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State/Territory Name: Arkansas

State Plan Amendment (SPA) #: 18-0013

This file contains the following documents in the order listed:

- 1) Approval Letter
- 2) CMS 179 Form
- 3) Approved Page

DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
Regional Operations Group – Region VI
1301 Young Street, Room 833
Dallas, Texas 75202



Regional Operations Group, Division of Medicaid Field Operations South

February 28, 2019

Our Reference: SPA AR 18-0013

Ms. Dawn Stehle
State Medicaid Director
Arkansas Department of Health and Human Services
Division of Medical Services
P.O. Box 1437
Little Rock, Arkansas 72203-1437

Dear Ms. Stehle:

Enclosed is a copy of approved Arkansas (AR) State Plan Amendment (SPA) 18-0013, with an effective date of January 1, 2019. This amendment was submitted to revise provider criteria for Patient Centered Medical Home (PCMH) providers, which includes elements of enrollment, payments, shared savings, incentive-based payment methodology, and total cost of care. The PCMH program was also required to be migrated to an updated Primary Care Case Management (PCCM) State Plan template.

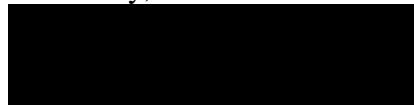
This letter affirms that AR 18-0013 is approved effective January 1, 2019 as requested by the State.

We are enclosing the CMS-179 and the following amended plan pages.

- Attachment 3.1-F, Pages 1-14
- Attachment 3.1-F, Pages 14(a) – 14(d)
- Attachment 3.1-F, Pages 17-21

If you have any questions regarding this matter you may contact Stacey Shuman at 214-767-6479, or by email at stacey.shuman@cms.hhs.gov.

Sincerely,



Bill Brooks
Director
Division of Medicaid Field Operations South
Region VI
Regional Operations Group

Cc: Billy Bob Farrell, DMFOS Dallas
Stacey Shuman, DMFOS Dallas
Angela Jones, DEHPG Baltimore

**TRANSMITTAL AND NOTICE OF APPROVAL OF
STATE PLAN MATERIAL
FOR: CENTERS FOR MEDICARE & MEDICAID SERVICES**

1. TRANSMITTAL NUMBER

1 8 — 0 0 1 3

2. STATE

Arkansas

3. PROGRAM IDENTIFICATION: TITLE XIX OF THE SOCIAL
SECURITY ACT (MEDICAID)

TO: REGIONAL ADMINISTRATOR
CENTERS FOR MEDICARE & MEDICAID SERVICES
DEPARTMENT OF HEALTH AND HUMAN SERVICES

4. PROPOSED EFFECTIVE DATE

January 1, 2019

5. TYPE OF PLAN MATERIAL (*Check One*)

☐ NEW STATE PLAN

☐ AMENDMENT TO BE CONSIDERED AS NEW PLAN

☒ AMENDMENT

COMPLETE BLOCKS 6 THRU 10 IF THIS IS AN AMENDMENT (*Separate transmittal for each amendment*)

6. FEDERAL STATUTE/REGULATION CITATION

1932(a)(1)(A)

7. FEDERAL BUDGET IMPACT

a. FFY 2019 \$ (8,170,346)

b. FFY 2020 \$ (10,893,795)

8. PAGE NUMBER OF THE PLAN SECTION OR ATTACHMENT

Please see attached listing

9. PAGE NUMBER OF THE SUPERSEDED PLAN SECTION
OR ATTACHMENT (*If Applicable*)

Please see attached listing

10. SUBJECT OF AMENDMENT

Make provider criteria changes to PCMH providers, inclusive of enrollment, payments, shared savings, and incentive-based payment methodology, and total cost of care. Transfer PCCM information to the new preprint (no program changes for PCCM).

11. GOVERNOR'S REVIEW (*Check One*)

☒ GOVERNOR'S OFFICE REPORTED NO COMMENT

☐ OTHER, AS SPECIFIED

☐ COMMENTS OF GOVERNOR'S OFFICE ENCLOSED

☐ NO REPLY RECEIVED WITHIN 45 DAYS OF SUBMITTAL

12. SIGNATURE OF STATE AGENCY OFFICIAL

13. TYPED NAME

Tami Harlan

14. TITLE

Director, Division of Medical Services

15. DATE SUBMITTED

02/07/2019

16. RETURN TO

Office of Rules Promulgation

PO Box 1437, Slot S295

Little Rock, AR 72203-1437

Attn: Isaac Linam

FOR REGIONAL OFFICE USE ONLY

17. DATE RECEIVED

10/24/2018

18. DATE APPROVED

02/28/2019

PLAN APPROVED - ONE COPY ATTACHED

19. EFFECTIVE DATE OF APPROVED MATERIAL

01/01/2019

20. SIGNATURE OF REGIONAL OFFICIAL

21. TYPED NAME

Bill Brooks

22. TITLE Director, Division of Medicaid Field Operations
Region VI, Regional Operations Group

23. REMARKS

**ATTACHED LISTING FOR
ARKANSAS STATE PLAN
TRANSMITTAL #2018-0013**

**8. Number of the Plan
Section or Attachment**

Attachment 3.1-F, Pages 1-12

Attachment 3.1-F, Page 13

Attachment 3.1-F, Page 14

Attachment 3.1-F, Pages 14(a) – 14(d)

Attachment 3.1-F, Pages 17-21

**9. Number of the Superseded Plan
Section or Attachment**

Attachment 3.1-F, Pages 1-12
Approved 09-30-13, TN 13-08

Attachment 3.1-F, Page 13
Approved 11-30-15, TN 15-0007

Attachment 3.1-F, Page 14
Approved 09-30-13, TN 13-08

None, New Pages

Attachment 3.1-F, Pages 17-21
Approved 01-30-14, TN 13-26

State: Arkansas Date Received: 24 October, 2018 Date Approved: 28 February, 2019 Effective Date: 1 January, 2019 Transmittal Number: 18-0013

State: Arkansas

Citation	Condition or Requirement
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1932(a)(1)(A)	A. <u>Section 1932(a)(1)(A) of the Social Security Act.</u>
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The State of Arkansas enrolls Medicaid beneficiaries on a mandatory basis into managed care entities (managed care organization [MCOs], primary care case managers [PCCMs], and/or PCCM entities) in the absence of section 1115 or section 1915(b) waiver authority. This authority is granted under section 1932(a)(1)(A) of the Social Security Act (the Act). Under this authority, a state can amend its Medicaid state plan to require certain categories of Medicaid beneficiaries to enroll in managed care entities without being out of compliance with provisions of section 1902 of the Act on statewideness (42 CFR 431.50), freedom of choice (42 CFR 431.51) or comparability (42 CFR 440.230).

This authority may **not** be used to mandate enrollment in Prepaid Inpatient Health Plans (PIHPs), Prepaid Ambulatory Health Plans (PAHPs), nor can it be used to mandate the enrollment of Medicaid beneficiaries described in 42 CFR 438.50(d).

Where the state's assurance is requested in this document for compliance with a particular requirement of 42 CFR 438 et seq., the state shall place a check mark to affirm that it will be in compliance no later than the applicable compliance date. All applicable assurances should be checked, even when the compliance date is in the future. **Please see Appendix A of this document for compliance dates for various sections of 42 CFR 438.**

1932(a)(1)(B)(i) 1932(a)(1)(B)(ii) 42 CFR 438.2 42 CFR 438.6 42 CFR 438.50(b)(1)-(2)	B. <u>Managed Care Delivery System.</u>
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The State will contract with the entity(ies) below and reimburse them as noted under each entity type.

1. ☐ MCO
 - a. ☐ Capitation
 - b. ☐ The state assures that all applicable requirements of 42 CFR 438.6, regarding special contract provisions related to payment, will be met.
2. ☒ PCCM (individual practitioners)
 - a. ☒ Case management fee
 - b. ☐ Other (please explain below)

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Reimbursement is a set per member per month rate paid through MMIS. There are no performance-based incentive payments in PCCM.

- a. The Medicaid beneficiary chooses a primary care physician (PCP) who, through an on-going provider/beneficiary relationship, coordinates health care services, including referrals for necessary specialty services, physician's services, hospital care and other services. The PCCM provider will assist enrollees with locating medical services and coordinate and monitor their enrollees prescribed

State: Arkansas

Citation

Condition or Requirement

medical and rehabilitation services. PCCM will be mandatory for most Medicaid beneficiaries.

The beneficiaries have a free choice of specialists within the state and bordering states. A beneficiary must enroll with a PCCM whose practice is in the beneficiary's county of residence, a county adjacent to the beneficiary's county of residence or a county adjoining a county adjacent to the beneficiary's county of residence. PCCM providers have free choice of referrals specialists and ancillary providers

Under this PCCM program, the PCCM provider manages the enrolled beneficiary's health by working directly with beneficiaries and their treatment by providing:

- 1) 24-hour, 7 days per week telephone access to a live voice (an employee of the primary care physician or an answering service). Reasonable 24- hour availability and adequate hours of operation, referral and treatment with respect to medical emergencies.
- 2) Response to after-hours calls regarding non-emergencies must be within 30 minutes.
 - PCPs must make the after-hours telephone number as widely available as possible to their patients.
 - When employing an answering machine with recorded instructions for after-hours callers, PCPs should regularly check to ensure that the machine functions correctly and that the instructions are up-to-date.
 - PCPs in underserved and sparsely populated areas may refer their patients to the nearest facility available, but enrollees must be able to obtain the necessary instructions by telephone.
 - As regards access to services, PCPs are required to provide the same level of service for their ConnectCare enrollees as they provide for their insured and private-pay patients.
 - Physicians and facilities treating a PCP's enrollees after hours must report diagnosis, treatment, significant findings, recommendations and any other pertinent information to the PCP for inclusion in the patient's medical record.
 - A PCP may not refer ConnectCare enrollees to an emergency department for non-emergency conditions during the PCP's regular office hours.

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- 3) Increases to the beneficiaries' and/or their caregivers' understanding of their disease so that they are:
- Better able to understand their disease
 - Better able to access regular preventative health care by improving their self-management skills
 - Better able to understand the appropriate use of resources needed to care for their disease
 - Better able to improve the beneficiary's quality of life by assisting them in self-managing their disease and in accessing regular preventative health care.
- b. Arkansas Department of Human Services engages a network of credentialed primary care physicians to meet medical needs for enrolled beneficiaries. The PCCM provider is responsible for overall health care services for beneficiaries.
3. ☐ PCCM entity
- ☐ Case management fee
 - ☐ Shared savings, incentive payments, and/or financial rewards (see 42 CFR 438.310(c)(2))
 - ☐ Other (please explain below)

If PCCM entity is selected, please indicate which of the following function(s) the entity will provide (as in 42 CFR 438.2), in addition to PCCM services:

- ☐ Provision of intensive telephonic case management
 - ☐ Provision of face-to-face case management
 - ☐ Operation of a nurse triage advice line
 - ☐ Development of enrollee care plans.
 - ☐ Execution of contracts with fee-for-service (FFS) providers in the FFS program
 - ☐ Oversight responsibilities for the activities of FFS providers in the FFS program
 - ☐ Provision of payments to FFS providers on behalf of the State.
 - ☐ Provision of enrollee outreach and education activities.
 - ☐ Operation of a customer service call center.
 - ☐ Review of provider claims, utilization and/or practice patterns to conduct provider profiling and/or practice improvement.
 - ☐ Implementation of quality improvement activities including administering enrollee satisfaction surveys or collecting data necessary for performance measurement of providers.
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- | | |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <input type="checkbox"/> Coordination with behavioral health systems/providers.
<input type="checkbox"/> Coordination with long-term services and supports systems/providers.
<input type="checkbox"/> Other (please describe): _____

_____ |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

42 CFR 438.50(b)(4)	<p>C. <u>Public Process.</u></p> <p>Describe the public process including tribal consultation, if applicable, utilized for both the design of the managed care program and its initial implementation. In addition, describe what methods the state will use to ensure ongoing public involvement once the state plan managed care program has been implemented. <i>(Example: public meeting, advisory groups.)</i></p> <p>If the program will include long term services and supports (LTSS), please indicate how the views of stakeholders have been, and will continue to be, solicited and addressed during the design, implementation, and oversight of the program, including plans for a member advisory committee (42 CFR 438.70 and 438.110)</p> <p>A statewide promulgation process was completed in 2013, which allowed for a 30-day public comment period. At the time the state consulted with the State Medical Care Advisory Committee. The beneficiary has the right to appeal or grieve through the Division of Medical Services or Office of Chief Counsel.</p> <p>D. <u>State Assurances and Compliance with the Statute and Regulations.</u></p> <p>If applicable to the state plan, place a check mark to affirm that compliance with the following statutes and regulations will be met.</p> <table border="0"> <tbody> <tr> <td>1932(a)(1)(A)(i)(I) 1903(m) 42 CFR 438.50(c)(1)</td> <td>1. <input type="checkbox"/> The state assures that all of the applicable requirements of section 1903(m) of the Act, for MCOs and MCO contracts will be met.</td> </tr> <tr> <td>1932(a)(1)(A)(i)(I) 1905(t) 42 CFR 438.50(c)(2) 1902(a)(23)(A)</td> <td>2. <input checked="" type="checkbox"/> The state assures that all the applicable requirements of section 1905(t) of the Act for PCCMs and PCCM contracts (including for PCCM entities) will be met.</td> </tr> <tr> <td>1932(a)(1)(A) 42 CFR 438.50(c)(3)</td> <td>3. <input type="checkbox"/> The state assures that all the applicable requirements of section 1932 (including subpart (a)(1)(A)) of the Act, for the state's option to limit freedom of choice by requiring beneficiaries to receive their benefits through managed care entities will be met.</td> </tr> <tr> <td>1932(a)(1)(A) 42 CFR 431.51 1905(a)(4)(C)</td> <td>4. <input checked="" type="checkbox"/> The state assures that all the applicable requirements of 42 CFR 431.51 regarding freedom of choice for family planning services and supplies as defined in section 1905(a)(4)(C) will be met.</td> </tr> </tbody> </table>	1932(a)(1)(A)(i)(I) 1903(m) 42 CFR 438.50(c)(1)	1. <input type="checkbox"/> The state assures that all of the applicable requirements of section 1903(m) of the Act, for MCOs and MCO contracts will be met.	1932(a)(1)(A)(i)(I) 1905(t) 42 CFR 438.50(c)(2) 1902(a)(23)(A)	2. <input checked="" type="checkbox"/> The state assures that all the applicable requirements of section 1905(t) of the Act for PCCMs and PCCM contracts (including for PCCM entities) will be met.	1932(a)(1)(A) 42 CFR 438.50(c)(3)	3. <input type="checkbox"/> The state assures that all the applicable requirements of section 1932 (including subpart (a)(1)(A)) of the Act, for the state's option to limit freedom of choice by requiring beneficiaries to receive their benefits through managed care entities will be met.	1932(a)(1)(A) 42 CFR 431.51 1905(a)(4)(C)	4. <input checked="" type="checkbox"/> The state assures that all the applicable requirements of 42 CFR 431.51 regarding freedom of choice for family planning services and supplies as defined in section 1905(a)(4)(C) will be met.
1932(a)(1)(A)(i)(I) 1903(m) 42 CFR 438.50(c)(1)	1. <input type="checkbox"/> The state assures that all of the applicable requirements of section 1903(m) of the Act, for MCOs and MCO contracts will be met.								
1932(a)(1)(A)(i)(I) 1905(t) 42 CFR 438.50(c)(2) 1902(a)(23)(A)	2. <input checked="" type="checkbox"/> The state assures that all the applicable requirements of section 1905(t) of the Act for PCCMs and PCCM contracts (including for PCCM entities) will be met.								
1932(a)(1)(A) 42 CFR 438.50(c)(3)	3. <input type="checkbox"/> The state assures that all the applicable requirements of section 1932 (including subpart (a)(1)(A)) of the Act, for the state's option to limit freedom of choice by requiring beneficiaries to receive their benefits through managed care entities will be met.								
1932(a)(1)(A) 42 CFR 431.51 1905(a)(4)(C)	4. <input checked="" type="checkbox"/> The state assures that all the applicable requirements of 42 CFR 431.51 regarding freedom of choice for family planning services and supplies as defined in section 1905(a)(4)(C) will be met.								

State: Arkansas
 Date Received: 24 October, 2018
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Citation	Condition or Requirement
42 CFR 438.10(g)(2)(vii)	
1932(a)(1)(A)	5. <input type="checkbox"/> The state assures that it appropriately identifies individuals in the mandatory exempt groups identified in 1932(a)(1)(A)(i).
1932(a)(1)(A) 42 CFR 438 1903(m)	6. <input checked="" type="checkbox"/> The state assures that all applicable managed care requirements of 42 CFR Part 438 for MCOs, PCCMs, and PCCM entities will be met.
1932(a)(1)(A) 42 CFR 438.4 42 CFR 438.5 42 CFR 438.7 42 CFR 438.8 42 CFR 438.74 42 CFR 438.50(c)(6)	7. <input type="checkbox"/> The state assures that all applicable requirements of 42 CFR 438.4, 438.5, 438.7, 438.8, and 438.74 for payments under any risk contracts will be met.
1932(a)(1)(A) 42 CFR 447.362 42 CFR 438.50(c)(6)	8. <input checked="" type="checkbox"/> The state assures that all applicable requirements of 42 CFR 447.362 for payments under any non-risk contracts will be met.
45 CFR 75.326	9. <input checked="" type="checkbox"/> The state assures that all applicable requirements of 45 CFR 75.326 for procurement of contracts will be met.
42 CFR 438.66	10. Assurances regarding state monitoring requirements: <input checked="" type="checkbox"/> The state assures that all applicable requirements of 42 CFR 438.66(a), (b), and (c), regarding a monitoring system and using data to improve the performance of its managed care program, will be met. <input checked="" type="checkbox"/> The state assures that all applicable requirements of 42 CFR 438.66(d), regarding readiness assessment, will be met. <input checked="" type="checkbox"/> The state assures that all applicable requirements of 42 CFR 438.66(e), regarding reporting to CMS about the managed care program, will be met.
1932(a)(1)(A) 1932(a)(2)	E. <u>Populations and Geographic Area.</u> 1. Included Populations. Please check which eligibility groups are included, if they are enrolled on a Mandatory (M) or Voluntary (V) basis (as defined in 42 CFR 438.54(b)) or Excluded (E) , and the geographic scope of enrollment. Under the Geographic Area column, please indicate whether the nature of the population's enrollment is on a statewide basis, or if on less than a statewide basis, please list the applicable counties/regions. Also, if type of enrollment varies by geographic area (for example, mandatory in some areas and voluntary in other areas), please note specifics in the Geographic Area column. Under the Notes column, please note any additional relevant details about the population or enrollment.

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Citation Condition or Requirement

A. Mandatory Eligibility Groups (Eligibility Groups to which a state must provide Medicaid coverage)
1. Family/Adult

Eligibility Group	Citation (Regulation [42 CFR] or SSA)	M	V	E	Geographic Area (include specifics if M/V/E varies by area)	Notes
1. Parents and Other Caretaker Relatives	§435.110	X			Statewide	
2. Pregnant Women	§435.116	X			Statewide	Required to enroll with a PCCM only if they need non-obstetrical services which require a PCP referral.
3. Children Under Age 19 (Inclusive of Deemed Newborns under §435.117)	§435.118	X			Statewide	
4. Former Foster Care Youth (up to age 26)	§435.150	X			Statewide	
5. Adult Group (Non-pregnant individuals age 19-64 not eligible for Medicare with income no more than 133% FPL)	§435.119	X				Required only if deemed frail and receiving
						Traditional Medicaid.
6. Transitional Medical Assistance (Includes adults and children, if not eligible under §435.116, §435.118, or §435.119)	1902(a)(52), 1902(e)(1), 1925, and 1931(c)(2) of SSA	X			Statewide	
7. Extended Medicaid Due to Spousal Support Collections	§435.115	X			Statewide	

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Citation Condition or Requirement

2. Aged/Blind/Disabled Individuals						
Eligibility Group	Citation (Regulation [42 CFR] or SSA)	M	V	E	Geographic Area (include specifics if M/V/E varies by area)	Notes
8. Individuals Receiving SSI age 19 and over only (See E.2. below regarding age <19)	§435.120	X			Statewide	Exclude Medicare Beneficiaries.
9. Aged and Disabled Individuals in 209(b) States	§435.121					N/A—AR is a 1634 State.
10. Individuals Who Would be Eligible for SSI/SSP but for OASDI COLA Increase since April, 1977	§435.135	X			Statewide	Exclude Medicare Beneficiaries.
11. Disabled Widows and Widowers Ineligible for SSI due to an increase of OASDI	§435.137	X			Statewide	Exclude Medicare Beneficiaries.
12. Disabled Widows and Widowers Ineligible for SSI due to Early Receipt of Social Security	§435.138	X			Statewide	Exclude Medicare Beneficiaries.
13. Working Disabled under 1619(b)	1619(b), 1902(a)(10)(A)(i)(II), and 1905(q) of SSA	X			Statewide	Exclude Medicare Beneficiaries.
14. Disabled Adult Children	1634(c) of SSA	X			Statewide	

B. Optional Eligibility Groups

1. Family/Adult

Eligibility Group	Citation (Regulation [42 CFR] or SSA)	M	V	E	Geographic Area (include specifics if M/V/E varies by area)	Notes
1. Optional Parents and Other Caretaker Relatives	§435.220					N/A
2. Optional Targeted Low-Income Children	§435.229					N/A
3. Independent Foster Care Adolescents Under Age 21	§435.226					N/A
4. Individuals Under Age 65 with Income Over 133%	§435.218					N/A
5. Optional Reasonable Classifications of Children Under Age 21	§435.222					N/A
6. Individuals Electing COBRA Continuation Coverage	1902(a)(10)(F) of SSA					N/A

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TN: 18-0013
 Supersedes TN: 13-0008

Approved: 02/28/2019

Effective: 01/01/2019

State: Arkansas

Citation Condition or Requirement

2. Aged/Blind/Disabled Individuals						
Eligibility Group	Citation (Regulation [42 CFR] or SSA)	M	V	E	Geographic Area (include specifics if M/V/E varies by area)	Notes
7. Aged, Blind or Disabled Individuals Eligible for but Not Receiving Cash	§435.210 and §435.230					N/A
8. Individuals eligible for Cash except for Institutionalized Status	§435.211			X		
9. Individuals Receiving Home and Community-Based Waiver Services Under Institutional Rules	§435.217			X		
10. Optional State Supplement Recipients - 1634 and SSI Criteria States – with 1616 Agreements	§435.232					N/A
11. Optional State Supplemental Recipients- 209(b) States and SSI criteria States without 1616 Agreements	§435.234					N/A
12. Institutionalized Individuals Eligible under a Special Income Level	§435.236			X		
13. Individuals Participating in a PACE Program under Institutional Rules	1934 of the SSA			X		
14. Individuals Receiving Hospice Care	1902(a)(10)(A)(ii) (VII) and 1905(o) of the SSA			X		Institutionalized
15. Poverty Level Aged or Disabled	1902(a)(10)(A)(ii) (X) and 1902(m)(1) of the SSA	X			Statewide	Exclude Medicare Beneficiaries. (AR entitles ARSeniors)
16. Work Incentive Group	1902(a)(10)(A)(ii) (XIII) of the SSA					N/A
17. Ticket to Work Basic Group	1902(a)(10)(A)(ii) (XV) of the SSA	X			Statewide	Exclude Medicare Beneficiaries. (AR entitles Workers with Disabilities)
18. Ticket to Work Medically Improved Group	1902(a)(10)(A)(ii) (XVI) of the SSA					N/A
19. Family Opportunity Act Children with Disabilities	1902(a)(10)(A)(ii) (XIX) of the SSA					N/A
20. Individuals Eligible for State Plan Home and Community-Based Services	§435.219			X		

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Citation Condition or Requirement

3. Partial Benefits

Eligibility Group	Citation (Regulation [42 CFR] or SSA)	M	V	E	Geographic Area (include specifics if M/V/E varies by area)	Notes
21. Family Planning Services	§435.214					N/A
22. Individuals with Tuberculosis	§435.215					N/A
23. Individuals Needing Treatment for Breast or Cervical Cancer (under age 65)	§435.213					N/A

C. Medically Needy

Eligibility Group	Citation (Regulation [42 CFR] or SSA)	M	V	E	Geographic Area (include specifics if M/V/E varies by area)	Notes
1. Medically Needy Pregnant Women	§435.301(b)(1)(i) and (iv)			X		
2. Medically Needy Children under Age 18	§435.301(b)(1)(ii)			X		
3. Medically Needy Children Age 18 through 20	§435.308					N/A
4. Medically Needy Parents and Other Caretaker Relatives	§435.310			X		
5. Medically Needy Aged	§435.320			X		
6. Medically Needy Blind	§435.322			X		
7. Medically Needy Disabled	§435.324			X		
8. Medically Needy Aged, Blind and Disabled in 209(b) States	§435.330					N/A

2. **Voluntary Only or Excluded Populations.** Under this managed care authority, some populations cannot be subject to mandatory enrollment in an MCO, PCCM, or PCCM entity (per 42 CFR 438.50(d)). Some such populations are Eligibility Groups separate from those listed above in E.1., while others (such as American Indians/Alaskan Natives) can be part of multiple Eligibility Groups identified in E.1. above.

Please indicate if any of the following populations are excluded from the program, or have only voluntary enrollment (even if they are part of an eligibility group listed above in E.1. as having mandatory enrollment):

Population	Citation (Regulation [42 CFR] or SSA)	V	E	Geographic Area	Notes
Medicare Savings Program – Qualified Medicare Beneficiaries, Qualified Disabled Working Individuals, Specified Low Income Medicare Beneficiaries, and/or Qualifying Individuals	1902(a)(10)(E), 1905(p), 1905(s) of the SSA		X		

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Population	Citation (Regulation [42 CFR] or SSA)	V	E	Geographic Area	Notes
“Dual Eligibles” not described under Medicare Savings Program - Medicaid beneficiaries enrolled in an eligibility group other than one of the Medicare Savings Program groups who are also eligible for Medicare			X		
American Indian/Alaskan Native — Medicaid beneficiaries who are American Indians or Alaskan Natives and members of federally recognized tribes	§438.14	X		Statewide	
Children Receiving SSI who are Under Age 19 - Children under 19 years of age who are eligible for SSI under title XVI	§435.120	X		Statewide	
Qualified Disabled Children Under Age 19 - Certain children under 19 living at home, who are disabled and would be eligible if they were living in a medical institution.	§435.225 1902(e)(3) of the SSA	X		Statewide	This population is covered under 1115 TEFRA Waiver
Title IV-E Children - Children receiving foster care, adoption assistance, or kinship guardianship assistance under title IV-E *	§435.145	X		Statewide	
Non-Title IV-E Adoption Assistance Under Age 21*	§435.227	X		Statewide	
Children with Special Health Care Needs - Receiving services through a family-centered, community-based, coordinated care system that receives grant funds under section 501(a)(1)(D) of Title V, and is defined by the State in terms of either program participation or special health care needs.		X		Statewide	

* = Note – Individuals in these two Eligibility Groups who are age 19 and 20 can have mandatory enrollment in managed care, while those under age 19 cannot have mandatory enrollment. Use the Notes column to indicate if you plan to mandatorily enroll 19 and 20 year olds in these Eligibility Groups.

3. **(Optional) Other Exceptions.** The following populations (which can be part of various Eligibility Groups) can be subject to mandatory enrollment in managed care, but states may elect to make exceptions for these or other individuals. Please indicate if any of the following populations are excluded from the program, or have only voluntary enrollment (even if they are part of an eligibility group listed above in E.1. as having mandatory enrollment):

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Population	V	E	Notes
Other Insurance --Medicaid beneficiaries who have other health insurance		X	
Reside in Nursing Facility or ICF/IID --Medicaid beneficiaries who reside in Nursing Facilities (NF) or Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID).		X	
Enrolled in Another Managed Care Program --Medicaid beneficiaries who are enrolled in another Medicaid managed care program		X	
Eligibility Less Than 3 Months --Medicaid beneficiaries who would have less than three months of Medicaid eligibility remaining upon enrollment into the program		X	
Participate in HCBS Waiver --Medicaid beneficiaries who participate in a Home and Community Based Waiver (HCBS, also referred to as a 1915(c) waiver).		X	
Retroactive Eligibility --Medicaid beneficiaries for the period of retroactive eligibility.		X	
Other (Please define):			

1932(a)(4)

42 CFR 438.54

F. Enrollment Process.

Based on whether mandatory and/or voluntary enrollment are applicable to your program (see E. Populations and Geographic Area and definitions in 42 CFR 438.54(b)), please complete the below:

1. For **voluntary** enrollment: (see 42 CFR 438.54(c))

- a. Please describe how the state fulfills its obligations to provide information as specified in 42 CFR 438.10(c)(4), 42 CFR 438.10(e) and 42 CFR 438.54(c)(3).

State with voluntary enrollment must have an enrollment choice period or passive enrollment. Please indicate which will apply to the managed care program:

- b. ☐ If applicable, please check here to indicate that the state provides an **enrollment choice period**, as described in 42 CFR 438.54(c)(1)(i) and 42 CFR 438.54(c)(2)(i), during which individuals who are subject to voluntary enrollment may make an active choice to enroll in the managed care program, or will otherwise continue to receive covered services through the fee-for-service delivery system.
- i. Please indicate the length of the enrollment choice period:

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- c. ☐ If applicable, please check here to indicate that the state uses a **passive enrollment** process, as described in 42 CFR 438.54(c)(1)(ii) and 438.54(c)(2)(ii), for individuals who are subject to voluntary enrollment.
- i. If so, please describe the algorithm used for passive enrollment and how the algorithm and the state's provision of information meets all of the requirements of 42 CFR 438.54(c)(4),(5),(6),(7), and (8).
 - ii. Please indicate how long the enrollee will have to disenroll from the plan and return to the fee-for-service delivery system:
2. For **mandatory** enrollment: (see 42 CFR 438.54(d))
- a. Please describe how the state fulfills its obligations to provide information as specified in 42 CFR 438.10(c)(4), 42 CFR 438.10(e) and 42 CFR 438.54(d)(3).

Medicaid provides the Arkansas Medicaid Handbook online through Medicaid.mmis.arkansas.gov as well as by simply typing in AR Medicaid handbook. This handbook provides information on how to enroll in Medicaid and how to contact ConnectCare, who assists our beneficiaries as well as providers in enrollment, and change of primary care provider. The Handbook provides all information that may be needed as to definitions, coverage, and how to reach a customer representative. Our contractor AFMC, who also holds the contract for ConnectCare, provides education sessions across the state for Medicaid beneficiaries through AFMC Medicaid Beneficiary Education. Each enrollee also receives notification by either mail or email of rights and processes to choose or change providers as well as how to access coverage and definitions.

- b. ☐ If applicable, please check here to indicate that the state provides an **enrollment choice period**, as described in 42 CFR 438.54(d)(2)(i), during which individuals who are subject to mandatory enrollment may make an active choice to select a managed care plan, or will otherwise be enrolled in a plan selected by the State's default enrollment process.
- i. Please indicate the length of the enrollment choice period:
- c. ☐ If applicable, please check here to indicate that the state uses a **default** enrollment process, as described in 42 CFR 438.54(d)(5), for individuals who are subject to mandatory enrollment.
- i. If so, please describe the algorithm used for default enrollment and how it meets all of the requirements of 42 CFR 438.54(d)(4), (5), (7), and (8).

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- d. ☐ If applicable, please check here to indicate that the state uses a **passive enrollment** process, as described in 42 CFR 438.54(d)(2), for individuals who are subject to mandatory enrollment.
- i. If so, please describe the algorithm used for passive enrollment and how it meets all of the requirements of 42 CFR 438.54(d)(4), (6), (7), and (8).

1932(a)(4)
42 CFR 438.54

3. State assurances on the enrollment process.

Place a check mark to affirm the state has met all of the applicable requirements of choice, enrollment, and re-enrollment.

42 CFR 438.52

- a. ☒ The state assures that, per the choice requirements in 42 CFR 438.52:

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- i. Medicaid beneficiaries with mandatory enrollment in an MCO will have a choice of at least two MCOs unless the area is considered rural as defined in 42 CFR 438.52(b)(3);
- ii. Medicaid beneficiaries with mandatory enrollment in a primary care case management system will have a choice of at least two primary care case managers employed by or contracted with the State;
- iii. Medicaid beneficiaries with mandatory enrollment in a PCCM entity may be limited to a single PCCM entity and will have a choice of at least two PCCMs employed by or contracted with the PCCM entity.

42 CFR 438.52

- b. ☐ The state plan program applies the rural exception to choice requirements of 42 CFR 438.52(a) for MCOs in accordance with 42 CFR 438.52(b). Please list the impacted rural counties:

☒ This provision is not applicable to this 1932 State Plan Amendment.

42 CFR 438.56(g)

- c. ☐ The state applies the automatic reenrollment provision in accordance with 42 CFR 438.56(g) if the recipient is disenrolled solely because he or she loses Medicaid eligibility for a period of 2 months or less.

☒ This provision is not applicable to this 1932 State Plan Amendment.

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Citation	Condition or Requirement
42 CFR 438.71	d. <input checked="" type="checkbox"/> The state assures that all applicable requirements of 42 CFR 438.71 regarding developing and implementing a beneficiary support system that provides support to beneficiaries both prior to and after MCO, PCCM, or PCCM entity enrollment will be met.
1932(a)(4) 42 CFR 438.56	G. <u>Disenrollment.</u> 1. The state will <input type="checkbox"/> / will not <input checked="" type="checkbox"/> limit disenrollment for managed care. 2. The disenrollment limitation will apply for <u>N/A</u> (up to 12 months). 3. <input checked="" type="checkbox"/> The state assures that beneficiary requests for disenrollment (with and without cause) will be permitted in accordance with 42 CFR 438.56. 4. Describe the state's process for notifying the Medicaid beneficiaries of their right to disenroll without cause during the 90 days following the date of their initial enrollment into the MCO, PCCM, or PCCM entity. (<i>Examples: state generated correspondence, enrollment packets, etc.</i>) A letter or email (recipient's choice) is sent to the recipient from ConnectCare when the recipient is first enrolled in Medicaid. The letter/email informs the recipient of who their PCP/PCCM is and how to disenroll or change their PCP/PCCM. 5. Describe any additional circumstances of "cause" for disenrollment (if any). H. <u>Information Requirements for Beneficiaries.</u> <input checked="" type="checkbox"/> The state assures that its state plan program is in compliance with 42 CFR 438.10 for information requirements specific to MCOs, PCCMs, and PCCM entity programs operated under section 1932(a)(1)(A)(i) state plan amendments.
1932(a)(5)(c) 42 CFR 438.50 42 CFR 438.10	
1932(a)(5)(D)(b) 1903(m) 1905(t)(3)	I. <u>List all benefits for which the MCO is responsible.</u> Complete the chart below to indicate every State Plan-Approved services that will be delivered by the MCO, and where each of those services is described in the state's Medicaid State Plan. For "other practitioner services", list each provider type separately. For rehabilitative services, habilitative services, EPSDT services and 1915(i), (j) and (k) services list each program separately by its own list of services. Add additional rows as necessary. In the first column of the chart below, enter the name of each State Plan-Approved service delivered by the MCO. In the second – fourth column of the chart, enter a State Plan citation providing the Attachment number, Page number, and Item number, respectively.

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State Plan-Approved Service Delivered by the MCO	Medicaid State Plan Citation		
	Attachment #	Page #	Item #
<i>Ex. Physical Therapy</i>	<i>3.1-A</i>	<i>4</i>	<i>11.a</i>

1932(a)(5)(D)(b)(4) J. ☐ The state assures that each MCO has established an internal grievance and
 42 CFR 438.228 appeal system for enrollees.

1932(a)(5)(D)(b)(5) K. Services, including capacity, network adequacy, coordination, and continuity.

42 CFR 438.62
 42 CFR 438.68
 42 CFR 438.206
 42 CFR 438.207
 42 CFR 438.208

☒ The state assures that all applicable requirements of 42 CFR 438.62, regarding continued service to enrollees, will be met.

☐ The state assures that all applicable requirements of 42 CFR 438.68, regarding network adequacy standards, will be met.

☐ The state assures that all applicable requirements of 42 CFR 438.206, regarding availability of services, will be met.

☐ The state assures that all applicable requirements of 42 CFR 438.207, regarding assurances of adequate capacity and services, will be met.

☐ The state assures that all applicable requirements of 42 CFR 438.208, regarding coordination and continuity of care, will be met.

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1932(c)(1)(A) 42 CFR 438.330 42 CFR 438.340	L. <input checked="" type="checkbox"/> The state assures that all applicable requirements of 42 CFR 438.330 and 438.340, regarding a quality assessment and performance improvement program and State quality strategy, will be met.
1932(c)(2)(A) 42 CFR 438.350 42 CFR 438.354 42 CFR 438.364 1932 (a)(1)(A)(ii)	M. <input checked="" type="checkbox"/> The state assures that all applicable requirements of 42 CFR 438.350, 438.354, and 438.364 regarding an annual external independent review conducted by a qualified independent entity, will be met. N. <u>Selective Contracting Under a 1932 State Plan Option.</u> To respond to items #1 and #2, place a check mark. The third item requires a brief narrative. 1. The state will <input type="checkbox"/> /will not <input checked="" type="checkbox"/> intentionally limit the number of entities it contracts under a 1932 state plan option. 2. <input checked="" type="checkbox"/> The state assures that if it limits the number of contracting entities, this limitation will not substantially impair beneficiary access to services. 3. Describe the criteria the state uses to limit the number of entities it contracts under a 1932 state plan option. (<i>Example: a limited number of providers and/or enrollees.</i>) A PCCM must establish his or her Medicaid caseload limit, of a maximum of 2500. The state will permit higher maximums in areas the federal government has designated as medically underserved. The state may permit higher maximum caseloads for Primary Care Providers who so request if the limit would create a hardship on their practice. 4. <input type="checkbox"/> The selective contracting provision in not applicable to this state plan.

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Appendix A: Compliance Dates (from Supplementary Information in 81 FR 27497, published 5/6/2016)

States must comply with all provisions in effect as of the issuance of this preprint. Additionally, the following compliance dates apply:

Compliance Dates	Sections
For rating periods for Medicaid managed care contracts beginning before July 1, 2017, States will not be held out of compliance with the changes adopted in the following sections so long as they comply with the corresponding standard(s) codified in 42 CFR part 438 contained in 42 CFR parts 430 to 481, edition revised as of October 1, 2015. States must comply with these requirements no later than the rating period for Medicaid managed care contracts starting on or after July 1, 2017.	§§ 438.3(h), 438.3(m), 438.3(q) through (u), 438.4(b)(7), 438.4(b)(8), 438.5(b) through (f), 438.6(b)(3), 438.6(c) and (d), 438.7(b), 438.7(c)(1) and (2), 438.8, 438.9, 438.10, 438.14, 438.56(d)(2)(iv), 438.66(a) through (d), 438.70, 438.74, 438.110, 438.208, 438.210, 438.230, 438.242, 438.330, 438.332, 438.400, 438.402, 438.404, 438.406, 438.408, 438.410, 438.414, 438.416, 438.420, 438.424, 438.602(a), 438.602(c) through (h), 438.604, 438.606, 438.608(a), and 438.608(c) and (d)
For rating periods for Medicaid managed care contracts beginning before July 1, 2018, states will not be held out of compliance with the changes adopted in the following sections so long as they comply with the corresponding standard(s) codified in 42 CFR part 438 contained in the 42 CFR parts 430 to 481, edition revised as of October 1, 2015. States must comply with these requirements no later than the rating period for Medicaid managed care contracts starting on or after July 1, 2018.	§§ 438.4(b)(3), 438.4(b)(4), 438.7(c)(3), 438.62, 438.68, 438.71, 438.206, 438.207, 438.602(b), 438.608(b), and 438.818
States must be in compliance with the requirements at § 438.4(b)(9) no later than the rating period for Medicaid managed care contracts starting on or after July 1, 2019.	§ 438.4(b)(9)
States must be in compliance with the requirements at § 438.66(e) no later than the rating period for Medicaid managed care contracts starting on or after the date of the publication of CMS guidance.	§ 438.66(e)
States must be in compliance with § 438.334 no later than 3 years from the date of a final notice published in the Federal Register.	§ 438.334
Until July 1, 2018 , states will not be held out of compliance with the changes adopted in the following sections so long as they comply with the corresponding standard(s) codified in 42	§§ 438.340, 438.350, 438.354, 438.356, 438.358, 438.360, 438.362, and 438.364

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Compliance Dates	Sections
CFR part 438 contained in the 42 CFR parts 430 to 481, edition revised as of October 1, 2015.	
States must begin conducting the EQR-related activity described in § 438.358(b)(1)(iv) (relating to the mandatory EQR-related activity of validation of network adequacy) no later than one year from the issuance of the associated EQR protocol.	§ 438.358(b)(1)(iv)
States may begin conducting the EQR-related activity described in § 438.358(c)(6) (relating to the optional EQR-related activity of plan rating) no earlier than the issuance of the associated EQR protocol.	§ 438.358(c)(6)

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0933. The time required to complete this information collection is estimated to average 10 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850

CMS-10120 (exp. TBD – currently 4/30/17)

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- Better able to improve the beneficiary's quality of life by assisting them in self-managing their disease and in accessing regular preventative health care.

- b. Arkansas Department of Human Services engages a network of credentialed primary care physicians to meet medical needs for enrolled beneficiaries. The PCMH provider is responsible for overall health care services for beneficiaries.

42 CFR 438.50(b) (2)
42 CFR 438.50(b) (3)

2. The payment method to the contracting entity will be:

- ☐ i. fee for service;
- ☐ ii. capitation;
- ☒ iii. a case management fee;
- ☒ iv. a bonus/incentive payment;
- ☐ v. a supplemental payment, or
- ☐ vi. other. (Please provide a description below).

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DMS offers two types of payments to Arkansas Patient Centered Medical Homes (PCMHs): (1) care coordination payments and (2) **performance-based** incentive payments.

The care coordination payment may be used by participating practices for care coordination efforts, whether these are executed by a vendor on behalf of the practice or directly by the practice. Care coordination payments are risk adjusted to account for the varying levels of care coordination services needed for patients with different risk profiles.

Performance-based incentive payments are annual payments made to a PCMH for delivery of economic, efficient and quality care.

Each year the PCMHs are assessed in cost utilization measures. Those PCMHs that fall into the negotiated threshold of cost utilization measures will be eligible for performance-based incentive payments. Performance-based incentive payments will be risk and time adjusted.

DMS will also select a yearly focus measure to reward top performing PCMHs. The focus measure will focus on an area in which the state performance is significantly lower than national average.

DMS has established top performance thresholds for utilization measures, as described in the DMS PCMH Provider Manual. These thresholds will help determine rewards for efficient, economic, and quality care.

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DMS will:

- Provide CMS, at least annually, with data and reports supporting achievements in the goals of improving health, increasing quality and lowering the growth of health care costs.
- Provide CMS with updates, as conducted, to the state's metrics.
- Review and renew the payment methodology as part of the evaluation.
- Make all necessary modifications to the methodology, including those determined based on the evaluation and program success, through State Plan Amendment submissions.

1905(t)
42 CFR 440.168
42 CFR 438.6(c)(5)(iii)(iv)

3. For states that pay a PCCM on a fee-for-service basis, incentive payments are permitted as an enhancement to the PCCM's case management fee, if certain conditions are met.

If applicable to this state plan, place a check mark to affirm the state has met *all* of the following conditions (which are identical to the risk incentive rules for managed care contracts published in 42 CFR 438.6(c)(5)(iv)).

- ☐ i. Incentive payments to the PCCM will not exceed 5% of the total FFS payments for those services provided or authorized by the PCCM for the period covered.
- ☐ ii. Incentives will be based upon specific activities and targets.
- ☐ iii. Incentives will be based upon a fixed period of time.
- ☐ iv. Incentives will not be renewed automatically.
- ☐ v. Incentives will be made available to both public and private PCCMs.
- ☐ vi. Incentives will not be conditioned on intergovernmental transfer agreements.

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 X vii. Not applicable to this 1932 state plan amendment.

CFR 438.50(b)(4)

4. Describe the public process utilized for both the design of the program and its initial implementation. In addition, describe what methods the state will use to ensure ongoing public involvement once the state plan program has been implemented.

The State established a website (www.paymentinitiative.org) to keep the public informed during the design of the PCMH program and provide current information on progress towards implementation. The website is a 'one stop shop' for documents and information PCMH and includes an email address for interested parties to send suggestions. The State also established a toll free number manned by service representatives to answer public/provider questions on PCMH program. These service representatives triage and escalate as needed, and catalogue questions for changes to the technical design, operational processes, or communications.

The PCMH Provider Manual explaining the program in detail is posted on the website. Webinars on program overview, enrollment process, benefits and requirements are also posted on the website along with FAQs on relevant topics.

There **is** a statewide promulgation process **including** a 30 day public comment period, after which feedback is incorporated into **the** version that **is** submitted for State legislative approval.

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	Meaningful updates to the provider manual will be shared with CMS to enable continued collaboration and open lines of communication
1932(a)(1)(A)	5. The state plan program will <u>X</u> /will not __implement mandatory enrollment into managed care on a statewide basis. If not statewide, mandatory____/ voluntary__enrollment will be implemented in the following counties: i. county/counties (mandatory) _____ ii. area/areas (mandatory) _____ iii. area/areas (voluntary) _____

B. State Assurances and Compliance with the Statute and Regulations.

If applicable to the state plan, place a check mark to affirm that compliance with the following statutes and regulations will be met.

- | | |
|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|
| 1932(a)(1)(A)(i)(I)
1903(m)
42 CFR 438.50(c)(1) | 1. __The state assures that all of the applicable requirements of section 1903(m) of the Act, for MCOs and MCO contracts will be met. |
| 1932(a)(1)(A)(i)(I)
1905(t)
42 CFR 438.50(c)(2)
1902(a)(23)(A) | 2. <u>X</u> The state assures that all the applicable requirements of section 1905(t) of the Act for PCCMs and PCCM contracts will be met. |
| 1932(a)(1)(A) | 3. __ The state assures that all the applicable requirements of section 1932 |

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