusted Gross Income (MAGI) categories, including pregnant women, parents/caretaker relatives, children and other adults under age 65.

C. Federally Qualified Health Services (FQHC) Lawsuit

The Court issued a decision October 7th that granted summary judgment to the Department on several issues. In the first instance, the Court held that the Department could require dental visits to FQHCs to be bundled for the purpose of reimbursement. "Bundling" is the practice of offering a single reimbursement payment for all services provided during a single patient visit. The Department sought to require all dental services that could be provided during a single patient visit, actually be performed during such visit. The Court agreed. The Court also upheld NY specific PPS rates for offsite and group psychotherapy services. Delving deeper into reimbursement issues, the Court found that the Department appropriately calculated the wrap payment for FQHC's and allowed the Department to do so prospectively. The wrap payment is the difference between the PPS payment that the FQHC is statutorily entitled to and the payment negotiated by the Managed Care Organization. The Court next addressed denials of payment by MCOs and the Department's responsibility thereof. The Court found that where an MCO denies payment, the Department must provide a complaint procedure for the aggrieved FQHC. Further, when an FQHC has been denied payment, the Department is responsible for the full PPS rate and not just the wrap payment. The Department had submitted a remedial plan for complaint resolution that was approved by the lower court and that plan was not disturbed by the Second Circuit. The Second Circuit returned to the lower court the question of how payment denials may affect the prospective wrap payment calculation, but otherwise upheld the lower court in all respects. Presently, the Department will not be appealing this decision; however, the plaintiff has filed for a rehearing and en banc review. If such review is granted, the Department will object to the adverse rulings related to FQHC complaint resolution and reimbursement of the PPS rate for improperly denied claims.

D. Managed Long Term Care Program

All MLTCP models provide a person-centered plan of care, integration of health care, environmental and social services and a supportive transition from the previous, fragmented, FFS process to coordinated managed care.

1. Accomplishments

- Expanded MLTCP availability. During the period July 2014 through September 2014 availability was expanded by approving one Service Area Expansion that extended to three new counties, along with one new Certificate of Authority. Total expansion of availability for the annual period of October 2013 through September 2014: two new Certificates of Authority and eight Service Area Expansions.
- New York's Enrollment Broker, NYMC, conducted the MLTC Post Enrollment Outreach Survey which contains specific questions specifically designed to measure the rate at which consumers are able to maintain their relationship with their personal care aide or home attendant. For the period July 2014 through September 2014 post enrollment surveys were completed for 652 enrollees and 80% of respondents are receiving services from the same caregivers. Post enrollment surveys conducted over the annual period October 2013 through September 2014 reflect that 82% of respondents received services from the same caregivers.
- During the period July 2014 through September 2014 the complaint hotline staffing was further expanded, and the unit is now referred to as the Technical Assistance Center (TAC). A BML email address was created to enhance access to the TAC, and a plan will be formulated to communicate this electronic access to appropriate parties. Internal TAC quality protocols were developed to monitor consistency of investigations and timely resolution. This will be utilized to identify areas for improvement. Over the annual period October 2013 through September 2014, the TAC has developed internal operational protocols to ensure all staff are trained and receive information on pertinent changes in a timely and uniform basis.
- Activity for the period July 2014 through September 2014: the original MLTC timeline to achieve transition to mandatory transition throughout the State by December 2014 was revised and no additional counties transitioned during the month of July 2014. A revised transition timeline was submitted to CMS which projects transition for the remainder of the state to conclude during February 2015. With CMS approval, we have begun expansion of mandatory MLTC to include Dutchess, Montgomery, Broome, Fulton, and Schoharie during August 2014; Delaware and Warren during September 2014. CMS approval was requested to transition Niagara, Madison, and Oswego during October, 2014; and planning with the districts and MLTC plans commenced.
- Annual activity during the period October 2013 through September 2014 reflects mandatory transition activities to MLTC as follows:
 - October 2013: continued activity in Rockland and Orange, which began during September 2013;
 - December 2013: Albany, Erie, Monroe, Onondaga;
 - April 2014: Columbia, Putnam, Sullivan, Ulster;
 - May 2014: Rensselaer, Cayuga, Herkimer, Oneida;

- June 2014: Greene, Schenectady, Washington, Saratoga;
- August 2014: Dutchess, Montgomery, Broome, Fulton, Schoharie;
- September 2014: Delaware, Warren.

Transition Plan for Remainder of State, subject to CMS approval and established capacity:

| | |
|----------|--|
| October | Niagara, Madison, Oswego |
| November | Chenango, Cortland, Livingston, Ontario, Steuben, Tioga, Tompkins, Wayne |
| December | Genesee, Orleans, Otsego, Wyoming |
| January | Chautauqua, Chemung, Seneca, Schuyler, Yates Allegany, Cattaraugus |
| February | Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, St. Lawrence, |

Enrollment

- Total enrollment in MLTC Partial Capitation Plans (see attachment 3) for the period October 2013 through September 2014 is 123,566. Plan specific enrollment on a monthly basis for the period is submitted in the attachment. For the same period, 32,903 individuals who were being transitioned into Managed Long Term Care from fee for service made an affirmative choice.
2. Significant Program Developments
- Developed and expanded information available to participants selecting plans to include a Consumer Guide for Plans in NYC based on assessment data submitted. This Consumer Guide is also being developed for other regions of the state. During the period October 2013 through September 2014, Consumer Guides were developed for other regions of the State: Central, Hudson Valley, Long Island, Northeast, and Western.
 - Enhanced oversight of Social Day Care utilization and plan contract monitoring continues.
 - Submitted preliminary proposal to develop independent clinical assessment process for MLTC enrollment. Formulating process guidelines to inform development of strategic goals and objectives. During the second quarter completed steps to finalized the infrastructure, including roles and responsibilities, with goal to operationalize the process by October, 2014 in the New York City region. Refining work-plan to finalize an implementation schedule that will lead to statewide operations. During the period July 2014 through September 2014 final steps were taken to operationalize the process by the target date of October 1, 2014.

Outreach, training and education was conducted with stakeholders through a series of web based sessions.

- Conducted analysis of complaints received by Technical Assistance Center and identified plan specific trends and problem area. Formulated process to commence an in depth focus audit of plan during third quarter. Developing strategies to further expand the focus audit activities. During the period July 2014 through September 2014 in depth focus audit was conducted, findings will be released next quarter.
- Completed development of a Request for Application to address the requirement for an Independent Consumer Support Program. Review and selection process has commenced and remains ongoing. Vendor has been selected and work plan is being finalized. Initial roll out will begin during next quarter.
- During the month of September 2014, developed concept to create a plan member services 'secret shopper' process. A standardized survey tool will be designed to test the effectiveness of a plan's member services toll free access phone number. Areas of focus will be quality of access, accuracy of information provided. Standards will be created and protocols developed to for potential statement of deficiency and corrective action plan.

3. Issues and Problems

Hurricane Sandy had a devastating impact on New York State's health resources and the aftermath of the storm continues to affect health care needs and outcomes.

- In response to various allegations of improprieties relating to utilization of Social Day Care in MLTC, SDOH, the Attorney General's Office and the Office of the Medicaid Inspector General are cooperating in ongoing audits and investigations. Focused activities are being expanded on an ongoing basis as issues are identified.

4. Summary of Self Directed Options

This policy document was created in conjunction with a CDPAS Workgroup reflective of numerous stakeholders that met a number of times to discuss issues and develop policies for this new benefit:

- **Contracting During the Transition Period:** For the period October 1 2012- September 30, 2013 (Transition Period), Health Plans are required to contract with Fiscal Intermediaries (FIs) that currently have a contract or MOU with a LDSS and currently provide fiscal intermediary services to the health plan's member(s). The rate of payment must be at least the FFS rate of payment provided for in the contract or MOU between the FI and the LDSS. The MLTC/MCO is not required to contract with FIs unwilling to accept the applicable Medicaid FFS rate as long as the MLTC/MCO maintains two (2) FIs for each county. To adequately meet the needs of members who are newly assessed and considered eligible to receive CDPAS, the MLTC/MCO may also include in the MLTC/MCO's network FIs that do not have a contract or MOU with the LDSS.
- **Consumer Continuity of Care and Choice during the Transition Period:** The Department provided a list of FIs currently providing FI services to FFS and MCO's enrolled members.

To promote and maintain consumer choice, members may, during the Transition Period, change to any FI in the county that has a contract with the MCO.

If, at the time of transition, an FI serves less than five (5) members in a county, MLTC/MCOs may encourage the members to use an alternative FI to minimize the number of FIs an MLTC/ MCO must have under contract. However, during the transition period, the expectation is that a member is not required to transition to a different consumer directed personal assistant due to the lack of an MLTC/MCO/FI contract. MLTC/ MCOs are prohibited from coercing or threatening the member or the worker to change FIs.

- Network Adequacy during the Transition Period: An MLTC/ MCO that does not have members participating in CDPAS in a particular LDSS must have at least two (2) FI contracts. This will ensure that members will have the option to participate in CDPAS.
 - FI Contracting and Network Adequacy after the Transition Period: Beginning October 1, 2013, MLTC/MCOs may contract with two (2) FIs to cover members in multiple counties.
 - Model FI Contract and Department of Health Review: The Department supports the use of the MLTC/MCO/FI model contract developed by the parties. However, each MLTC/MCO/FI may negotiate the terms of the model contract, except that no agreement may contain provisions that would be considered management functions under 10 NYCRR 98-1.11 or a provider agreement per 10 NYCRR 98-1 and the Provider Contract Guidelines without the express written approval of the Department. The MCO were required to submit to the Department the name(s) of the contracted FIs for each county prior to October 1, 2012 and the fourth quarter of each year thereafter, or upon request of the Department.
 - Acknowledgement of the Roles and Responsibilities of the Consumer/Designated Representative: Each member prior to receiving CDPAS must sign a consumer acknowledgement of the roles and responsibilities of the MLTC/MCO and the member. The Department has provided a sample acknowledgment form with the minimum requirements for its use by the MLTC/MCO.
 - Transition of Consumer Direct Services continues throughout the mandatory counties.
 - Department is preparing guidelines to share with all MLTCs regarding Consumer Direct Services to supplement existing educational materials shared previously.
 - Posting of Consumer Direct Services guidelines to the Department of Health website for clarification.
5. Required Quarterly Reporting
- **Critical incidents:** There were 214 critical incidences reported for the period July 2014 through September 2014. For the period October 2013 through September 2014 reporting of critical incidents has varied from 85 to 215. During the next quarter the Department will review criteria for reporting elements to identify potential areas for improvement, and determine if there are seasonal trends to consider.
 - **Grievance and Appeals Annual Summary:** During the period January 2014 through March 2014 the Department instituted additional quality control measures to oversee the submission

of the data. Key areas of concern are consistently dissatisfaction with quality of home care and transportation. Once the data collection improved, numbers have been fairly consistent quarter to quarter. During the quarter July 2014 through September 2014, further analysis began towards identification of trends and referral to plan managers to analyze and probe further with plan; with additional actions as indicated. This is a continuous process that will be monitored and utilized to increase the quality of data. The data does not include Fair Hearing information. Fair Hearing data has been available through the State agency that administers the process, and efforts are currently underway to develop a comprehensive data set and tracking system.

| | | | |
|----------------------------------|------|-----------------|-------------------|
| Period: 7/01/14 - 9/30/14 | | | |
| Grievances | | | |
| Total for this period: | | Resolved | Resolved % |
| # Same Day | 6810 | 6810 | 100% |
| # Standard/Expedited | 1207 | 935 | 77% |
| Total for this period: | 8017 | 7745 | 97% |

| | |
|--------------------------------------|----|
| Period: 7/01/14 - 9/30/14 | |
| Appeals | |
| Total appeals filed for this period: | |
| Total for this period: | 10 |

| | |
|--|--------------|
| Period: 7/01/14 - 9/30/14 | |
| Grievances | |
| Reason for Grievances | Total |
| Dissatisfaction with quality of home care (other than lateness or absences) | 1178 |
| # Same Day | 845 |
| # Standard | 333 |
| # Expedited | 0 |
| Home care aides late/absent on scheduled day of service | 627 |
| # Same Day | 522 |
| # Standard | 105 |
| # Expedited | 0 |
| Dissatisfaction with quality of day care | 11 |
| # Same Day | 4 |
| # Standard | 7 |
| # Expedited | 0 |
| Dissatisfaction with quality of other covered services | 381 |
| # Same Day | 231 |

| | |
|--|-------------|
| # Standard | 149 |
| # Expedited | 1 |
| Dissatisfaction with transportation | 4822 |
| # Same Day | 4566 |
| # Standard | 256 |
| # Expedited | 0 |
| Travel time to services too long | 12 |
| # Same Day | 10 |
| # Standard | 2 |
| # Expedited | 0 |
| Wait too long to get appointment or service | 48 |
| # Same Day | 15 |
| # Standard | 33 |
| # Expedited | 0 |
| Waiting time too long in provider's office | 10 |
| # Same Day | 9 |
| # Standard | 1 |
| # Expedited | 0 |
| Dissatisfaction with care management | 244 |
| # Same Day | 118 |
| # Standard | 126 |
| # Expedited | 0 |
| Dissatisfaction with member services and plan operations | 213 |
| # Same Day | 187 |
| # Standard | 26 |
| # Expedited | 0 |
| Dissatisfied with choice of providers in network | 33 |
| # Same Day | 30 |
| # Standard | 3 |
| # Expedited | 0 |
| Misinformed about plan benefits or rules by marketing or other plan staff | 4 |
| # Same Day | 3 |
| # Standard | 1 |
| # Expedited | 0 |
| Language translation services not available | 4 |
| # Same Day | 1 |
| # Standard | 3 |
| # Expedited | 0 |

| | |
|--|-------------|
| Hearing/vision needs not accommodated | 4 |
| # Same Day | 4 |
| # Standard | 0 |
| # Expedited | 0 |
| Disenrollment issues | 18 |
| # Same Day | 5 |
| # Standard | 13 |
| # Expedited | 0 |
| Enrollment issues | 7 |
| # Same Day | 3 |
| # Standard | 4 |
| # Expedited | 0 |
| Plan staff rude or abusive | 53 |
| # Same Day | 39 |
| # Standard | 14 |
| # Expedited | 0 |
| Provider staff rude or abusive | 71 |
| # Same Day | 63 |
| # Standard | 8 |
| # Expedited | 0 |
| Violation of other enrollee rights | 24 |
| # Same Day | 21 |
| # Standard | 3 |
| # Expedited | 0 |
| Denial of expedited appeal | 0 |
| # Same Day | 0 |
| # Standard | 0 |
| # Expedited | 0 |
| Other: | 253 |
| # Same Day | 134 |
| # Standard | 118 |
| # Expedited | 1 |
| Total for this period: | 8017 |
| # Same Day | 6810 |
| # Standard | 1205 |
| # Expedited | 2 |

| | |
|----------------------------------|--------------|
| Period: 7/01/14 - 9/30/14 | |
| Reason for Appeal | Total |

| | |
|--|-------------|
| Denial or limited authorization of service including amount, type or level of service | 152 |
| # of Standard Filed | 148 |
| # of Expedited Filed | 4 |
| Reduction, suspension or termination of previously authorized service | 1149 |
| # of Standard Filed | 961 |
| # of Expedited Filed | 188 |
| Denial in whole or part of payment for service | 4 |
| # of Standard Filed | 4 |
| # of Expedited Filed | 0 |
| Failure to provide services in a timely manner | 0 |
| # of Standard Filed | 0 |
| # of Expedited Filed | 0 |
| Failure of plan to act upon grievance or appeal of grievance in a timely manner | 0 |
| # of Standard Filed | 0 |
| # of Expedited Filed | 0 |
| Failure of plan to act upon appeal of plan action in a timely manner | 0 |
| # of Standard Filed | 0 |
| # of Expedited Filed | 0 |
| Other | 3 |
| # of Standard Filed | 2 |
| # of Expedited Filed | 1 |
| Total appeals filed for this period: | 1308 |
| # of Standard Filed | 1115 |
| # of Expedited Filed | 193 |

| | |
|--|----|
| Period: 7/01/14 - 9/30/14 | |
| Fraud and Abuse Complaints Reported during Quarter | 20 |

| | |
|--|----|
| Period: 7/01/14 - 9/30/14 | |
| Fraud and Abuse Complaints Reported during Quarter | 20 |

- Fraud and Abuse: For the period July 2014 through September 2014, there were 20 Fraud and Abuses cases reported. For the annual period of October 2013 through September 2014,

there were spikes noted in the second and third quarters relating to one organization's findings regarding a practitioner group.

- **Technical Assistance Center (TAC) Complaints:** For the period July 2014 through September 2014 the highest concentration of complaints were in the following areas:
 - Billing issues related to plan subcontracted provider claims
 - Member Dissatisfaction with Home Care or Network Providers
 - Referrals relating to durable medical equipment (DME)

During the annual period of October 2013 through September 2014, trends have consistently been in the areas of billing; regarding denied claims or confusion with billing practices. The TAC has provided assistance by educating providers and by facilitating communication between the provider and the MLTC plan, including facilitating regional representative to instruct and educate the provider. Throughout the annual period there was a 58% increase in the number of calls; corresponding directly to an increase in MLTC enrollment as well as increase in published materials that include the TAC Line number.

- **Assessment for enrollment:** For the period July through September 2014 the total number of assessments for enrollment performed by the plans is 20,646 with 1,330 who did not qualify to enroll in an MLTC plan. For the annual period October 2013 through September 2014; 8% of assessments conducted resulted in not qualifying for enrollment. The conflict free enrollment center will begin during October 2014, and operations will be incrementally expanded; therefore data collection will be adjusted to accommodate the new processes.
- **Referrals and 30 day assessment:** The establishment of the reporting system and training of Plans to assure data completeness and quality is an ongoing effort. The State will review the finalized data to determine if actions need to be taken. Quality of data will be verified then remedial action pursued. Data reporting has improved. For the period July 2014 through September 2014, total assessments conducted by MLTC plans during the period is 10,309. 87.8% were within the 30 day time frame. For the annual period October 2013 through September 2014, data collection improved, as did the percentage of assessments conducted within the 30 day time frame; consistent throughout the final three quarters.
- **Referrals outside enrollment broker:** During the period July through September of 2014, 8,487 people were not referred by the enrollment broker and contacted the plan directly and were provided MLTC materials. For the annual period October 2013 through September 2014, numbers were consistent. With the conflict free enrollment center beginning October 2014, this data collection element will be reviewed to ensure accurate information is obtained.
- **Rebalancing efforts:** For the annual period of October 2013 through September 2014: the number of individuals enrolled in plan from a NH, returning to the community has been consistent. Since data collection processes improved during January 2014, number of MLTC enrollees permanently placed in NHs has also been consistent.

| Period: 7/01/14 - 9/30/14 | |
|--|-----|
| Rebalancing Efforts | |
| Number of Individuals enrolled in the plan from a nursing home | 178 |
| Number of Enrollees admitted to a nursing home but returned to the community | 920 |
| Number of Enrollees permanently admitted to a nursing home | 651 |

VI. Financial, Budget Neutrality Development/Issues

A. Quarterly Expenditure Report Using CMS-64

See attachment 1. NYS Partnership Plan Projected 1115 Waiver Budget Neutrality Impact.

B. Designated State Health Programs

Although the primary source of state match is Inter Governmental Transfers (IGTs), the state proposes to use some previously approved DSHPs to ensure that the complete needs of the state are addressed through the MRT waiver amendment. Sources of DSHP funding, cited in STC 15, include previously approved F-SHRP fund, previously approved Partnership Plan DSHPs, and recently approved DSHPs not utilized for DD Transformation.

Total value for Designated Year 0 is \$188,000,000.

C. Clinic Uncompensated Care

The Department processed Clinic Uncompensated Care distributions in the amount of \$34,165,504, \$17,082,754 FFP, during the quarter that ended March 31, 2012.

The Department processed Clinic Uncompensated Care distributions in the amount of \$9,196,209, \$4,598,105 FFP, during the quarter that ended June 30, 2012.

The Department processed Clinic Uncompensated Care distributions in the amount of \$1,790,919, \$895,459 FFP, during the quarter that ended September 30, 2012.

Cumulative distributions to date total \$45,152,632, \$22,576,316 FFP.

The Department processed Clinic Uncompensated Care distributions in the amount of \$79,428,341, \$39,714,171 FFP, during the quarter that ended December 31, 2012.

The Department processed Clinic Uncompensated Care distributions in the amount of \$28,385,795, \$14,192,898 FFP, during the quarter that ended March 31, 2013.

The Department processed Clinic Uncompensated Care distributions in the amount of \$896,912, \$448,456 FFP, during the quarter that ended June 30, 2013.

Cumulative disbursements to date total \$153,863,680, \$76,931,843 FFP.

The Department processed Clinic Uncompensated Care distributions in the amount of \$108,751,308, \$54,375,690 FFP, during the quarter that ended December 2013.

The uncompensated care program provides over \$108 million in payments to qualifying clinic providers, including mental health (MH) clinics, to assist in covering the uncompensated costs of services provided to the uninsured population. In order to receive these funds, each provider must deliver a comprehensive range of health care or mental health services; have at least 5% of their annual visits providing services to uninsured individuals; have a process in place to collect payments from third party payors. For the year 2013, 133 Diagnostic & Treatment Centers (DTC's) and 200 MH clinics were determined to be potentially eligible to receive funding for this program. Of the award amounts, the DTC's were awarded \$92,429,009 while the MH clinics received \$10,205,991 for a total of \$102,635,000. In addition, the Supplemental award amount of \$5,880,000 was distributed between 12 DTC's. This brings the total amount awarded in 2013 to \$108,515,000.

New York requested an amendment to the Partnership Plan to extend the Clinic Uncompensated Care Funding authorized in STC 58, which expired December 31, 2013. The amendment extended the federal funding agreement through December 31, 2014.

New York received authorization to transition and extend certain Designated State Health Programs (DSHPs) which were authorized under the Federal-State Health Reform Partnership (F-SHRP) Demonstration which expired March 31, 2014. Continuance of these DSHP's will occur under the Partnership Plan due to expire December 31, 2014.

D. Hospital-Medical Home Demonstration (see attachment 4)

Background:

The Hospital-Medical Home Demonstration announced awards for funding and participation to 64 hospitals in early October 2012. Hospitals submitted work plans on December 3, 2012 for review. Hospitals officially began work plan implementation on January 1, 2013. The initial timeline was extended due to Hurricane Sandy. Twenty one months into the project, 158 resident clinics training over 5,000 primary care residents affiliated with 61 hospitals serving approximately 1,000,000 Medicaid members in all regions of New York State continue actively implementing residency changes, patient-centered medical home transformation of participating outpatient sites, and the chosen care coordination and inpatient projects contained in their work plans to meet the program requirements.

Program Accomplishments:

- 156/158 of sites (99%) became recognized by the National Commission for Quality Assurance (NCQA) as Level II or III Patient-Centered Medical Homes by 2011 standards by the July 1, 2014 deadline. The two hospitals that were unable to meet the milestone were Niagara Falls Memorial Medical Center and Interfaith Medical Center. Niagara Falls was only able to achieve Level 1 recognition, but hopes to be recognized as Level 2 before the

end of the project. The status of Interfaith continues to be in flux, but they will plan to achieve Level 2 by the end of the project, as long as they remain open.

- Reallocation of funding among the 61 remaining hospitals continues to occur based on meeting of program milestones, hospital closures and mergers, and residency program and continuity clinic changes.
- All hospital-reported data submitted through the web tool continues to be aggregated in summary reports for each domain. Summary reports are used to determine the quality and completeness of reporting as well as site progress. (The content in the reports vary by domain, but generally display the number of sites improving on certain metrics since the previous quarter, the number of sites reporting on a given metric, and the number of sites answering either 'yes' or 'no' to required questions about meeting milestones in each domain).
- Developed measure categories and composite measures in each domain to better evaluate demonstration effects and individual hospital/clinic achievements.
- Received and reviewed the Year 2, 2nd quarter submission from sites and provided feedback to the hospitals regarding the quarterly metric and narrative information. All feedback letters are posted on the Hospital Medical Home website on the welcome back page after each logging in. Penalties were assessed related to continued decline for Clinical Performance Metrics for both Sisters of Charity Hospital and Mercy Hospital. Niagara Falls Memorial Medical Center and Interfaith Medical Center received penalties due to not meeting the PCMH deliverable by 7/1/14.
- Continued to work with hospital, professional and community organizations such as the Hospital Association of New York, The Greater New York Hospital Association, the Primary Care Development Corporation, the NYS American Academy of Family Physicians, the New York Academy of Physicians and others to support hospitals in their transformation efforts.
- Conducted weekly meetings with a work plan review team, as well as several ad hoc specialty advisors, consisting of clinical and administrative staff both from IPRO and within the NYS DOH. Provided continuous clinical and technical support to 61 hospitals and 158 sites.
- Refined the project website to ensure all reports were directly accessible on the web portal ensuring that Quarterly Hospital Feedback Letters, Hospital Ranking Reports and Hospital Performance Reports are available to all project participants with user access to the portal.
- Coordinated and arranged for 7/9/14 Hospital Medical Home Coaching call presentation on Diabetic Retinopathy Screening. Presenters included David M. Rubaltelli, M.D., M.B.A., Assistant Professor of Ophthalmology, Department of Ophthalmology and Visual Sciences and Jon Swartz MD, MBA, FAAFP, Regional Medical Director, Montefiore Medical Center. This call was held following an informational update with Hospitals involved in the project prior to the Portal Opening for the quarter. Individuals from 110 phone lines participated in the call.

- On 7/30/14, organized a Hospital Medical Home Coaching call presentation on Resident Continuity/Attribution: “Who is My Patient and What Does That Mean?” Three hospitals participating in the project presented including Tom Campbell, MD, from Highland Hospital, George Clifford, PhD MPA from Albany Medical Center Hospital, and Joseph Truglio, MD from Mount Sinai Medical Center. Following the presentation, Dr. Marietta Angelotti provided guidance on the newly required Resident Continuity Measures sites would be expected to report. Individuals from 113 phone lines participated in the call.
- On 8/8/14, held a Hospital-Medical Home Coaching call presentation on Preventing Readmission for High Risk Patients - Post Discharge 48 hour follow up visits. Coaching call presenters included Brenda Matti-Orozco, MD from Mount Sinai St. Luke’s & Mount Sinai Roosevelt Hospital, JoAnne Gottridge, MD, FACP from Northshore University Hospital, and William Pagano, MD, MPH from Lutheran Medical Center. This call was held following a question/answer call prior to Portal closure with Hospitals involved in the project. Individuals from 83 phone lines participated in the call.
- Continued hospital and clinic site visits throughout NYS to learn about the accomplishments, changes and challenges hospitals are facing during this demonstration program. During this quarter, the NYSDOH OQPS Medical Director, Associate Medical Director, Program Manager, Program Specialist, and other specialty advisors conducted six site visits at St. Barnabas Hospital, New York Presbyterian Hospital, Mount Sinai Hospital, Mount Sinai Beth Israel Hospital, Mount Sinai St. Luke’s & Mount Sinai Roosevelt Hospital, and Phelps Hospital Medical Center. Hospital presentations for all visits are posted publically on the Hospital Medical Home website under Resources. The site visits completed to date represent a collective total award of \$225M.
- Conducted teleconferences to educate participants on upcoming changes prior to the Year 2, 2ndt quarter (2014) portal opening on 7/10/14 and provided an educational call one week prior to the portal closing on 8/8/14 to allow for opportunities for question and answer to all hospitals/sites involved in project.
- Distributed scheduled payment to participating hospitals in September 2014, which included 75% of Year 2 payment for all hospitals achieving PCMH Level 2 or 3 by deadline as well as up to 25% of Year 3 payment for the first quarter of Year 2 payment to the hospitals.
- The Department processed Hospital Medical Home distributions in the amount of \$25,254,235 on January 2, 2013. This represented 25% of the First Year Award amount.
- The Department processed Hospital Medical Home distributions in the amount of \$75,762,705 on October 16, 2013. This represented 75% of the First Year Award amount.
- The Department processed Hospital Medical Home distributions in the amount of \$19,084,775 on April 16, 2014. This represented 25% of the Second Year award amount.
- Cumulative Distributions awarded to date total \$120,101,715.

- The Department plans to process Hospital Medical Home distributions in the amount of \$75,000,000 in September 2014. That amount represents 75% of the Second Year award amount and 25% of the Third Year award amount.
- The Department plans to process Hospital Medical Home distributions in the amount of \$56,000,000 in December 2014. That amount will represent 75% of the Year Three award amount.
- The two tentative amounts still to be awarded total \$131,000,000.

Provisional Summary based on self-reported data received in the 2014 Quarter 2 time frame:

- Of the 54 sites participating in the Improved Access and Coordination between Primary and Specialty Care project,
 - 72% of sites showed improvement in decreasing the amount of time required to see a specialist as compared to baseline.
- Sites most often implemented the following measures to improve access to specialists: onsite specialist clinic/Co-location of services (identified by 24 sites (44%)), same day specialist appointments (identified by 18 sites (33%)), and clinical advice to PCP by telephone (identified by 15 sites (28%)).
- Resident Continuity Metrics: On Average, sites are reporting that 53% of resident visits are with patients on their panel, and 53% of patient visits are with their assigned PCP.
- 82% of sites showed improvement in breast cancer screening and 80% of sites showed improvement in colorectal cancer screening since baseline.
- 75% of sites reporting improved rates of tobacco use screening and/or tobacco cessation counseling.
- 76 clinics are restructuring their care transitions to ensure all patients have medication reconciliation on admission and discharge, including at a clinic follow-up, and that high risk patients have a follow-up call or visit at their PCPs office within 48 hours of discharge from the hospital.
 - On average, these sites are reporting that a follow-up phone call within 48 hours of discharge occurred 73% of the time (up from 47% of the time in Q3 2013)

- 59 clinics are reporting meeting their goals for receiving a hospital transition record to the PCP within 24 hours after discharge (up from 50 last quarter). On average, sites are reporting timely transmission of the discharge record 87% of the time.
- 71 clinics are administering the CTM-15 to clinic patients routinely to assess the quality of their care transitions. The average score is over 3.2 (out of 1-4 scale.)
- 25 clinics committed to ensuring interpreter wait time is 15 minutes or less and 20 clinics report this is true 99% of the time or greater.
- 25 clinics are committed to completing cultural competency training for all providers. On average, as of quarter 2, 2014, 79% of staff at participating sites have received this training within the past 12 months (up from an average rate of 35% in quarter 2, 2013).
- 33 clinics are participating in Collaborative Care to integrate behavioral health into primary care. On average, sites report 85% of adult patients are being screened for depression at the outpatient site. 32 clinics report having depression care managers at their site, and 19 sites report that staff care management time is the equivalent of 1 FTE or more. Nearly half of sites report that 90% or more of their patients see a behavioral health provider within the timeframe requested by their PCP.
- Out of 53 sites committed to improving coordination between primary and specialty care, 36 sites (68%) have documentation of referrals 100% of the time. 52 sites report a rejected referral rate of 10% or less. On average, sites report that only 1% of referrals from the outpatient sites are rejected by the specialist.

Annual Hospital Medical Home Trends in Metrics and Composite Scores

- DOH Hospital-Medical Home data was analyzed for all Care Coordination projects related to metrics and composite scores for hospitals participating in the four coordination projects listed below. All graphs for each project show the progress from Quarter 3, 2013 through Quarter 2, 2014. Graphs and “about reports” are included in appendix of this report.
 - Care Transitions / Medication Reconciliation
 - Behavioral Health
 - Culturally Competent Care
 - Coordination between Primary and Specialty Care

Highlights of Annual Trends

- Care Transitions and Medication Reconciliation: the rate of follow up phone calls within 48 hours of discharge improved from 47% in Q3 2013 to 73% in Q2 2014.

- Behavioral Health: From Q3 2013 to Q2 2014, there was a 41% increase in the average rate of patients enrolled in the collaborative care initiative who's PHQ-9 decreased below 10 in 16 weeks
- Behavioral Health: In the last 4 quarters, the average site-level composite score for behavioral health report card projects has improved by 30%.
- Culturally Competent Care: The average rate of prescription labels being written in the preferred language of the patient has increased 67% in the last year. This has been a challenge for many sites, and has been addressed in multiple site visits as well as on coaching calls.
- Coordination between Primary and Specialty Care: Measures for complete referrals in the requested timeframe as well as completed post-specialty visits within the recommended timeframe have shown a steady trend of improvement in the last 4 quarters.

Administrative and Policy Challenges - Annual

- Clinical Performance Metrics: Hospitals need continuing guidance and clarification regarding tracking performance on measures. Hospitals that have measures that do not indicate improvement for two consecutive quarters are asked to conduct a root cause analysis for the areas of concern. NYS DOH continues to provide assistance with root cause analysis.
- Although the majority of hospitals and clinics are exchanging information successfully with their Regional Health Information Organization (RHIO), there continues to be challenges connecting with one particular region of the state associated with the Taconic Health Information Network and Community (THINC) RHIO and with one large hospital system. NYS DOH Office of Health Information Technology and Hospital Medical Home program staff continue to provide assistance and consultation with challenges.
- The portal has been continuously updated to respond to the needs of the project as it evolves including refinements to data collections, new measures, resources for hospital and residency use, etc.
- Plans for best placement and storage as well as long term viewing of the Hospital Medical Home website/portal after the project ends is under discussion. Decisions have not yet been made the permanent location and ongoing functionality of the website/portal.
- Sustainability is a challenge for all participants—hospitals and sites. Hospitals have been asked to supply an explanation regarding what steps are being taken to ensure that improvements made in each area of the project will continue beyond the end of the project.

Planned actions for the next Quarter and remainder of the Demonstration

- Continue planning for the Hospital Medical Home Demonstration Conference to be held on March 19, 2015. This conference will bring together participants from more than 61 hospitals, 115 residency programs, and 158 outpatient clinics across NYS. The program will consist of plenary and panel presentations, keynote Speaker Andrew Morris Singer, M.D., and a poster session. Successes will be celebrated, such as the 99% rate of transformation to high level patient centered medical homes and the numerous projects to improve transitions of care, behavioral health integration, access to specialists, and cultural competence as well as inpatient quality and safety, and next steps for transforming primary care in the context of the SHIP and DSRIP.
- Beginning with this quarter, all sites must report on the strategies undertaken to ensure improvements exist beyond the end of the project in each area of the project.
- Provide ongoing support and education regarding project implementation & reporting processes via teleconferencing and web conferencing.
- Receive and review Year 2 (2014) Quarter 3 report.
- Continue site visits with hospitals and outpatient primary care sites.
- Continue to collaborate with Hospital and Professional Associations to clarify the demonstration components, support hospitals, and plan Hospital-Medical-Home conference.
- Continued refinements adding additional resources to the demonstration's portal website for participant use. In addition, Hospital-Medical Home staff will provide training on utilizing the Clinical Performance Metrics Hospital Performance report card which allow hospitals to compare their rates with other hospitals and sites for a specific quarter to be used for quality improvement purposes.
- Complete analysis for data and continue to develop final evaluation due in April 2015.

VII. Consumer Issues

A. Complaints

Medicaid managed care plans reported 5,357 complaints/action appeals this quarter, a decrease of 1.8% from the previous quarter. Of these complaints/appeals, 329 were FHPlus complaints/appeals. The most frequent category of complaint/appeal was balance billing disputes, accounting for 26% of the total. There were 139 complaints/appeals reported by the HIV SNPs. The majority of these complaints (35) were in the category of quality of care. The Department directly received 426 Medicaid managed care complaints and 2 FHPlus complaints this quarter.

The top 5 most frequent categories of complaints were as follows:

- 26% Balance Billing
- 22% Reimbursement/Billing Issues
- 7% Provider or MCO Services (Non-Medical)
- 7% Pharmacy
- 6% Emergency Services

This quarter, mainstream Medicaid managed care plans reported the following complaints and action appeals regarding long term services and supports. The Department did not identify any overall trends impacting enrollees' access to services:

| Long Term Services and Supports | Number of Complaints/Action Appeals Reported |
|--|---|
| AIDS Adult Day Health Care | 0 |
| Adult Day Care | 0 |
| Consumer Directed Personal Assistant | 0 |
| Home Health Care | 5 |
| Non-Permanent Residential Health Care Facility | 2 |
| Personal Care Services | 14 |
| Personal Emergency Response System | 0 |
| Private Duty Nursing | 0 |
| Total | 21 |

As SSI enrollees typically access long term services and supports, the Department monitors complaints and action appeals filed by this population with managed care plans. Of the 5,357 total reported complaints/action appeals, mainstream Medicaid managed care plans reported 544 complaints and action appeals from their SSI enrollees. This compares to 589 SSI complaints/action appeals from last quarter. The top 5 categories of SSI complaints/action appeals reported were:

| Category | Percent of Total Complaints/Appeals Reported for SSI Enrollees |
|--|---|
| Balance Billing | 20% |
| Reimbursement/Billing Issues | 19% |
| Quality of Care | 11% |
| Provider or MCO Services (Non-medical) | 10% |
| Emergency Services | 6% |

The total number of complaints/action appeals reported for SSI enrollees by category were:

| Category | Number of Complaints/Action Appeals Reported For SSI Enrollees |
|---|---|
| Adult Day Care | 0 |
| Advertising/Education/Outreach/Enrollment | 17 |

| | |
|---|------------|
| AIDS Adult Day Health Care | 0 |
| Appointment Availability - PCP | 0 |
| Appointment Availability - Specialist | 1 |
| Balance Billing | 109 |
| Communications/Physical Barrier | 3 |
| Consumer Directed Personal Assistant | 0 |
| Denial of Clinical Treatment | 24 |
| Dental or Orthodontia | 18 |
| Emergency Services | 30 |
| Eye Care | 0 |
| Family Planning | 0 |
| Home Health Care | 3 |
| Mental Health or Substance Abuse Services/ Treatment | 1 |
| Non-covered Services | 16 |
| Non-Permanent Residential Health Care Facility | 1 |
| Personal Care Services | 13 |
| Personal Emergency Response System | 0 |
| Pharmacy | 18 |
| Private Duty Nursing | 0 |
| Provider or MCO Services (Non-Medical) | 52 |
| Quality of Care | 58 |
| Recipient Restriction Program/Plan Initiated Disenrollment | 0 |
| Reimbursement/Billing Issues | 105 |
| Specialist or Hospital Services | 5 |
| Transportation | 18 |
| Waiting Time Too Long at Office | 1 |
| All Other Complaints | 51 |
| Total | 544 |

B. Medicaid Managed Care Advisory Review Panel (MMCARP) Meetings

The Medicaid Managed Care Advisory Review Panel (MMCARP) met on September 17, 2014. The September meeting included presentations provided by state staff and discussions of the following: Delivery System Reform Incentive Payment (DSRIP) and Performing Provider Systems (PPS), and an update on FIDA and managed long term care.

C. Managed Care Policy and Planning Meetings

Managed Care Policy and Planning Meetings were held on July 17, August 14, and September 11, 2014. The July meeting included the following presentations: MLTC and FIDA update; finance and rate development, including nursing home reimbursement issues and mix adjustment; Behavioral Health and Recovery Plan (HARP) stop-loss and rate development, and mainstream Sovaldi cost analysis and financing mechanism; health home

bridge proposal and Salient outcomes; an update by the Office for People with Developmental Disabilities (OPWDD) on the progress of the development of Developmental Disabilities Individual Support and Care Coordination Organizations (DISCOs) and the transition the OPWDD populations into managed care; behavioral health/HARP transition; and oncotype Dx test for breast cancer. The August meeting agenda included: New York State of Health (SoH) enrollment reconciliation; update on transition of nursing home benefit and population into managed care; finance and rate development; update on Delivery System Reform Incentive Payment (DSRIP) planning grants and Performing Provider Systems (PPS); MLTC and FIDA update; and status of behavioral health/HARP. Presentations, updates and discussions at the September meeting included: DSRIP and PPS; transition of Nursing Home benefit and population to managed care; MCO compliance monitoring requirements related to due process for enrollees receiving long term supports and services (LTSS); MLTC and FIDA update; conflict free evaluation and enrollment center for individuals seeking community-based LTSS; finance and rate development, including mainstream behavioral health, HARP, and pharmacy impacts; children’s behavioral health design; and Certificate of Authority application and start-up grant application process for DISCOs.

VIII. Quality Assurance/Monitoring

A. Quality Measurement

Sixteen Medicaid managed care plans and three Medicaid HIV Special Needs Plans (SNP) submitted 2013 measurement year QARR data in June 2014. All plan data was audited by an NCQA licensed audit organization prior to submission. The following table reflects the State overall results for the two products for measurement year.

National benchmarks for Medicaid are from NCQA’s State of Health Care Quality 2014 report. Of the 58 measures with national comparison data, State Medicaid average exceeds national average for 53 measures, is consistent with national average for one measure, and is below national average for four measures. Comparison of State averages to national averages is indicated in the cell shading for Medicaid. Green cells indicate State average is higher than national average, yellow cells indicate State average is the same as national, and red cells indicate State average is lower than national average. National benchmarks for HIV SNP plans are not available.

2014 QARR Results (2013 Measurement Year - MY) New York State Medicaid Managed Care Plans

| Measure | HIV SNP 2013 MY Average | Medicaid 2013 MY Average | 2013 MY National Average |
|---|-------------------------------------|--------------------------------|--------------------------------|
| Adherence to Antipsychotic Medications for Individuals with Schizophrenia | 58 | 63 | 60 |

| Measure | HIV SNP 2013 MY Average | Medicaid 2013 MY Average | 2013 MY National Average |
|--|--|---|---|
| Adolescent Immunization Combo | 68 | 72 | 70 |
| Adolescent Immunization HPV | SS | 27 | 20 |
| Adolescent Well-Care Visits | 55 | 64 | 50 |
| Adult BMI Assessment | 84 | 85 | 76 |
| Advising Smokers to Quit | 93 | 78 | 76 |
| Annual Monitoring for Patients on Persistent Medications- ACE Inhibitors/ARBs | 99 | 92 | 88 |
| Annual Monitoring for Patients on Persistent Medications- Anticonvulsant | 66 | 67 | 66 |
| Annual Monitoring for Patients on Persistent Medications- Combined Rate | 98 | 91 | 86 |
| Annual Monitoring for Patients on Persistent Medications- Digoxin | SS | 93 | 91 |
| Annual Monitoring for Patients on Persistent Medications- Diuretics | 99 | 91 | 88 |
| Antidepressant Medication Management- Effective Acute Phase Treatment | 54 | 50 | 51 |
| Antidepressant Medication Management- Effective Continuation Phase Treatment | 40 | 35 | 35 |
| Appropriate Testing for Pharyngitis | SS | 87 | 67 |
| Appropriate Treatment for Upper Respiratory Infection (URI) | 96 | 92 | 85 |
| Asthma Medication Ratio (Ages 5-64) | 41 | 64 | 65 |
| Avoidance of Antibiotics Therapy in Adults with Acute Bronchitis | NA | 26 | 27 |
| Breast Cancer Screening | 74 | 72 | 58 |
| Cardiovascular Monitoring for People with Cardiovascular Disease and Schizophrenia | SS | 82 | 79 |
| Childhood Immunization Status (Combo 3) | 79 | 73 | 71 |
| Children and Adolescents' Access to Primary Care Practitioners (Ages 12-19 Years) | 90 | 94 | 89 |
| Children and Adolescents' Access to Primary Care Practitioners (Ages 12-24 months) | 87 | 97 | 96 |
| Children and Adolescents' Access to Primary Care Practitioners (Ages 25 Mos-6 Years) | 87 | 94 | 88 |
| Children and Adolescents' Access to Primary Care Practitioners (Ages 7-11 Years) | 92 | 97 | 90 |
| Chlamydia Screening (Ages 16-24) | 73 | 72 | 55 |
| Cholesterol Level Controlled (<100 mg/dL) | 45 | 46 | 41 |
| Cholesterol Screening Test | 91 | 88 | 81 |
| Counseling for Nutrition | 72 | 77 | 59 |

| Measure | HIV SNP 2013 MY Average | Medicaid 2013 MY Average | 2013 MY National Average |
|---|--|---|---|
| Counseling for Physical Activity | 49 | 68 | 51 |
| Diabetes Monitoring for People with Diabetes and Schizophrenia | 85 | 77 | 69 |
| Diabetes Screening for People w/ Schizophrenia or Bipolar Disorder Using Antipsychotic Meds | 99 | 82 | 79 |
| Discussing Smoking Cessation Medications | 79 | 56 | 47 |
| Discussing Smoking Cessation Strategies | 75 | 47 | 42 |
| Drug Therapy for Rheumatoid Arthritis | NA | 79 | 71 |
| Follow-Up After Hospitalization for Mental Illness Within 30 Days | 58 | 78 | 61 |
| Follow-Up After Hospitalization for Mental Illness Within 7 Days | 40 | 63 | 42 |
| Follow-Up Care for Children Prescribed ADHD Medication: Continuation Phase | SS | 65 | 46 |
| Follow-Up Care for Children Prescribed ADHD Medication: Initiation Phase | SS | 56 | 40 |
| Lead Testing | 97 | 87 | 67 |
| Managing Diabetes Outcomes - Blood pressure controlled (<140/80 mm Hg) | 45 | 46 | 39 |
| Managing Diabetes Outcomes - Blood pressure controlled (<140/90 mm Hg) | 63 | 69 | 60 |
| Managing Diabetes Outcomes - HbA1C Control (<7.0%) for Selected Populations | 50 | 41 | 34 |
| Managing Diabetes Outcomes - HbA1C Control (<8.0%) | 58 | 57 | 46 |
| Managing Diabetes Outcomes - Lipids Controlled (<100 mg/dL) | 44 | 43 | 34 |
| Managing Diabetes Outcomes -Poor HbA1c Control | 35 | 32 | 46 |
| Medical Management for People with Asthma 75% Days Covered (Ages 5-64) | 61 | 36 | 31 |
| Monitoring Diabetes - Dilated Eye Exam | 42 | 63 | 54 |
| Monitoring Diabetes - HbA1c Testing | 93 | 89 | 84 |
| Monitoring Diabetes - Lipid Profile | 94 | 87 | 76 |
| Monitoring Diabetes - Nephropathy Monitoring | 79 | 83 | 79 |
| Persistence of Beta-Blocker Treatment | 78 | 85 | 84 |
| Pharmacotherapy Management of COPD Exacerbation- Bronchodilator | 94 | 88 | 81 |
| Pharmacotherapy Management of COPD Exacerbation- Corticosteroid | 69 | 75 | 66 |
| Use of Appropriate Medications for People with | 65 | 83 | 84 |

| Measure | HIV SNP 2013 MY Average | Medicaid 2013 MY Average | 2013 MY National Average |
|---|--|---|---|
| Asthma (Ages 5-64) | | | |
| Use of Imaging Studies for Low Back Pain | 77 | 77 | 76 |
| Use of Spirometry Testing in the Assessment and Diagnosis of COPD | 24 | 51 | 31 |
| Weight Assessment- BMI Percentile | 78 | 75 | 57 |
| Well-Child & Preventive Care Visits in 3rd, 4th, 5th & 6th Year of Life | 69 | 83 | 72 |

B. MLTC Quality Incentive Workgroup

The Department continues to convene a workgroup of health plan representatives, advocates and associations on the development of the MLTC Quality Incentive. The workgroup and the Department reviewed measures of quality, satisfaction, compliance and efficiency related to performance. The Department shared the methodology for the Quality Incentive with the MLTC plans in September and the payment of the Quality Incentive is on target for 1/1/ 2015.

C. External Quality Review

The current External Quality Review (EQR) contract with the Island Peer Review Organization (IPRO) was given an extension through March 31, 2014, while a Request for Proposals (RFP) was prepared. The RFP will solicit bids for a new five-year contract to conduct Medicaid managed care external quality review as per the Balanced Budget Act of 1997 and CMS published EQR regulations. Because of delays in the State procurement process, the new contract was not in place by the intended date of April 1, 2014. The current contract has received two additional extensions, through November 30, 2014, while the new contract is finalized.

D. Performance Improvement Projects (PIPs)

For 2013-2014, a collaborative PIP includes two parts. Part 1, the Medicaid Incentives for the Prevention of Chronic Disease (MIPCD), includes testing the effectiveness of patient incentives on improving health behaviors and outcomes in the following clinical areas: diabetes prevention and management, smoking cessation, and hypertension management. Part 2 focuses on implementing interventions to improve care in one of the four clinical areas noted above. For Part 1, MIPCD, bi-monthly individual calls with each Medicaid managed care plan were conducted to accelerate progress and facilitate obstacles/barriers. To date, 457 Medicaid recipients are enrolled in the study, of which 180 are in the diabetes prevention study arm, 183 are in the diabetes management study arm, and 94 are in the hypertension management arm. For Part 2, IPRO is conducting conference calls with the health plans to monitor their progress. All plans are on track with proposed interventions

E. Breast Cancer Selective Contracting

Staff successfully completed the Breast Cancer Selective Contracting process for contract year 2014-2015. This included: refining the computer programs used to extract and analyze inpatient and outpatient surgical data from the Statewide Planning and Research Cooperative System (SPARCS); determining restricted facilities; notifying restricted facilities of their low-volume status; overseeing the appeals processing and notifying facilities about appeal decisions; and, sharing the list of restricted facilities with staff at eMedNY to restrict Medicaid fee-for-service payment to restricted facilities.

In total, the 2014-2015 annual review of breast cancer surgical volume involved 219 facilities where breast cancer surgery is occurring. Facility designations were as follows: 116 high-volume facilities, 29 low-volume access facilities, 66 low-volume restricted facilities, and eight closed facilities. Appeals were received from eight low-volume facilities, of which six were approved and two were denied.

In addition, a first annual summer data release was instituted in August, to provide facilities with a projected status of their volume designations (low or high) while allowing facilities sufficient time to correct any discrepancies between facility-calculated volume and SPARCS reported volume. The goal of the new process is to reduce the number of appeals and make the contracting process more efficient.

Staff also worked on updating the protocols and computer programs that will be used in the fall of 2014 to determine restricted facilities for the 2015-2016 contract year.

F. Eliminating Disparities in Asthma Care (EDAC)

The five-year Eliminating Disparities in Asthma Care (EDAC) Collaboration came to a close on August 31, 2014. Grant activities during the final year of funding were focused on completing an in-depth evaluation of the project and assessing the Collaboration's effectiveness in meeting four objectives: 1) Has an effective collaboration that includes the Department, health plans, primary care practices, the community, and Medicaid recipients, been established and sustained in order to successfully accomplish the stated project goals; 2) Has asthma care been improved across selected indicators within population of focus; 3) Have racial/ethnic disparities in asthma care been reduced among the population of focus; and 4) Have a set of tools and successful strategies been produced and disseminated related to eliminating racial and ethnic disparities in asthma health care outcomes?

Of the 26 indicators employed in the evaluation, 10 met or exceeded the standards of success that were set by the EDAC Leadership Team. Success was noted in the following indicators: existence of shared mission/planning/goals among stakeholders; at least 95 percent of patients with asthma having a documented severity classification in their medical record; and no statistically significant differences noted in rates of asthma inpatient hospitalization or emergency department visits across racial/ethnic groups. However, indicators related to increased distribution of Asthma Action Plans, evaluation of environmental triggers, and smoking status assessment fell below the standards of success.

G. Managed Long Term Care (MLTC)

The EQRO conducted and completed both a focused clinical study and patient satisfaction survey during the last year. The focused clinical study reviewed individuals who were mandatorily enrolled in MLTC plans, both those who chose their plan and those auto-assigned, and who received the same level of service within the initial 60 days of enrollment in an MLTC plan, as they had received under their fee-for-service (FFS) service plan. This ensured compliance with two Centers for Medicare and Medicaid Services (CMS)-based terms and conditions related to the expansion of the MLTC program; eligibility and transition of care. The study commenced in May 2013 and concluded in September 2013. Data analysis completed on the survey reflected virtually no difference in the level of care between the auto-assigned and non-auto-assigned groups when transitioning from FFS to an MLTC plan. A final report was issued in September 2014.

An enrollee satisfaction survey was administered by the EQRO examining the experience of care for MLTC recipients newly enrolled in a managed long term care plan through the mandatory expansion of MLTC. The survey aimed to measure enrollee's satisfaction with their plan, both pre- and post-enrollment in the MLTC program. The survey commenced in December, 2013, and closed in June, 2014. Data analysis was conducted and a final draft report was issued in September 2014, reflecting that 95 percent of respondents said, overall, that the quality of their health care services is either the same or better since joining the plan.

H. Patient Centered Medical Home (PCMH)

In May, 2013, the Department and IPRO began planning a study to look at the differences in experience of care between patients who had visits with a PCMH provider and those with visits to a provider without the PCMH designation. The Clinician and Group CAHPS survey with the additional PCMH group of questions was chosen for this study. A random sample of 6,000 Medicaid members was selected, divided equally between children and adults, and between those with a visit to a PCMH provider and a visit with a non-PCMH provider. Surveys were sent to enrollees following a combined mail and phone methodology in September 2013, resulting in a 35.4 percent response rate. The final report from that study was received in March, 2014. Results indicate satisfaction somewhat higher among the non-PCMH group for many questions; however, most differences were not statistically significant. PCMH respondents were more satisfied in the areas of the comprehensiveness of their care.

IX. Transition Plan Updates

Please see attachment 2, which contains the Department's updated Transition Plan indicating how the Department will transition enrollees to a coverage option under the Affordable Care Act, as required by the Section 1115 Partnership Plan demonstration.

X. Other

A. Medicaid Managed Care/Family Health Plus/HIV SNP Model Contract

On July 11, 2014, the Department submitted to CMS for approval a summary of changes that are to be included in the March 1, 2014 – February 28, 2019 Medicaid Managed Care/Family Health

Plus/HIV SNP model contract. The revised model contract includes contract language changes related to various MRT initiatives and other programmatic changes. The Department is in the process of preparing a response to comments and questions that CMS sent to the Department on September 19, 2014 regarding the Department's draft revisions.

B. Delivery System Reform Incentive Payment Program

DSRIP is the main mechanism by which the Department will implement the MRT Waiver Amendment. DSRIP's purpose is to fundamentally restructure the health care delivery system by reinvesting in the Medicaid program, with the primary goal of reducing avoidable hospital use by 25% over five years. Up to \$ 6.42 billion dollars are allocated to this program with payouts based upon achieving predefined results in system transformation, clinical management and population health. (Please see attachment 5)

Attachments:

Attachment 1- Budget Neutrality

Attachment 2- Transition Plan

Attachment 3 – MLTC Partial Capitation Plans

Attachment 4- Hospital-Medical Homes

Attachment 5- DSRIP Quarterly Report

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