

**Facesheet: 1. Request Information (1 of 2)**

- A. The **State of Indiana** requests a waiver/amendment under the authority of section 1915(b) of the Act. The Medicaid agency will directly operate the waiver.
- B. **Name of Waiver Program(s):** Please list each program name the waiver authorizes.

Short title (nickname)	Long title	Type of Program
Care Connect	Hoosier Care Connect	MCO;

**Waiver Application Title** (optional - this title will be used to locate this waiver in the finder):

Hoosier Care Connect Program

- C. **Type of Request.** This is an:

**Renewal request.**

**The State has used this waiver format for its previous waiver period.**

The renewal modifies (Sect/Part):

Facesheet 1  
 C renewal changes/updates  
 D Proposed date changed

Tribal Consultation updated language to show completion

Section A Part III.1

Section B part II. d other, e, g, m

111.1 changed date of quality strategy  
 Section C Monitoring Results  
 Renewal waiver request

Section D Updated medical eligibility groups  
 D.E.c Updated member months  
 D.E.e Updated member months  
 D.G.c administration in actual waiver cost  
 D2.A Administration in waiver cost updated  
 D4.J.a.1 Conversion or Renewal Waiver Cost Projections and Adjustments  
 D4.J.a.2.ii Conversion or Renewal Waiver Cost Projection and Adjustments  
 D\$.J.b.i  
 D4.J.c.2.ii Conversion or Renewal Waiver Cost Projection and Adjustments  
 D4.c.2.ii.D Conversion or Renewal Waiver Cost Projection and Adjustments  
 D6.L RO Targets  
 D7.a.1 Summary  
 D7.a.2 Summary

**Requested Approval Period:**(For waivers requesting three, four, or five year approval periods, the waiver must serve individuals who are dually eligible for Medicaid and Medicare.)

- 1 year
- 2 years
- 3 years
- 4 years

5 years

**Draft ID:IN.008.05.00**

**Waiver Number:IN.0004.R05.00**

**D. Effective Dates:** This renewal is requested for a period of 2 years. (For beginning date for an initial or renewal request, please choose first day of a calendar quarter, if possible, or if not, the first day of a month. For an amendment, please identify the implementation date as the beginning date, and end of the waiver period as the end date)

**Proposed Effective Date:** (mm/dd/yy)

01/01/26

**Proposed End Date:**

Waiver Year #1: 01/01/2026 - 12/31/2026

Waiver Year #2: 01/01/2027 - 12/31/2027

**Facesheet: 2. State Contact(s) (2 of 2)**

**E. State Contact:** The state contact person for this waiver is below:

**Name:**

Carol Sutton

**Phone:**

(317) 233-6486

**Ext:**

**TTY**

**Fax:**

(314) 234-5076

**E-mail:**

Carol.sutton@fssa.in.gov

**If the State contact information is different for any of the authorized programs, please check the program name below and provide the contact information.**

**The State contact information is different for the following programs:**

**Hoosier Care Connect**

*Note: If no programs appear in this list, please define the programs authorized by this waiver on the first page of the*

**Section A: Program Description**

**Part I: Program Overview**

**Tribal consultation.**

For initial and renewal waiver requests, please describe the efforts the State has made to ensure Federally recognized tribes in the State are aware of and have had the opportunity to comment on this waiver proposal.

The Director of Health Services of the Pokagon Band of Potawatomi was notified in writing on July 9, 2025 of the waiver renewal and asked to submit comments or questions directly to the Indiana Family and Social Services Administration (FSSA). The comment period ran from July 9, 2025 through September 7, 2025. During the 60-day consultation period, two clarifications were received from the Tribe, regarding out of network facilities and services provided, timely processing of claims and prior authorizations. The state affirms it is in compliance with these requirements and articulates such through the contracts versus waiver authority.

**Program History.**

For renewal waivers, please provide a brief history of the program(s) authorized under the waiver. Include implementation date and major milestones (phase-in timeframe; new populations added; major new features of existing program; new programs added).

The Indiana General Assembly passed House Enrolled Act 1328 in 2013, which tasked the Indiana Family and Social Services Administration (FSSA) with exploring risk-based managed care options for aged, blind and disabled Medicaid members. As a result of this legislation, FSSA formed the Aged, Blind and Disabled Task Force to engage various stakeholders in developing the goals for such a program. The task force held public hearings to gather input and issued a report with options around better care coordination strategies for the aged, blind and disabled Medicaid population.

In 2014, FSSA's Office of Medicaid Policy and Planning (OMPP) began a competitive procurement process to select managed care entities (MCEs) to service this complex population in the Hoosier Care Connect (HCC) program. The health plans selected to serve the HCC members were chosen through a Request for Proposals [RFP #15-001]. The state selected three MCEs to administer the HCC program.

In February and March of 2015 town hall meetings were held in Bloomington, Fort Wayne and Valparaiso on Ivy Tech campuses to provide information on the HCC and its goals. Representatives from FSSA and each of the MCEs presented information and answered questions from potential members, their families, health care providers and the public. The HCC program was implemented April 1, 2015, with a phase in of members in the first three months. By July 1, 2015, 95,751 eligible members who had mandatory enrollment were enrolled. One subset of the HCC eligible population, wards of the state and foster children, may voluntarily enroll. Approximately ten percent of the wards and fosters are enrolled in HCC.

Beginning January 1, 2019, HCC includes institutional hospice members to the program. This population will no longer move to fee for service Medicaid for their institutional hospice care, but instead will remain with their managed care entity for the duration of their hospice care.

With the implementation of HCC, Indiana now has a comprehensive care management program for members with new or complex health conditions, high rates of health services consumption and pharmacy needs, high utilization of emergency services, multiple-chronic conditions and special health care needs.

The state's enrollment broker, Maximus, provides independent information and assistance with MCE selection to applicants as detailed in the member outreach letters sent by Maximus to new HCC enrollees. Within five calendar days of enrollment, the MCE sends a welcome packet that includes a new member letter, an explanation on how to find information about the MCE's provider network and a copy of the member handbook. The information includes how to select a primary medical provider, how to complete a health screening assessment, and unique features of the MCE, as well as educational materials and the recommended preventive care services.

Network adequacy was assessed periodically through the network geographic access assessment, 24-hour availability audit and provider directory audits. No significant access concerns have been reported to the state by members enrolled in the program. HCC members receive all Medicaid-covered benefits in addition to care coordination services. Care coordination is a client-centered, assessment-based approach to integrating health care and social support services and is offered to all HCC members through disease management, care management and complex case management. Within care coordination, services are managed by a care coordinator and individuals' needs are assessed and a comprehensive care plan is developed. The outcome of assessment determines the member's level of care and then the member is assigned to one of the levels of care coordination.

Medication therapy management (MTM) is another avenue used by the MCEs to provide care coordination for their members. MTM is medical care provided by pharmacists whose aim is to optimize drug therapy and improve therapeutic outcomes for members. MTM ensures members are receiving the most effective medications while also helping to reduce the side effects and interactions as well as members' out-of-pocket costs. A high percentage of HCC members qualify for MTM.

The MCEs serve as the Right Choices Program (RCP) administrators on behalf of the state for HCC members who use services more extensively than their peers. The program is designed to monitor member utilization and, when appropriate, implement restrictions for those members who would benefit from increased care coordination.

HCC members are learning, through the use of care coordination, how to properly use insurance as evidenced by gradual but continual increase in the utilization of preventive health care services. Another benefit of HCC care coordination is that members now are being treated and maintained with medications for their chronic medical problems.

## Section A: Program Description

### Part I: Program Overview

A. Statutory Authority (1 of 3)

1. **Waiver Authority.** The State's waiver program is authorized under section 1915(b) of the Act, which permits the Secretary to waive provisions of section 1902 for certain purposes. Specifically, the State is relying upon authority provided in the following subsection(s) of the section 1915(b) of the Act (if more than one program authorized by this waiver, please list applicable programs below each relevant authority):

- a. **1915(b)(1)** - The State requires enrollees to obtain medical care through a primary care case management (PCCM) system or specialty physician services arrangements. This includes mandatory capitated programs.  
-- *Specify Program Instance(s) applicable to this authority*

**Care Connect**

- b. **1915(b)(2)** - A locality will act as a central broker (agent, facilitator, negotiator) in assisting eligible individuals in choosing among PCCMs or competing MCOs/PIHPs/PAHPs in order to provide enrollees with more information about the range of health care options open to them.  
-- *Specify Program Instance(s) applicable to this authority*

**Care Connect**

- c. **1915(b)(3)** - The State will share cost savings resulting from the use of more cost-effective medical care with enrollees by providing them with additional services. The savings must be expended for the benefit of the Medicaid beneficiary enrolled in the waiver. Note: this can only be requested in conjunction with section 1915(b)(1) or (b)(4) authority.  
-- *Specify Program Instance(s) applicable to this authority*

**Care Connect**

- d. **1915(b)(4)** - The State requires enrollees to obtain services only from specified providers who undertake to provide such services and meet reimbursement, quality, and utilization standards which are consistent with access, quality, and efficient and economic provision of covered care and services. The State assures it will comply with 42 CFR 431.55(f).  
-- *Specify Program Instance(s) applicable to this authority*

**Care Connect**

The 1915(b)(4) waiver applies to the following programs

**MCO**

**PIHP**

**PAHP**

**PCCM** (Note: please check this item if this waiver is for a PCCM program that limits who is eligible to be a primary care case manager. That is, a program that requires PCCMs to meet certain quality/utilization criteria beyond the minimum requirements required to be a fee-for-service Medicaid contracting provider.)

**FFS Selective Contracting program**

Please describe:

Section A: Program Description

Part I: Program Overview

A. Statutory Authority (2 of 3)

2. **Sections Waived.** Relying upon the authority of the above section(s), the State requests a waiver of the following sections of 1902 of the Act (if this waiver authorizes multiple programs, please list program(s) separately under each applicable statute):

- a. **Section 1902(a)(1)** - Statewideness--This section of the Act requires a Medicaid State plan to be in effect in all

political subdivisions of the State. This waiver program is not available throughout the State.  
-- Specify Program Instance(s) applicable to this statute

Care Connect

- b. **Section 1902(a)(10)(B) - Comparability of Services**--This section of the Act requires all services for categorically needy individuals to be equal in amount, duration, and scope. This waiver program includes additional benefits such as case management and health education that will not be available to other Medicaid beneficiaries not enrolled in the waiver program.  
-- Specify Program Instance(s) applicable to this statute

Care Connect

- c. **Section 1902(a)(23) - Freedom of Choice**--This Section of the Act requires Medicaid State plans to permit all individuals eligible for Medicaid to obtain medical assistance from any qualified provider in the State. Under this program, free choice of providers is restricted. That is, beneficiaries enrolled in this program must receive certain services through an MCO, PIHP, PAHP, or PCCM.  
-- Specify Program Instance(s) applicable to this statute

Care Connect

- d. **Section 1902(a)(4) - To permit the State to mandate beneficiaries into a single PIHP or PAHP, and restrict disenrollment from them.** (If state seeks waivers of additional managed care provisions, please list here).

-- Specify Program Instance(s) applicable to this statute

Care Connect

- e. **Other Statutes and Relevant Regulations Waived** - Please list any additional section(s) of the Act the State requests to waive, and include an explanation of the request.

-- Specify Program Instance(s) applicable to this statute

Care Connect

### Section A: Program Description

#### Part I: Program Overview

##### A. Statutory Authority (3 of 3)

**Additional Information.** Please enter any additional information not included in previous pages:

### Section A: Program Description

#### Part I: Program Overview

##### B. Delivery Systems (1 of 3)

**1. Delivery Systems.** The State will be using the following systems to deliver services:

- a. **MCO:** Risk-comprehensive contracts are fully-capitated and require that the contractor be an MCO or

HIO. Comprehensive means that the contractor is at risk for inpatient hospital services and any other mandatory State plan service in section 1905(a), or any three or more mandatory services in that section. References in this preprint to MCOs generally apply to these risk-comprehensive entities.

- b. PIHP:** Prepaid Inpatient Health Plan means an entity that: (1) provides medical services to enrollees under contract with the State agency, and on the basis of prepaid capitation payments or other payment arrangements that do not use State Plan payment rates; (2) provides, arranges for, or otherwise has responsibility for the provision of any inpatient hospital or institutional services for its enrollees; and (3) does not have a comprehensive risk contract. Note: this includes MCOs paid on a non-risk basis.

**The PIHP is paid on a risk basis**

**The PIHP is paid on a non-risk basis**

- c. PAHP:** Prepaid Ambulatory Health Plan means an entity that: (1) provides medical services to enrollees under contract with the State agency, and on the basis of prepaid capitation payments, or other payment arrangements that do not use State Plan payment rates; (2) does not provide or arrange for, and is not otherwise responsible for the provision of any inpatient hospital or institutional services for its enrollees; and (3) does not have a comprehensive risk contract. This includes capitated PCCMs.

**The PAHP is paid on a risk basis**

**The PAHP is paid on a non-risk basis**

- d. PCCM:** A system under which a primary care case manager contracts with the State to furnish case management services. Reimbursement is on a fee-for-service basis. Note: a capitated PCCM is a PAHP.

- e. Fee-for-service (FFS) selective contracting:** State contracts with specified providers who are willing to meet certain reimbursement, quality, and utilization standards.

**the same as stipulated in the state plan**

**different than stipulated in the state plan**

Please describe:

- f. Other:** (Please provide a brief narrative description of the model.)

## Section A: Program Description

### Part I: Program Overview

#### B. Delivery Systems (2 of 3)

- 2. Procurement.** The State selected the contractor in the following manner. Please complete for each type of managed care entity utilized (e.g. procurement for MCO; procurement for PIHP, etc):

**Procurement for MCO**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for PIHP**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for PAHP**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for PCCM**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Procurement for FFS**

**Competitive** procurement process (e.g. Request for Proposal or Invitation for Bid that is formally advertised and targets a wide audience)

**Open** cooperative procurement process (in which any qualifying contractor may participate)

**Sole source** procurement

**Other** (please describe)

**Section A: Program Description**

**Part I: Program Overview**

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**B. Delivery Systems (3 of 3)**

**Additional Information.** Please enter any additional information not included in previous pages:

## Section A: Program Description

### Part I: Program Overview

#### C. Choice of MCOs, PIHPs, PAHPs, and PCCMs (1 of 3)

##### 1. Assurances.

The State assures CMS that it complies with section 1932(a)(3) of the Act and 42 CFR 438.52, which require that a State that mandates Medicaid beneficiaries to enroll in an MCO, PIHP, PAHP, or PCCM must give those beneficiaries a choice of at least two entities.

The State seeks a waiver of section 1932(a)(3) of the Act, which requires States to offer a choice of more than one PIHP or PAHP per 42 CFR 438.52. Please describe how the State will ensure this lack of choice of PIHP or PAHP is not detrimental to beneficiaries' ability to access services.

##### 2. Details. The State will provide enrollees with the following choices (please replicate for each program in waiver):

*Program: " Hoosier Care Connect. "*

**Two or more MCOs**

**Two or more primary care providers within one PCCM system.**

**A PCCM or one or more MCOs**

**Two or more PIHPs.**

**Two or more PAHPs.**

**Other:**

please describe

## Section A: Program Description

### Part I: Program Overview

#### C. Choice of MCOs, PIHPs, PAHPs, and PCCMs (2 of 3)

##### 3. Rural Exception.

The State seeks an exception for rural area residents under section 1932(a)(3)(B) of the Act and 42 CFR 438.52(b), and assures CMS that it will meet the requirements in that regulation, including choice of physicians or case managers, and ability to go out of network in specified circumstances. The State will use the rural exception in the following areas ( "rural area" must be defined as any area other than an "urban area" as defined in 42 CFR 412.62(f)(1)(ii)):

##### 4. 1915(b)(4) Selective Contracting.

**Beneficiaries will be limited to a single provider in their service area**

Please define service area.

**Beneficiaries will be given a choice of providers in their service area**

**Section A: Program Description**

**Part I: Program Overview**

**C. Choice of MCOs, PIHPs, PAHPs, and PCCMs (3 of 3)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part I: Program Overview**

**D. Geographic Areas Served by the Waiver (1 of 2)**

**1. General.** Please indicate the area of the State where the waiver program will be implemented. (If the waiver authorizes more than one program, please list applicable programs below item(s) the State checks.

- **Statewide** -- all counties, zip codes, or regions of the State  
 -- *Specify Program Instance(s) for Statewide*

**Care Connect**

- **Less than Statewide**  
 -- *Specify Program Instance(s) for Less than Statewide*

**Care Connect**

**2. Details.** Regardless of whether item 1 or 2 is checked above, please list in the chart below the areas (i.e., cities, counties, and/or regions) and the name and type of entity or program (MCO, PIHP, PAHP, HIO, PCCM or other entity) with which the State will contract.

City/County/Region	Type of Program (PCCM, MCO, PIHP, or PAHP)	Name of Entity (for MCO, PIHP, PAHP)
Northeast Region	MCO	Anthem, MHS, UnitedHealthcare
North Central Region	MCO	Anthem, MHS, UnitedHealthcare
Northwest Region	MCO	Anthem, MHS, UnitedHealthcare
West Central Region	MCO	Anthem, MHS, UnitedHealthcare
Central Region	MCO	Anthem, MHS, UnitedHealthcare
Southwest Region	MCO	Anthem, MHS, UnitedHealthcare
East Central Region	MCO	Anthem, MHS, UnitedHealthcare
Southeast Region	MCO	Anthem, MHS, UnitedHealthcare

**Section A: Program Description**

**Part I: Program Overview**

**D. Geographic Areas Served by the Waiver (2 of 2)**

**Additional Information.** Please enter any additional information not included in previous pages:

## Section A: Program Description

### Part I: Program Overview

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#### E. Populations Included in Waiver (1 of 3)

Please note that the eligibility categories of Included Populations and Excluded Populations below may be modified as needed to fit the State's specific circumstances.

**1. Included Populations.** The following populations are included in the Waiver Program:

**Section 1931 Children and Related Populations** are children including those eligible under Section 1931, poverty-level related groups and optional groups of older children.

**Mandatory enrollment**

**Voluntary enrollment**

**Section 1931 Adults and Related Populations** are adults including those eligible under Section 1931, poverty-level pregnant women and optional group of caretaker relatives.

**Mandatory enrollment**

**Voluntary enrollment**

**Blind/Disabled Adults and Related Populations** are beneficiaries, age 18 or older, who are eligible for Medicaid due to blindness or disability. Report Blind/Disabled Adults who are age 65 or older in this category, not in Aged.

**Mandatory enrollment**

**Voluntary enrollment**

**Blind/Disabled Children and Related Populations** are beneficiaries, generally under age 18, who are eligible for Medicaid due to blindness or disability.

**Mandatory enrollment**

**Voluntary enrollment**

**Aged and Related Populations** are those Medicaid beneficiaries who are age 65 or older and not members of the Blind/Disabled population or members of the Section 1931 Adult population.

**Mandatory enrollment**

**Voluntary enrollment**

**Foster Care Children** are Medicaid beneficiaries who are receiving foster care or adoption assistance (Title IV-E), are in foster-care, or are otherwise in an out-of-home placement.

**Mandatory enrollment**

**Voluntary enrollment**

**TITLE XXI SCHIP** is an optional group of targeted low-income children who are eligible to participate in Medicaid if the State decides to administer the State Children's Health Insurance Program (SCHIP) through the Medicaid program.

**Mandatory enrollment**

**Voluntary enrollment**

**Other** (Please define):

Blind and disabled American Indians/Alaskan Natives are voluntarily enrolled in Hoosier Care Connect and may opt-out of MCO enrollment.

Voluntary enrollment for former foster children eligible under 42 CFR 435.150, children with non IV-E Adoption Assistance under 42 CFR 435.227 and independent foster care adolescents under 42 CFR 435.226.

## Section A: Program Description

### Part I: Program Overview

#### E. Populations Included in Waiver (2 of 3)

**2. Excluded Populations.** Within the groups identified above, there may be certain groups of individuals who are excluded from the Waiver Program. For example, the “Aged” population may be required to enroll into the program, but “Dual Eligibles” within that population may not be allowed to participate. In addition, “Section 1931 Children” may be able to enroll voluntarily in a managed care program, but “Foster Care Children” within that population may be excluded from that program. Please indicate if any of the following populations are excluded from participating in the Waiver Program:

**Medicare Dual Eligible** --Individuals entitled to Medicare and eligible for some category of Medicaid benefits. (Section 1902(a)(10) and Section 1902(a)(10)(E))

**Poverty Level Pregnant Women** -- Medicaid beneficiaries, who are eligible only while pregnant and for a short time after delivery. This population originally became eligible for Medicaid under the SOBRA legislation.

**Other Insurance** --Medicaid beneficiaries who have other health insurance.

**Reside in Nursing Facility or ICF/IID** --Medicaid beneficiaries who reside in Nursing Facilities (NF) or Intermediate Care Facilities for the Individuals with Intellectual Disabilities (ICF/IID).

**Enrolled in Another Managed Care Program** --Medicaid beneficiaries who are enrolled in another Medicaid managed care program

**Eligibility Less Than 3 Months** --Medicaid beneficiaries who would have less than three months of Medicaid eligibility remaining upon enrollment into the program.

**Participate in HCBS Waiver** --Medicaid beneficiaries who participate in a Home and Community Based Waiver (HCBS, also referred to as a 1915(c) waiver).

**American Indian/Alaskan Native** --Medicaid beneficiaries who are American Indians or Alaskan Natives and members of federally recognized tribes.

**Special Needs Children (State Defined)** --Medicaid beneficiaries who are special needs children as defined by the State. Please provide this definition.

**SCHIP Title XXI Children** – Medicaid beneficiaries who receive services through the SCHIP program.

**Retroactive Eligibility** – Medicaid beneficiaries for the period of retroactive eligibility.

**Other** (Please define):

Money Follows the Person grant enrollees  
 Individuals in a psychiatric residential treatment facility (PRTF)  
 Individuals age 60 and over

## Section A: Program Description

### Part I: Program Overview

#### E. Populations Included in Waiver (3 of 3)

**Additional Information.** Please enter any additional information not included in previous pages:

## Section A: Program Description

### Part I: Program Overview

#### F. Services (1 of 5)

List all services to be offered under the Waiver in Appendices D2.S. and D2.A of Section D, Cost-Effectiveness.

##### 1. Assurances.

The State assures CMS that services under the Waiver Program will comply with the following federal requirements:

- Services will be available in the same amount, duration, and scope as they are under the State Plan per 42 CFR 438.210(a)(2).
- Access to emergency services will be assured per section 1932(b)(2) of the Act and 42 CFR 438.114.
- Access to family planning services will be assured per section 1905(a)(4) of the Act and 42 CFR 431.51(b)

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of more of the regulatory requirements listed above for PIHP or PAHP programs. Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any. (See note below for limitations on requirements that may be waived).

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of 42 CFR 438.210(a)(2), 438.114, and 431.51 (Coverage of Services, Emergency Services, and Family Planning) as applicable. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply. The State assures CMS that services will be available in the same amount, duration, and scope as they are under the State Plan.

The state assures CMS that it complies with Title I of the Medicare Modernization Act of 2003, in so far as these requirements are applicable to this waiver.

Note: Section 1915(b) of the Act authorizes the Secretary to waive most requirements of section 1902 of the Act for the purposes listed in sections 1915(b)(1)-(4) of the Act. However, within section 1915(b) there are prohibitions on waiving the following subsections of section 1902 of the Act for any type of waiver program:

- Section 1902(s) -- adjustments in payment for inpatient hospital services furnished to infants under age 1, and to children under age 6 who receive inpatient hospital services at a Disproportionate Share Hospital (DSH) facility.
- Sections 1902(a)(15) and 1902(bb) – prospective payment system for FQHC/RHC
- Section 1902(a)(10)(A) as it applies to 1905(a)(2)(C) – comparability of FQHC benefits among Medicaid beneficiaries
- Section 1902(a)(4)(C) -- freedom of choice of family planning providers
- Sections 1915(b)(1) and (4) also stipulate that section 1915(b) waivers may not waive freedom of choice of emergency services providers.

**Section A: Program Description**

**Part I: Program Overview**

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**F. Services (2 of 5)**

**2. Emergency Services.** In accordance with sections 1915(b) and 1932(b) of the Act, and 42 CFR 431.55 and 438.114, enrollees in an MCO, PIHP, PAHP, or PCCM must have access to emergency services without prior authorization, even if the emergency services provider does not have a contract with the entity.

The PAHP, PAHP, or FFS Selective Contracting program does not cover emergency services.

Emergency Services Category General Comments (optional):

**3. Family Planning Services.** In accordance with sections 1905(a)(4) and 1915(b) of the Act, and 42 CFR 431.51(b), prior authorization of, or requiring the use of network providers for family planning services is prohibited under the waiver program. Out-of-network family planning services are reimbursed in the following manner:

The MCO/PIHP/PAHP will be required to reimburse out-of-network family planning services.

The MCO/PIHP/PAHP will be required to pay for family planning services from network providers, and the State will pay for family planning services from out-of-network providers.

The State will pay for all family planning services, whether provided by network or out-of-network providers.

Other (please explain):

Family planning services are not included under the waiver.

Family Planning Services Category General Comments (optional):

**Section A: Program Description**

**Part I: Program Overview**

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**F. Services (3 of 5)**

**4. FQHC Services.** In accordance with section 2088.6 of the State Medicaid Manual, access to Federally Qualified Health Center (FQHC) services will be assured in the following manner:

The program is **voluntary**, and the enrollee can disenroll at any time if he or she desires access to FQHC services. The MCO/PIHP/PAHP/PCCM is not required to provide FQHC services to the enrollee during the enrollment period.

The program is **mandatory** and the enrollee is guaranteed a choice of at least one MCO/PIHP/PAHP/PCCM which has at least one FQHC as a participating provider. If the enrollee elects not to select a MCO/PIHP/PAHP/PCCM that gives him or her access to FQHC services, no FQHC services will be required to be furnished to the enrollee while the enrollee is enrolled with the MCO/PIHP/PAHP/PCCM he or she selected. Since reasonable access to FQHC services will be available under the waiver program, FQHC services outside the program will not be available. Please explain how the State will guarantee all enrollees will have a choice of at least one MCO/PIHP/PAHP/PCCM with a participating FQHC:

FSSA’s contract with the Hoosier Care Connect MCOs strongly encourage contracting with FQHCs. FSSA monitors MCO networks to ensure the availability of at least one FQHC.

The program is **mandatory** and the enrollee has the right to obtain FQHC services **outside** this waiver program through the regular Medicaid Program.

FQHC Services Category General Comments (optional):

**5. EPSDT Requirements.**

The managed care programs(s) will comply with the relevant requirements of sections 1905(a)(4)(b) (services), 1902(a)(43) (administrative requirements including informing, reporting, etc.), and 1905(r) (definition) of the Act related to Early, Periodic Screening, Diagnosis, and Treatment (EPSDT) program.

EPSDT Requirements Category General Comments (optional):

**Section A: Program Description**

**Part I: Program Overview**

**F. Services (4 of 5)**

**6. 1915(b)(3) Services.**

This waiver includes 1915(b)(3) expenditures. The services must be for medical or health-related care, or other services as described in 42 CFR Part 440, and are subject to CMS approval. Please describe below what these expenditures are for each waiver program that offers them. Include a description of the populations eligible, provider type, geographic availability, and reimbursement method.

1915(b)(3) Services Requirements Category General Comments:

**7. Self-referrals.**

The State requires MCOs/PIHPs/PAHPs/PCCMs to allow enrollees to self-refer (i.e. access without prior authorization) under the following circumstances or to the following subset of services in the MCO/PIHP/PAHP/PCCM contract:

Self-referrals Requirements Category General Comments:

1. Chiropractic services may be provided by a licensed chiropractor, enrolled as an Indiana Health Coverage Programs (IHCP) provider, when rendered within the scope of the practice of chiropractic as defined in IC 25-10-1-1 and 846 IAC 1-1.
2. Eye care services, except surgical services may be provided by any provider licensed under IC 25-22.5 (doctor of medicine or doctor of osteopathy) or IC 25-24 (optometrist) who has entered into a provider agreement under IC 12-15-11.
3. Podiatric services may be provided by any provider licensed under IC 25-22.5 (doctor of medicine or doctor of osteopathy) or IC 25-29 (doctor of podiatric medicine) who has entered into a provider agreement under IC 12-15-11.
4. Psychiatric services may be provided by any provider licensed under IC 25-22.5 (doctor of medicine or doctor of osteopathy) who has entered into a provider agreement under IC 12-15-11.
5. Family planning services are self-referral to any IHCP provider qualified to provide the family planning service(s), including providers that are not in the MCO’s network. Members may not be restricted in choice of a family planning service provider, so long as the provider is an IHCP provider.
6. Emergency services are covered without the need for prior authorization or the existence of an MCO contract with the emergency care provider.
7. Immunizations are self-referral to any IHCP-enrolled provider.
8. Diabetes self-management services are available on a self-referral basis to any IHCP provider when the member obtains the services from an IHCP self-referral provider.
9. Behavioral health services are self-referral if rendered by an in-network provider. Members may self-refer, within the MCO’s network, for behavioral health services not provided by a psychiatrist, including mental health, substance abuse and chemical dependency services rendered by mental health specialty providers.

**8. Other.**

Other (Please describe)

**Section A: Program Description**

**Part I: Program Overview**

**F. Services (5 of 5)**

**Additional Information.** Please enter any additional information not included in previous pages:

Section A: Program Description

Part II: Access

A. Timely Access Standards (1 of 7)

Each State must ensure that all services covered under the State plan are available and accessible to enrollees of the 1915(b) Waiver Program. Section 1915(b) of the Act prohibits restrictions on beneficiaries' access to emergency services and family planning services.

1. Assurances for MCO, PIHP, or PAHP programs

The State assures CMS that it complies with section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services; in so far as these requirements are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:

[Empty text box for identifying regulatory requirements and alternatives]

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

If the 1915(b) Waiver Program does not include a PCCM component, please continue with Part II.B. Capacity Standards.

Section A: Program Description

Part II: Access

A. Timely Access Standards (2 of 7)

2. Details for PCCM program. The State must assure that Waiver Program enrollees have reasonable access to services. Please note below the activities the State uses to assure timely access to services.

a. Availability Standards. The State's PCCM Program includes established maximum distance and/or travel time requirements, given beneficiary's normal means of transportation, for waiver enrollees' access to the following providers. For each provider type checked, please describe the standard.

1. PCPs

Please describe:

[Empty text box for describing PCP standards]

2. Specialists

Please describe:

[Empty text box for describing Specialist standards]

3. Ancillary providers

*Please describe:*

4. Dental

*Please describe:*

5. Hospitals

*Please describe:*

6. Mental Health

*Please describe:*

7. Pharmacies

*Please describe:*

8. Substance Abuse Treatment Providers

*Please describe:*

9. Other providers

*Please describe:*

**Section A: Program Description**

**Part II: Access**

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A. Timely Access Standards (3 of 7)

2. Details for PCCM program. (Continued)

b. **Appointment Scheduling** means the time before an enrollee can acquire an appointment with his or her provider for both urgent and routine visits. The State's PCCM Program includes established standards for appointment scheduling for waiver enrollee's access to the following providers.

1. PCPs

*Please describe:*

2. Specialists

*Please describe:*

3. Ancillary providers

*Please describe:*

4. Dental

*Please describe:*

5. Mental Health

*Please describe:*

6. Substance Abuse Treatment Providers

*Please describe:*

7. Urgent care

*Please describe:*

8. Other providers

*Please describe:*

## Section A: Program Description

### Part II: Access

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#### A. Timely Access Standards (4 of 7)

##### 2. Details for PCCM program. (Continued)

c. **In-Office Waiting Times:** The State's PCCM Program includes established standards for in-office waiting times. For each provider type checked, please describe the standard.

1. PCPs

*Please describe:*

2. Specialists

*Please describe:*

3. Ancillary providers

*Please describe:*

4. Dental

*Please describe:*

5. Mental Health

*Please describe:*

6. Substance Abuse Treatment Providers

*Please describe:*

7. Other providers

*Please describe:*

**Section A: Program Description**

**Part II: Access**

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**A. Timely Access Standards (5 of 7)**

**2. Details for PCCM program.** (Continued)

**d. Other Access Standards**

**Section A: Program Description**

**Part II: Access**

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**A. Timely Access Standards (6 of 7)**

**3. Details for 1915(b)(4)FFS selective contracting programs:** Please describe how the State assures timely access to the services covered under the selective contracting program.

**Section A: Program Description**

**Part II: Access**

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**A. Timely Access Standards (7 of 7)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part II: Access**

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B. Capacity Standards (1 of 6)

1. Assurances for MCO, PIHP, or PAHP programs

The State assures CMS that it complies with section 1932(b)(5) of the Act and 42 CFR 438.207 Assurances of adequate capacity and services, in so far as these requirements are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:

[Empty rectangular box for identifying regulatory requirements and alternatives]

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(b)(5) and 42 CFR 438.207 Assurances of adequate capacity and services. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

If the 1915(b) Waiver Program does not include a PCCM component, please continue with Part II, C. Coordination and Continuity of Care Standards.

Section A: Program Description

Part II: Access

B. Capacity Standards (2 of 6)

2. Details for PCCM program. The State must assure that Waiver Program enrollees have reasonable access to services. Please note below which of the strategies the State uses assure adequate provider capacity in the PCCM program.

- a. The State has set enrollment limits for each PCCM primary care provider.

Please describe the enrollment limits and how each is determined:

[Empty rectangular box for describing enrollment limits]

- b. The State ensures that there are adequate number of PCCM PCPs with open panels.

Please describe the State's standard:

[Empty rectangular box for describing the State's standard]

- c. The State ensures that there is an adequate number of PCCM PCPs under the waiver assure access to all services covered under the Waiver.

Please describe the State's standard for adequate PCP capacity:

[Empty rectangular box for describing the State's standard for adequate PCP capacity]

Section A: Program Description

Part II: Access

**B. Capacity Standards (3 of 6)**

**2. Details for PCCM program.** (Continued)

- d. The State compares **numbers of providers** before and during the Waiver.

Provider Type	# Before Waiver	# in Current Waiver	# Expected in Renewal

*Please note any limitations to the data in the chart above:*

- e. The State ensures adequate **geographic distribution** of PCCMs.

*Please describe the State's standard:*

**Section A: Program Description**

**Part II: Access**

**B. Capacity Standards (4 of 6)**

**2. Details for PCCM program.** (Continued)

- f. **PCP:Enrollee Ratio.** The State establishes standards for PCP to enrollee ratios.

Area/(City/County/Region)	PCCM-to-Enrollee Ratio

*Please note any changes that will occur due to the use of physician extenders.:*

- g. **Other capacity standards.**

*Please describe:*

**Section A: Program Description**

**Part II: Access**

**B. Capacity Standards (5 of 6)**

**3. Details for 1915(b)(4)FFS selective contracting programs:** Please describe how the State assures provider capacity has not been negatively impacted by the selective contracting program. Also, please provide a detailed capacity analysis of the number of beds (by type, per facility) – for facility programs, or vehicles (by type, per contractor) – for non-emergency transportation programs, needed per location to assure sufficient capacity under the waiver program. This analysis should consider increased enrollment and/or utilization expected under the waiver.

**Section A: Program Description**

**Part II: Access**

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**B. Capacity Standards (6 of 6)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part II: Access**

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**C. Coordination and Continuity of Care Standards (1 of 5)**

**1. Assurances for MCO, PIHP, or PAHP programs**

The State assures CMS that it complies with section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services; in so far as these requirements are applicable.

The State seeks a waiver of a waiver of section 1902(a)(4) of the Act, to waive one or more of more of the regulatory requirements listed above for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(c)(1)(A)(i) of the Act and 42 CFR 438.206 Availability of Services. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

**Section A: Program Description**

**Part II: Access**

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**C. Coordination and Continuity of Care Standards (2 of 5)**

**2. Details on MCO/PIHP/PAHP enrollees with special health care needs.**

The following items are required.

- a. The plan is a PIHP/PAHP, and the State has determined that based on the plan’s scope of services, and how the State has organized the delivery system, that the **PIHP/PAHP need not meet the requirements** for additional services for enrollees with special health care needs in 42 CFR 438.208.

*Please provide justification for this determination:*

- b. **Identification.** The State has a mechanism to identify persons with special health care needs to MCOs, PIHPs, and PAHPs, as those persons are defined by the State.

*Please describe:*

Hoosier Care Connect MCOs are responsible for completing an initial health screening on every enrolled member. The health screening identifies the member's immediate physical and/or behavioral health care needs and the need for disease management, care management, complex case management or Right Choices Program (RCP) services.

- c. **Assessment.** Each MCO/PIHP/PAHP will implement mechanisms, using appropriate health care professionals, to assess each enrollee identified by the State to identify any ongoing special conditions that require a course of treatment or regular care monitoring. Please describe:

*Please describe the enrollment limits and how each is determined:*

Hoosier Care Connect MCOs are responsible for conducting a comprehensive health assessment for all members initially stratified into complex case management or RCP following the initial health screening discussed in the "Identification" section above. The comprehensive health assessment identifies the clinical, psychosocial, functional and financial needs of the member. The assessment is used to develop and implement a comprehensive care plan to meet the member's needs. The MCO collects and reviews medical and educational information, as well as family and caregiver input, as appropriate, to identify the member's care strengths, health needs and available resources. The comprehensive assessment may include, but is not limited to, a review of the member's claims history and/or contact with the member, member's family, primary medical provider (PMP), or other significant providers. A clinician on the MCO's care management team will review the findings of the health assessment and provide the findings to the member's primary providers, including the member's PMP and/or behavioral health care providers, if applicable.

- d. **Treatment Plans.** For enrollees with special health care needs who need a course of treatment or regular care monitoring, the State requires the MCO/PIHP/PAHP to produce a treatment plan. If so, the treatment plan meets the following requirements:

1. Developed by enrollees' primary care provider with enrollee participation, and in consultation with any specialists' care for the enrollee.
2. Approved by the MCO/PIHP/PAHP in a timely manner (if approval required by plan).
3. In accord with any applicable State quality assurance and utilization review standards.

*Please describe:*

After the initial assessment and stratification, the MCO assigns members to a care level, develops a care plan, and facilitates and coordinates care according to his/her needs. The MCO utilizes a person-centered care plan development planning process and uses data from, at minimum, claims, initial screening, comprehensive health assessment, available medical records, Indiana Scheduled Prescription Electronic Collection & Tracking and any other sources, to ensure that the care for members is adequately coordinated and managed. The MCO gathers information about the level and type of existing care and/or case management services that the member may already be receiving. The MCO uses the information to identify gaps in the member's current treatment approach, and communicates those findings to the member's PMP or other appropriate physician. The MCO assists the member, the member's family and the member's physician(s) to develop a care plan with specific objectives, goals and action protocols to meet identified needs. The MCO initiates and facilitates specific activities, interventions and protocols that lead to accomplishing the goals set forth in the care plan.

- e. **Direct access to specialists.** If treatment plan or regular care monitoring is in place, the MCO/PIHP/PAHP has a mechanism in place to allow enrollees to directly access specialists as appropriate for enrollee's condition and identified needs.

Please describe:

The MCOs are contractually required to allow members with special needs, who are determined to need a course of treatment or regular care monitoring, to directly access a specialist for treatment via an established mechanism such as a standing referral from the member’s PMP or an approved number of visits. Treatment provided by the specialist must be appropriate for the member’s condition and identified needs.

**Section A: Program Description**

**Part II: Access**

**C. Coordination and Continuity of Care Standards (3 of 5)**

**3. Details for PCCM program.** The State must assure that Waiver Program enrollees have reasonable access to services. Please note below which of the strategies the State uses assure adequate provider capacity in the PCCM program.

- a. Each enrollee selects or is assigned to a **primary care provider** appropriate to the enrollee’s needs.
- b. Each enrollee selects or is assigned to a designated **designated health care practitioner** who is primarily responsible for coordinating the enrollee’s overall health care.
- c. Each enrollee is receives **health education/promotion** information.

Please explain:

- d. Each provider maintains, for Medicaid enrollees, **health records** that meet the requirements established by the State, taking into account professional standards.
- e. There is appropriate and confidential **exchange of information** among providers.
- f. Enrollees receive information about specific health conditions that require **follow-up** and, if appropriate, are given training in self-care.
- g. Primary care case managers **address barriers** that hinder enrollee compliance with prescribed treatments or regimens, including the use of traditional and/or complementary medicine.
- h. **Additional case management** is provided.

Please include how the referred services and the medical forms will be coordinated among the practitioners, and documented in the primary care case manager’s files.

**i. Referrals.**

Please explain in detail the process for a patient referral. In the description, please include how the referred services and the medical forms will be coordinated among the practitioners, and documented in the primary care case managers’ files.

**Section A: Program Description**

**Part II: Access**

C. Coordination and Continuity of Care Standards (4 of 5)

4. Details for 1915(b)(4) only programs: If applicable, please describe how the State assures that continuity and coordination of care are not negatively impacted by the selective contracting program.

[Empty text box for details for 1915(b)(4) only programs]

Section A: Program Description

Part II: Access

C. Coordination and Continuity of Care Standards (5 of 5)

Additional Information. Please enter any additional information not included in previous pages:

[Empty text box for additional information]

Section A: Program Description

Part III: Quality

1. Assurances for MCO or PIHP programs

The State assures CMS that it complies with section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.202, 438.204, 438.210, 438.214, 438.218, 438.224, 438.226, 438.228, 438.230, 438.236, 438.240, and 438.242 in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP programs.

Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:

[Empty text box for identifying regulatory requirements]

The CMS Regional Office has reviewed and approved the MCO, PIHP, or PAHP contracts for compliance with the provisions of section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.202, 438.204, 438.210, 438.214, 438.218, 438.224, 438.226, 438.228, 438.230, 438.236, 438.240, and 438.242. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

Section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.202 requires that each State Medicaid agency that contracts with MCOs and PIHPs submit to CMS a written strategy for assessing and improving the quality of managed care services offered by all MCOs and PIHPs.

The State assures CMS that this quality strategy was initially submitted to the CMS Regional Office on:

05/30/25 (mm/dd/yy)

The State assures CMS that it complies with section 1932(c)(2) of the Act and 42 CFR 438 Subpart E, to arrange for an annual, independent, external quality review of the outcomes and timeliness of, and access to the services delivered under each MCO/ PIHP contract. Note: EQR for PIHPs is required beginning March 2004. Please provide the information below (modify chart as necessary):

Program Type	Name of Organization	Activities Conducted		
		EQR study	Mandatory Activities	Optional Activities
MCO	Qsource	Validation of Performance Measures Validation of Performance Improvement Projects Validation of MCE reports to OMPP on Institution for Mental Disease (IMD) Member use Validation of Network Adequacy for PMPs	A review to determine MCE compliance with federal Medicaid managed care regulations Validation of performance measures produced by an MCE Validation of performance improvement projects undertaken by the MCEs	High Risk Diabetes Management and Depression Screening and Timely Follow up
PIHP				

**Section A: Program Description**

**Part III: Quality**

**2. Assurances For PAHP program**

The State assures CMS that it complies with section 1932(c)(1)(A)(iii)-(iv) of the Act and 42 CFR 438.210, 438.214, 438.218, 438.224, 438.226, 438.228, 438.230 and 438.236, in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the PAHP contracts for compliance with the provisions of section 1932(c) (1)(A)(iii)-(iv) of the Act and 42 CFR 438.210, 438.214, 438.218, 438.224, 438.226, 438.228, 438.230 and 438.236. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

**Section A: Program Description**

Part III: Quality

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**3. Details for PCCM program.** The State must assure that Waiver Program enrollees have access to medically necessary services of adequate quality. Please note below the strategies the State uses to assure quality of care in the PCCM program.

- a. The State has developed a set of overall quality **improvement guidelines** for its PCCM program.

*Please describe:*

Section A: Program Description

Part III: Quality

---

**3. Details for PCCM program.** (Continued)

- b. **State Intervention:** If a problem is identified regarding the quality of services received, the State will intervene as indicated below.

1. Provide education and informal mailings to beneficiaries and PCCMs
2. Initiate telephone and/or mail inquiries and follow-up
3. Request PCCM’s response to identified problems
4. Refer to program staff for further investigation
5. Send warning letters to PCCMs
6. Refer to State’s medical staff for investigation
7. Institute corrective action plans and follow-up
8. Change an enrollee’s PCCM
9. Institute a restriction on the types of enrollees
10. Further limit the number of assignments
11. Ban new assignments
12. Transfer some or all assignments to different PCCMs
13. Suspend or terminate PCCM agreement
14. Suspend or terminate as Medicaid providers
15. Other

*Please explain:*

Section A: Program Description

Part III: Quality

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**3. Details for PCCM program.** (Continued)

- c. **Selection and Retention of Providers:** This section provides the State the opportunity to describe any requirements, policies or procedures it has in place to allow for the review and documentation of qualifications and other relevant information pertaining to a provider who seeks a contract with the State or PCCM administrator as a PCCM. This section is required if the State has applied for a 1915(b)(4) waiver that

will be applicable to the PCCM program.

Please check any processes or procedures listed below that the State uses in the process of selecting and retaining PCCMs. The State (please check all that apply):

- 1. Has a documented process for selection and retention of PCCMs (please submit a copy of that documentation).
- 2. Has an initial credentialing process for PCCMs that is based on a written application and site visits as appropriate, as well as primary source verification of licensure, disciplinary status, and eligibility for payment under Medicaid.
- 3. Has a recredentialing process for PCCMs that is accomplished within the time frame set by the State and through a process that updates information obtained through the following (check all that apply):
  - A. Initial credentialing
  - B. Performance measures, including those obtained through the following (check all that apply):
    - The utilization management system.
    - The complaint and appeals system.
    - Enrollee surveys.
    - Other.

*Please describe:*

- 4. Uses formal selection and retention criteria that do not discriminate against particular providers such as those who serve high risk populations or specialize in conditions that require costly treatment.
- 5. Has an initial and recredentialing process for PCCMs other than individual practitioners (e.g., rural health clinics, federally qualified health centers) to ensure that they are and remain in compliance with any Federal or State requirements (e.g., licensure).
- 6. Notifies licensing and/or disciplinary bodies or other appropriate authorities when suspensions or terminations of PCCMs take place because of quality deficiencies.
- 7. Other

*Please explain:*

### Section A: Program Description

#### Part III: Quality

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#### 3. Details for PCCM program. (Continued)

d. Other quality standards (please describe):

### Section A: Program Description

Part III: Quality

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**4. Details for 1915(b)(4) only programs:** Please describe how the State assures quality in the services that are covered by the selective contracting program. Please describe the provider selection process, including the criteria used to select the providers under the waiver. These include quality and performance standards that the providers must meet. Please also describe how each criteria is weighted:

Section A: Program Description

Part IV: Program Operations

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A. Marketing (1 of 4)

**1. Assurances**

The State assures CMS that it complies with section 1932(d)(2) of the Act and 42 CFR 438.104 Marketing activities; in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(d)(2) of the Act and 42 CFR 438.104 Marketing activities. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

Section A: Program Description

Part IV: Program Operations

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A. Marketing (2 of 4)

**2. Details**

**a. Scope of Marketing**

1. The State does not permit direct or indirect marketing by MCO/PIHP/PAHP/PCCM or selective contracting FFS providers.
2. The State permits indirect marketing by MCO/PIHP/PAHP/PCCM or selective contracting FFS providers (e.g., radio and TV advertising for the MCO/PIHP/PAHP or PCCM in general).

*Please list types of indirect marketing permitted:*

3. The State permits direct marketing by MCO/PIHP/PAHP/PCCM or selective contracting FFS providers (e.g., direct mail to Medicaid beneficiaries).

*Please list types of direct marketing permitted:*

Hoosier Care Connect MCOs may distribute or mail an informational brochure or flyer to potential members and/or provide such brochures or flyers to the State for distribution to individuals at the time of application. All marketing materials must be reviewed and approved by FSSA prior to distribution.

## Section A: Program Description

### Part IV: Program Operations

#### A. Marketing (3 of 4)

##### 2. Details (Continued)

**b. Description.** Please describe the State's procedures regarding direct and indirect marketing by answering the following questions, if applicable.

1. The State prohibits or limits MCOs/PIHPs/PAHPs/PCCMs/selective contracting FFS providers from offering gifts or other incentives to potential enrollees.

*Please explain any limitation or prohibition and how the State monitors this:*

Hoosier Care Connect MCOs may not offer gifts, incentives, or other financial or non-financial inducements greater than \$50 for each individual or \$100 per year per individual. All member incentives must be tied to appropriate utilization of health services and/or health-promoting behavior. The MCO may petition FSSA for authorization to offer incentives greater than this limit if the items are intended to promote the delivery of preventive care as defined at 42 CFR 1003.101. Such incentives may not be disproportionate to the value of the preventive care service provided, as determined by FSSA. Petitions to provide enhanced incentives for preventive care are reviewed on a case-by-case basis. The MCO is subject to penalties under the Social Security Act section 1128(a)(5) regarding inducements, remunerations, and gifts to Medicaid recipients. The MCO must comply with all marketing provisions in 42 CFR 438.104, and other federal and state regulations and guidance regarding inducements. All marketing materials and plans must be reviewed and approved by FSSA prior to distribution. Additionally, MCOs submit to FSSA a quarterly report regarding all marketing activities.

2. The State permits MCOs/PIHPs/PAHPs/PCCMs/selective contracting FFS providers to pay their marketing representatives based on the number of new Medicaid enrollees he/she recruited into the plan.

*Please explain how the State monitors marketing to ensure it is not coercive or fraudulent:*

3. The State requires MCO/PIHP/PAHP/PCCM/selective contracting FFS providers to translate marketing materials.

*Please list languages materials will be translated into. (If the State does not translate or require the translation of marketing materials, please explain):*

Hoosier Care Connect MCOs must provide all written materials in English and Spanish and any additional prevalent languages. Prevalent language is defined as any language spoken by at least 3% of the general population in the MCO's service area or 3% of the MCO's membership in a region.

The State has chosen these languages because (check any that apply):

- a. The languages comprise all prevalent languages in the service area.

*Please describe the methodology for determining prevalent languages:*

- b. The languages comprise all languages in the service area spoken by approximately  percent or more of the population.

- c. Other

*Please explain:*

### Section A: Program Description

#### Part IV: Program Operations

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##### A. Marketing (4 of 4)

**Additional Information.** Please enter any additional information not included in previous pages:

### Section A: Program Description

#### Part IV: Program Operations

---

##### B. Information to Potential Enrollees and Enrollees (1 of 5)

###### 1. Assurances

The State assures CMS that it complies with Federal Regulations found at section 1932(a)(5) of the Act and 42 CFR 438.10 Information requirements; in so far as these regulations are applicable.

The State seeks a waiver of a waiver of section 1902(a)(4) of the Act, to waive one or more of more of the regulatory requirements listed above for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(a)(5) of the Act and 42 CFR 438.10 Information requirements. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the

CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM. This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

Section A: Program Description

Part IV: Program Operations

B. Information to Potential Enrollees and Enrollees (2 of 5)

2. Details

a. Non-English Languages

- 1. Potential enrollee and enrollee materials will be translated into the prevalent non-English languages.

Please list languages materials will be translated into. (If the State does not require written materials to be translated, please explain):

Materials will be translated into Spanish and any additional prevalent languages identified by FSSA, upon FSSA's or the member's request. MCOs shall also identify additional languages that are prevalent among their membership. Prevalent language is defined as any language spoken by at least 3% of the general population in the MCO's service area or 3% of the Contractor's membership in a region.

If the State does not translate or require the translation of marketing materials, please explain:

The State defines prevalent non-English languages as: (check any that apply):

- a. The languages spoken by significant number of potential enrollees and enrollees.

Please explain how the State defines "significant.":

[Empty text box for explanation]

- b. The languages spoken by approximately 3.00 percent or more of the potential enrollee/enrollee population.

- c. Other

Please explain:

[Empty text box for explanation]

- 2. Please describe how oral translation services are available to all potential enrollees and enrollees, regardless of language spoken.

MCOs must arrange for oral interpretation services for member services helpline, 24 hour nurse call line, transportation, assessment and stratification, disease management, care management, complex case management and Right Choices Program. The MCO must ensure its provider network arranges for interpretation services in a provider's location. The Enrollment Broker provides to potential enrollees.

- 3. The State will have a mechanism in place to help enrollees and potential enrollees understand the

managed care program.

*Please describe:*

FSSA utilizes websites, the Enrollment Broker, MCO helplines, Division of Family Resource (DFR) offices, and enrollment centers to educate members on managed care.

**Section A: Program Description**

**Part IV: Program Operations**

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**B. Information to Potential Enrollees and Enrollees (3 of 5)**

**2. Details (Continued)**

**b. Potential Enrollee Information**

Information is distributed to potential enrollees by:

State

Contractor

*Please specify:*

Potential enrollee information is distributed by the Enrollment Broker.

There are no potential enrollees in this program. (Check this if State automatically enrolls beneficiaries into a single PIHP or PAHP.)

**Section A: Program Description**

**Part IV: Program Operations**

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**B. Information to Potential Enrollees and Enrollees (4 of 5)**

**2. Details (Continued)**

**c. Enrollee Information**

The State has designated the following as responsible for providing required information to enrollees:

the State

State contractor

*Please specify:*

The Enrollment Broker provides information regarding MCO selection and assignment.

The MCO/PIHP/PAHP/PCCM/FFS selective contracting provider.

**Section A: Program Description**

**Part IV: Program Operations**

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**B. Information to Potential Enrollees and Enrollees (5 of 5)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part IV: Program Operations**

**C. Enrollment and Disenrollment (1 of 6)**

**1. Assurances**

The State assures CMS that it complies with section 1932(a)(4) of the Act and 42 CFR 438.56 Disenrollment; in so far as these regulations are applicable.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs. (Please check this item if the State has requested a waiver of the choice of plan requirements in section A.I.C.)

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(a)(4) of the Act and 42 CFR 438.56 Disenrollment requirements. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

**Section A: Program Description**

**Part IV: Program Operations**

**C. Enrollment and Disenrollment (2 of 6)**

**2. Details**

Please describe the State's enrollment process for MCOs/PIHPs/PAHP/PCCMs and FFS selective contracting provider by checking the applicable items below.

**a. Outreach**

The State conducts outreach to inform potential enrollees, providers, and other interested parties of the managed care program.

*Please describe the outreach process, and specify any special efforts made to reach and provide information to special populations included in the waiver program:*

Education and outreach efforts are maintained by the Enrollment Broker through written materials and oral communications. If an individual has not selected a Hoosier Care Connect MCO at the time of Medicaid application, the Enrollment Broker makes outbound calls and transmits written educational materials to the enrollee.

Additionally, there are enrollment centers (local hospitals, community health centers and other locations) located throughout the state which provide outreach regarding all Medicaid programs and can assist individuals in application submission.

Providers are informed of Hoosier Care Connect through a variety of strategies. For example, the State maintains a website at [www.indianamedicaid.com](http://www.indianamedicaid.com) through which information on all IHCP programs, including Hoosier Care Connect, is provided. Information is also provided via the IHCP Provider Manual, newsletters, banners, bulletins, ICHP Provider Workshops and IHCP Provider Relations Field Consultants.

Other stakeholders, such as advocates and provider associations, were engaged during the development of Hoosier Care Connect through a variety of strategies. This included public meetings, distribution of a stakeholder survey and invitation to submit proposals and feedback through presentation or written comment. During, the implementation phase of Hoosier Care Connect, these relationships and strategies will continue to be leveraged. For example, the State will initiate regional presentations to engage stakeholders to ensure their understanding of the program and requirements for providers and enrollees.

**Section A: Program Description**

**Part IV: Program Operations**

**C. Enrollment and Disenrollment (3 of 6)**

**2. Details (Continued)**

**b. Administration of Enrollment Process**

State staff conducts the enrollment process.

The State contracts with an independent contractor(s) (i.e., enrollment broker) to conduct the enrollment process and related activities.

The State assures CMS the enrollment broker contract meets the independence and freedom from conflict of interest requirements in section 1903(b) of the Act and 42 CFR 438.810.

Broker name:

Please list the functions that the contractor will perform:

- choice counseling
- enrollment
- other

*Please describe:*

State allows MCO/PIHP/PAHP or PCCM to enroll beneficiaries.

*Please describe the process:*

Section A: Program Description

Part IV: Program Operations

C. Enrollment and Disenrollment (4 of 6)

2. Details (Continued)

c. **Enrollment** . The State has indicated which populations are mandatorily enrolled and which may enroll on a voluntary basis in Section A.I.E.

This is a **new** program.

Please describe the **implementation schedule** (e.g. implemented statewide all at once; phased in by area; phased in by population, etc.):

This is an **existing program** that will be expanded during the renewal period.

*Please describe:* Please describe the **implementation schedule** (e.g. new population implemented statewide all at once; phased in by area; phased in by population, etc.):

If a potential enrollee **does not select** an MCO/PIHP/PAHP or PCCM within the given time frame, the potential enrollee will be **auto-assigned** or default assigned to a plan.

- i. Potential enrollees will have 60 **day(s) / month(s)** to choose a plan.
- ii. There is an auto-assignment process or algorithm.

*In the description please indicate the factors considered and whether or not the auto-assignment process assigns persons with special health care needs to an MCO/PIHP/PAHP/PCCM who is their current provider or who is capable of serving their particular needs:*

For Hoosier Care Connect eligible individuals who do not select an MCE at the time of application, or within sixty days, the State fiscal agent will auto-assign the individual to an MCE. During this sixty day choice period individuals are provided information from the Enrollment Broker to facilitate selection.

The rules and logic for auto-assignment are created by the state and comply with 42 CFR 438.50(f) and regulatory citation 438.54(d)(7) and (8). The hierarchy for auto assignment is:

1. Previous MCE auto assignment logic-looks for previous assignments in the last 90 days
2. Case logic- this checks for current MCE of other members in the same case
3. Companion Case logic- checks for the current MCE of other members in the companion case
4. Default Logic- if all other checks failed, auto assignment assigns the member to a default MCE

Foster children, former foster children and children receiving adoption assistance are not auto-assigned. They may voluntarily enroll through the opt-in process.

The State automatically enrolls beneficiaries.

on a mandatory basis into a single MCO, PIHP, or PAHP in a rural area (please also check item A.I.C.3).

on a mandatory basis into a single PIHP or PAHP for which it has requested a waiver of the requirement of choice of plans (please also check item A.I.C.1).

on a voluntary basis into a single MCO, PIHP, or PAHP. The State must first offer the beneficiary a choice. If the beneficiary does not choose, the State may enroll the beneficiary as long as the beneficiary can opt out at any time without cause.

*Please specify geographic areas where this occurs:*

The State provides **guaranteed eligibility** of   months (maximum of 6 months permitted) for MCO/PCCM enrollees under the State plan.

The State allows otherwise mandated beneficiaries to request **exemption** from enrollment in an MCO/PIHP/PAHP/PCCM.

*Please describe the circumstances under which a beneficiary would be eligible for exemption from enrollment. In addition, please describe the exemption process:*

The State **automatically re-enrolls** a beneficiary with the same PCCM or MCO/PIHP/PAHP if there is a loss of Medicaid eligibility of 2 months or less.

## Section A: Program Description

### Part IV: Program Operations

#### C. Enrollment and Disenrollment (5 of 6)

##### 2. Details (Continued)

##### d. Disenrollment

The State allows enrollees to **disenroll** from/transfer between MCOs/PIHPs/PAHPs and PCCMs. Regardless of whether plan or State makes the determination, determination must be made no later than the first day of the second month following the month in which the enrollee or plan files the request. If determination is not made within this time frame, the request is deemed approved.

- i.** Enrollee submits request to State.
- ii.** Enrollee submits request to MCO/PIHP/PAHP/PCCM. The entity may approve the request, or refer it to the State. The entity may not disapprove the request.
- iii.** Enrollee must seek redress through MCO/PIHP/PAHP/PCCM grievance procedure before determination will be made on disenrollment request.

The State **does not permit disenrollment** from a single PIHP/PAHP (authority under 1902 (a)(4) authority must be requested), or from an MCO, PIHP, or PAHP in a rural area.

The State has a **lock-in** period (i.e. requires continuous enrollment with MCO/PIHP/PAHP/PCCM) of 12 months (up to 12 months permitted). If so, the State assures it meets the requirements of 42 CFR 438.56(c).

*Please describe the good cause reasons for which an enrollee may request disenrollment during the lock-in period (in addition to required good cause reasons of poor quality of care, lack of access to covered services, and lack of access to providers experienced in dealing with enrollee's health care needs):*

- Failure to provide covered services
- Failure to comply with established standards of medical care administration
- Significant language/cultural barriers
- Corrective action levied against the MCO by FSSA
- Limited access to primary care clinic/other health services within reasonable proximity to a member's residence
- Determination that another MCO's formulary is more consistent with a new member's existing healthcare needs
- Lack of access to medically necessary services covered under the State contract
- Service is not covered for moral or religious objections
- Related services are required to be performed at the same time and not all related services are available within the MCO's network, and the member's provider determines that receiving the services separately will subject the member to unnecessary risk
- Concerns over quality of care including failure to comply with established standards of medical care administration and significant language or cultural barriers
- The member's primary healthcare provider disenrolls from the member's current MCO and re-enrolls with another HCC MCO
- Other circumstances determined to constitute poor quality of health care coverage

The State does not have a **lock-in**, and enrollees in MCOs/PIHPs/PAHPs and PCCMs are allowed to terminate or change their enrollment without cause at any time. The disenrollment/transfer is effective no later than the first day of the second month following the request.

The State permits **MCOs/PIHPs/PAHPs and PCCMs to request disenrollment** of enrollees.

- i. MCO/PIHP/PAHP and PCCM can request reassignment of an enrollee.

*Please describe the reasons for which enrollees can request reassignment*

- ii. The State reviews and approves all MCO/PIHP/PAHP/PCCM-initiated requests for enrollee transfers or disenrollments.
- iii. If the reassignment is approved, the State notifies the enrollee in a direct and timely manner of the desire of the MCO/PIHP/PAHP/PCCM to remove the enrollee from its membership or from the PCCM's caseload.
- iv. The enrollee remains an enrollee of the MCO/PIHP/PAHP/PCCM until another MCO/PIHP/PAHP/PCCM is chosen or assigned.

## Section A: Program Description

### Part IV: Program Operations

#### C. Enrollment and Disenrollment (6 of 6)

**Additional Information.** Please enter any additional information not included in previous pages:

Note regarding the State's response to "The State allows enrollees to disenroll from/transfer between MCOs":

After filing a grievance with the MCO, if the enrollee remains dissatisfied with the outcome, he or she can contact the Enrollment Broker to request disenrollment. The Enrollment Broker reviews the request and makes a disenrollment determination. The Enrollment Broker makes a preliminary recommendation to the State about approving or denying the enrollee's request.

## Section A: Program Description

### Part IV: Program Operations

D. Enrollee Rights (1 of 2)

1. Assurances

The State assures CMS that it complies with section 1932(a)(5)(B)(ii) of the Act and 42 CFR 438 Subpart C Enrollee Rights and Protections.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:

[Empty rectangular box for identifying regulatory requirements and alternatives]

The CMS Regional Office has reviewed and approved the MCO, PIHP, PAHP, or PCCM contracts for compliance with the provisions of section 1932(a)(5)(B)(ii) of the Act and 42 CFR Subpart C Enrollee Rights and Protections. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

This is a proposal for a 1915(b)(4) FFS Selective Contracting Program only and the managed care regulations do not apply.

The State assures CMS it will satisfy all HIPAA Privacy standards as contained in the HIPAA rules found at 45 CFR Parts 160 and 164.

Section A: Program Description

Part IV: Program Operations

D. Enrollee Rights (2 of 2)

Additional Information. Please enter any additional information not included in previous pages:

[Empty rectangular box for additional information]

Section A: Program Description

Part IV: Program Operations

E. Grievance System (1 of 5)

1. Assurances for All Programs States, MCOs, PIHPs, PAHPs, and States in PCCM and FFS selective contracting programs are required to provide Medicaid enrollees with access to the State fair hearing process as required under 42 CFR 431 Subpart E, including:

- a. informing Medicaid enrollees about their fair hearing rights in a manner that assures notice at the time of an action,
- b. ensuring that enrollees may request continuation of benefits during a course of treatment during an appeal or reinstatement of services if State takes action without the advance notice and as required in accordance with State Policy consistent with fair hearings. The State must also inform enrollees of the procedures by which benefits can be continued for reinstated, and
- c. other requirements for fair hearings found in 42 CFR 431, Subpart E.

The State assures CMS that it complies with section 1932(a)(4) of the Act and 42 CFR 438.56 Disenrollment; in so far as these regulations are applicable.

Section A: Program Description

Part IV: Program Operations

E. Grievance System (2 of 5)

2. Assurances For MCO or PIHP programs. MCOs/PIHPs are required to have an internal grievance system that allows an enrollee or a provider on behalf of an enrollee to challenge the denial of coverage of, or payment for services as required by section 1932(b)(4) of the Act and 42 CFR 438 Subpart H.

The State assures CMS that it complies with section 1932(b)(4) of the Act and 42 CFR 438 Subpart F Grievance System, in so far as these regulations are applicable.

Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:

[Empty rectangular box for identifying regulatory requirements and alternatives]

The CMS Regional Office has reviewed and approved the MCO or PIHP contracts for compliance with the provisions of section 1932(b)(4) of the Act and 42 CFR 438 Subpart F Grievance System. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

Section A: Program Description

Part IV: Program Operations

E. Grievance System (3 of 5)

3. Details for MCO or PIHP programs

a. Direct Access to Fair Hearing

The State requires enrollees to exhaust the MCO or PIHP grievance and appeal process before enrollees may request a state fair hearing.

The State does not require enrollees to exhaust the MCO or PIHP grievance and appeal process before enrollees may request a state fair hearing.

b. Timeframes

The State's timeframe within which an enrollee, or provider on behalf of an enrollee, must file an appeal is 60 days (between 20 and 90).

The State's timeframe within which an enrollee must file a grievance is 60 days.

c. Special Needs

The State has special processes in place for persons with special needs.

Please describe:

[Empty rectangular box for describing special processes]

Section A: Program Description

Part IV: Program Operations

E. Grievance System (4 of 5)

4. Optional grievance systems for PCCM and PAHP programs. States, at their option, may operate a PCCM and/or PAHP grievance procedure (distinct from the fair hearing process) administered by the State agency or the PCCM and/or PAHP that provides for prompt resolution of issues. These grievance procedures are strictly voluntary and may not interfere with a PCCM, or PAHP enrollee’s freedom to make a request for a fair hearing or a PCCM or PAHP enrollee’s direct access to a fair hearing in instances involving terminations, reductions, and suspensions of already authorized Medicaid covered services.

The State has a grievance procedure for its PCCM and/or PAHP program characterized by the following (please check any of the following optional procedures that apply to the optional PCCM/PAHP grievance procedure):

The grievance procedures are operated by:

the State

the State’s contractor.

Please identify:

the PCCM

the PAHP

Requests for review can be made in the PCCM and/or PAHP grievance system (e.g. grievance, appeals):

*Please describe:*

Has a committee or staff who review and resolve requests for review.

*Please describe if the State has any specific committee or staff composition or if this is a fiscal agent, enrollment broker, or PCCM administrator function:*

Specifies a time frame from the date of action for the enrollee to file a request for review.

*Please specify the time frame for each type of request for review:*

Has time frames for resolving requests for review.

*Specify the time period set for each type of request for review:*

Establishes and maintains an expedited review process.

*Please explain the reasons for the process and specify the time frame set by the State for this process:*

Permits enrollees to appear before State PCCM/PAHP personnel responsible for resolving the request for review. Notifies the enrollee in writing of the decision and any further opportunities for additional review, as well as the procedures available to challenge the decision.

Other.

*Please explain:*

**Section A: Program Description**

**Part IV: Program Operations**

**E. Grievance System (5 of 5)**

**Additional Information.** Please enter any additional information not included in previous pages:

**Section A: Program Description**

**Part IV: Program Operations**

**F. Program Integrity (1 of 3)**

**1. Assurances**

The State assures CMS that it complies with section 1932(d)(1) of the Act and 42 CFR 438.610 Prohibited Affiliations with Individuals Barred by Federal Agencies. The State assures that it prohibits an MCO, PCCM, PIHP, or PAHP from knowingly having a relationship listed below with:

1. An individual who is debarred, suspended, or otherwise excluded from participating in procurement activities under the Federal Acquisition Regulation or from participating in nonprocurement activities under regulations issued under Executive Order No. 12549 or under guidelines implementing Executive Order No. 12549, or
2. An individual who is an affiliate, as defined in the Federal Acquisition Regulation, of a person described above.

The prohibited relationships are:

1. A director, officer, or partner of the MCO, PCCM, PIHP, or PAHP;
2. A person with beneficial ownership of five percent or more of the MCO's, PCCM's, PIHP's, or PAHP's equity;
3. A person with an employment, consulting or other arrangement with the MCO, PCCM, PIHP, or PAHP for the provision of items and services that are significant and material to the MCO's, PCCM's, PIHP's, or PAHP's obligations under its contract with the State.

The State assures that it complies with section 1902(p)(2) and 42 CFR 431.55, which require section 1915(b) waiver programs to exclude entities that:

1. Could be excluded under section 1128(b)(8) of the Act as being controlled by a sanctioned individual;
2. Has a substantial contractual relationship (direct or indirect) with an individual convicted of certain crimes described in section 1128(b)(8)(B) of the Act;
3. Employs or contracts directly or indirectly with an individual or entity that is
  - a. precluded from furnishing health care, utilization review, medical social services, or administrative services pursuant to section 1128 or 1128A of the Act, or

b. could be exclude under 1128(b)(8) as being controlled by a sanctioned individual.

### Section A: Program Description

#### Part IV: Program Operations

##### F. Program Integrity (2 of 3)

###### 2. Assurances For MCO or PIHP programs

The State assures CMS that it complies with section 1932(d)(1) of the Act and 42 CFR 438.608 Program Integrity Requirements, in so far as these regulations are applicable.

State payments to an MCO or PIHP are based on data submitted by the MCO or PIHP. If so, the State assures CMS that it is in compliance with 42 CFR 438.604 Data that must be Certified, and 42 CFR 438.606 Source, Content, Timing of Certification.

The State seeks a waiver of section 1902(a)(4) of the Act, to waive one or more of the regulatory requirements listed for PIHP or PAHP programs.

*Please identify each regulatory requirement for which a waiver is requested, the managed care program(s) to which the waiver will apply, and what the State proposes as an alternative requirement, if any:*

The CMS Regional Office has reviewed and approved the MCO or PIHP contracts for compliance with the provisions of section 1932(d)(1) of the Act and 42 CFR 438.604 Data that must be Certified; 438.606 Source, Content , Timing of Certification; and 438.608 Program Integrity Requirements. If this is an initial waiver, the State assures that contracts that comply with these provisions will be submitted to the CMS Regional Office for approval prior to enrollment of beneficiaries in the MCO, PIHP, PAHP, or PCCM.

### Section A: Program Description

#### Part IV: Program Operations

##### F. Program Integrity (3 of 3)

**Additional Information.** Please enter any additional information not included in previous pages:

### Section B: Monitoring Plan

#### Part I: Summary Chart of Monitoring Activities

##### Summary of Monitoring Activities (1 of 3)

The charts in this section summarize the activities used to monitor major areas of the waiver program. The purpose is to provide a “big picture” of the monitoring activities, and that the State has at least one activity in place to monitor each of the areas of the waiver that must be monitored.

Please note:

- **MCO, PIHP, and PAHP** programs:
  - There must be at least one checkmark in each column.
- **PCCM and FFS selective contracting** programs:
  - There must be at least one checkmark in each column under “Evaluation of Program Impact.”
  - There must be at least one check mark in one of the three columns under “Evaluation of Access.”
  - There must be at least one check mark in one of the three columns under “Evaluation of Quality.”

Summary of Monitoring Activities: Evaluation of Program Impact

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
<b>Accreditation for Non-duplication</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Accreditation for Participation</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Consumer Self-Report data</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Data Analysis (non-claims)</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Enrollee Hotlines</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Focused Studies</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Geographic mapping</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Independent Assessment</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Measure any Disparities by Racial or Ethnic Groups</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Network Adequacy Assurance by Plan</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Ombudsman</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>On-Site Review</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Performance Improvement Projects</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Performance Measures</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Periodic Comparison of # of Providers</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Profile Utilization by Provider Caseload</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP

Evaluation of Program Impact						
Monitoring Activity	Choice	Marketing	Enroll Disenroll	Program Integrity	Information to Beneficiaries	Grievance
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Provider Self-Report Data</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Test 24/7 PCP Availability</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Utilization Review</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS
<b>Other</b>	MCO	MCO	MCO	MCO	MCO	MCO
	PIHP	PIHP	PIHP	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM	PCCM	PCCM	PCCM
	FFS	FFS	FFS	FFS	FFS	FFS

**Section B: Monitoring Plan**

**Part I: Summary Chart of Monitoring Activities**

**Summary of Monitoring Activities (2 of 3)**

The charts in this section summarize the activities used to monitor major areas of the waiver program. The purpose is to provide a “big picture” of the monitoring activities, and that the State has at least one activity in place to monitor each of the areas of the waiver that must be monitored.

Please note:

- **MCO, PIHP, and PAHP** programs:
  - There must be at least one checkmark in each column.
- **PCCM and FFS selective contracting** programs:
  - There must be at least one checkmark in each column under “Evaluation of Program Impact.”
  - There must be at least one check mark in one of the three columns under “Evaluation of Access.”
  - There must be at least one check mark in one of the three columns under “Evaluation of Quality.”

**Summary of Monitoring Activities: Evaluation of Access**

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
Accreditation for Non-duplication	MCO	MCO	MCO

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS
Accreditation for Participation	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Consumer Self-Report data	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Data Analysis (non-claims)	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Enrollee Hotlines	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Focused Studies	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Geographic mapping	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Independent Assessment	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
<b>Measure any Disparities by Racial or Ethnic Groups</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Network Adequacy Assurance by Plan</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Ombudsman</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>On-Site Review</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Performance Improvement Projects</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Performance Measures</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Periodic Comparison of # of Providers</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
<b>Profile Utilization by Provider Caseload</b>	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM

Evaluation of Access			
Monitoring Activity	Timely Access	PCP / Specialist Capacity	Coordination / Continuity
	FFS	FFS	FFS
<b>Provider Self-Report Data</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Test 24/7 PCP Availability</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Utilization Review</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Other</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS

**Section B: Monitoring Plan**

**Part I: Summary Chart of Monitoring Activities**

**Summary of Monitoring Activities (3 of 3)**

The charts in this section summarize the activities used to monitor major areas of the waiver program. The purpose is to provide a “big picture” of the monitoring activities, and that the State has at least one activity in place to monitor each of the areas of the waiver that must be monitored.

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- **PCCM and FFS selective contracting** programs:
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  - There must be at least one check mark in one of the three columns under “Evaluation of Access.”
  - There must be at least one check mark in one of the three columns under “Evaluation of Quality.”

**Summary of Monitoring Activities: Evaluation of Quality**

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
<b>Accreditation for Non-duplication</b>	MCO PIHP	MCO PIHP	MCO PIHP

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
	PAHP PCCM FFS	PAHP PCCM FFS	PAHP PCCM FFS
Accreditation for Participation	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Consumer Self-Report data	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Data Analysis (non-claims)	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Enrollee Hotlines	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Focused Studies	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Geographic mapping	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Independent Assessment	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
Measure any Disparities by Racial or Ethnic Groups	MCO	MCO	MCO

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS	PIHP PAHP PCCM FFS
<b>Network Adequacy Assurance by Plan</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Ombudsman</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>On-Site Review</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Performance Improvement Projects</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Performance Measures</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Periodic Comparison of # of Providers</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS
<b>Profile Utilization by Provider Caseload</b>	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS	MCO PIHP PAHP PCCM FFS

Evaluation of Quality			
Monitoring Activity	Coverage / Authorization	Provider Selection	Quality of Care
Provider Self-Report Data	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
Test 24/7 PCP Availability	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
Utilization Review	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS
Other	MCO	MCO	MCO
	PIHP	PIHP	PIHP
	PAHP	PAHP	PAHP
	PCCM	PCCM	PCCM
	FFS	FFS	FFS

**Section B: Monitoring Plan**

**Part II: Details of Monitoring Activities**

**Details of Monitoring Activities by Authorized Programs**

For each program authorized by this waiver, please provide the details of its monitoring activities by editing each program listed below.

**Programs Authorized by this Waiver:**

Program	Type of Program
Care Connect	MCO;

*Note: If no programs appear in this list, please define the programs authorized by this waiver on the*

**Section B: Monitoring Plan**

**Part II: Details of Monitoring Activities**

**Program Instance: Hoosier Care Connect**

Please check each of the monitoring activities below used by the State. A number of common activities are listed below, but the State may identify any others it uses. If federal regulations require a given activity, this is indicated just after the name of the activity. If the State does not use a required activity, it must explain why.

For each activity, the state must provide the following information:

- Personnel responsible (e.g. state Medicaid, other state agency, delegated to plan, EQR, other contractor)
- Detailed description of activity
- Frequency of use
- How it yields information about the area(s) being monitored

- a. **Accreditation for Non-duplication** (i.e. if the contractor is accredited by an organization to meet certain access, structure/operation, and/or quality improvement standards, and the state determines that the organization’s standards are at least as stringent as the state-specific standards required in 42 CFR 438 Subpart D, the state deems the contractor to be in compliance with the state-specific standards)

**Activity Details:**

**NCQA**

**JCAHO**

**AAAHC**

**Other**

Please describe:

- b. **Accreditation for Participation** (i.e. as prerequisite to be Medicaid plan)

**Activity Details:**

MCOs must have and maintain NCQA accreditation for its Medicaid product line. MCOs must submit documentation of NCQA accreditation to the State upon receipt of accreditation and at the end of each accreditation review. The State reviews to ensure compliance and promptly identifies any issues or deficiencies noted during the accreditation review process. In the event of identified deficiencies, a corrective action plan or other contractually agreed upon remedy is required.

**NCQA**

**JCAHO**

**AAAHC**

**Other**

Please describe:

- c. **Consumer Self-Report data**

**Activity Details:**

MCOs must annually complete the Consumer Assessment of Healthcare Providers and Systems (CAHPS) Adult and Child Medicaid Surveys to assess and document the experiences members report with their MCO as an indicator of quality of various aspects of care and customer service. The CAHPS survey is used to monitor information to beneficiaries, timely access, PCP/specialist capacity, coordination/continuity, provider selection and quality of care. The MCOs must use an NCQA certified vendor to conduct the CAHPS survey.

State staff review the CAHPS survey results and any problems, issues or discrepancies identified are acted upon promptly. In the event of identified deficiencies, a corrective action plan or other contractually agreed upon remedy is required. Additionally, this information is utilized to identify issues for performance improvement projects.

**CAHPS**

Please identify which one(s):

Adult and Child Medicaid Surveys

**State-developed survey**

**Disenrollment survey**

**Consumer/beneficiary focus group**

d.

**Data Analysis (non-claims)**

**Activity Details:**

MCOs are contractually required to submit regular priority reports related to Hoosier Care Connect. The MCO data is utilized to monitor member disenrollment, grievances, coverage/authorization and quality of care. The data is analyzed to identify trends, ensure quality health care services are provided to enrollees and to ensure MCOs are in compliance with federal, state and contract requirements. A detailed description by report type is provided below.

**MCO Disenrollment Requests:**  
 If after filing a grievance with their MCO a Hoosier Care Connect enrollee remains dissatisfied with the outcome, he or she can contact the Enrollment Broker to request MCO disenrollment. The Enrollment Broker reviews the request and makes a disenrollment recommendation. All Enrollment Broker reviews which result in a recommendation to approve MCO disenrollment are sent to FSSA to make a final determination on the request. FSSA monitors the volume of disenrollment requests received on an ongoing basis and any issues or concerns identified, such as a high volume of disenrollment requests, are acted upon promptly and would result in contractually agreed upon remedies such as corrective action.

**Grievance and Appeals Data:**  
 MCOs are required to submit quarterly reports to permit FSSA to monitor the volume and timely resolution of MCO grievances and appeals. State staff review the grievance and appeal data and any non-compliance with timely processing requirements or concerns about volume of received and/or overturned grievances and appeals are acted upon promptly. MCOs are subject to liquidated damages for failure to resolve grievances and appeals in the required timeframe and non-compliance would trigger other contractually agreed upon remedies such as corrective action plans and more frequent reporting requirements.

Corrective action plans and liquidated damages are assessed for missed metrics on both reports. In 2022, a total of 4 liquidated damages were collected from the MCOs. In 2023, a total of 9 liquidated damages were collected from the MCOs. In 2022, MHS had 1 liquidated damages and Anthem had 3 liquidated damages. In 2023, UHC had 4 liquidated damages, and Anthem had 5 liquidated damages. In 2024, Anthem had 2 liquidated damages and UHC had 7 liquidated damages. No CAPs were issued to the MCOs for these reports in 2022 or 2023. 1 CAP was issued for missed metrics on Grievance and Appeals for Anthem in 2024. No system-level program changes have been made as a result of these monitored finds.

**Denials of referral requests**

**Disenrollment requests by enrollee**

**From plan**

**From PCP within plan**

**Grievances and appeals data**

**Other**

Please describe:

**Systems and Claims Reports:**

MCOs are required to submit quarterly reports to assess their claims processing productivity, including denial rates, claims paid with interest and timeliness in adjudicating clean provider claims. This report reflects a claims lag. FSSA promptly reviews the data to identify non-compliance with processing timeliness and outliers on claims denial rates. MCOs are subject to liquidated damages for failure to process clean claims in the required timeframe and non-compliance would trigger other contractually agreed upon remedies such as corrective action plans and more frequent reporting requirements. As of July 2025, the claims (0101 and 0103) reports will be monthly, rather than quarterly.

**Utilization Management Reports:**

MCOs are required to submit quarterly reports on utilization management processes and outcomes. This includes reports to monitor the timeliness of MCO completion of the initial health needs screening, the volume, timeliness of processing and adjudication status of prior authorization requests. Reports monitor members identification for disease management, care management, and complex case management and also measures the level of participation by members, and member's condition. FSSA promptly reviews quarterly report submissions and imposes contractually agreed upon remedies such as liquidated damages, corrective action plans and more frequent reporting requirements when issues or deficiencies are identified.

Corrective action plans and liquidated damages are assessed for missed metrics on both reports. In 2022, no liquidated damages are assessed for missed metrics on both reports. In 2023, no liquidated damages were collected from the MCOs. 4 CAPs were issued to the MCOs in 2022 and 2023. Anthem, MHS and UHC were all placed on a CAP for incorrect billing of 340 b claims in 2022. MHS was placed on a CAP regarding Utilization Management Hierarchy guidelines that were not implemented timely in 2023. In 2024, no liquidated damages were collected from the MCOs. No system-level program changes have been made as a result of these monitored findings.

e.

**Enrollee Hotlines****Activity Details:**

The MCOs provide quarterly data on their enrollee hotline performance including volume of calls received, call answer timeliness and abandoned calls. FSSA promptly reviews the data to identify non-compliance and identify outliers. MCOs are subject to liquidated damages for failure to meet helpline performance metrics and non-compliance would trigger other contractually agreed upon remedies such as corrective action plans and more frequent reporting requirements.

FSSA also monitors reports on calls received at the Enrollment Broker regarding Hoosier Care Connect.

Corrective action plans and liquidated damages are assessed for missed metrics on both reports. In 2022, no liquidated damages were collected from the MCOs. In 2023, 1 liquidated damages were collected from UHC. In 2024, 1 liquidated damages were collected from Anthem. No CAPs were issued to the MCOs in 2022, 2023, or 2024. No system-level program changes have been made as a result of these monitored findings.

f.

**Focused Studies** (detailed investigations of certain aspects of clinical or non-clinical services at a point in time, to answer defined questions. Focused studies differ from performance improvement projects in that they do not require demonstrable and sustained improvement in significant aspects of clinical care and non-clinical service)

**Activity Details:**

**g. Geographic mapping**

**Activity Details:**

MCOs must submit geo-access maps to allow the State to monitor member choice, PMP/specialist capacity and provider selection. Data is analyzed to assess MCOs capacity to service members and access to care within reasonable travel times based on the members' residential zip code to the providers' office/facility location zip code. At the beginning of its contract with the State, MCOs shall submit regular network access reports as directed by FSSA. Once an MCO demonstrates compliance with FSSA's access standards, the MCO shall submit network access reports on a quarterly basis and at any time there is a significant change to the provider network (i.e., the MCO no longer meets the network access standards). The State promptly reviews the geo-access reports to identify any access issues. In the event of identified deficiencies, a corrective action plan or other contractually agreed upon remedy is required.

Corrective action plans and liquidated damages are assessed for missed metrics on the report. In 2022, no liquidated damages were collected from the MCOs. In 2023, no liquidated damages were collected from the MCOs. In 2024, no liquidated damages were collected from the MCOs. No CAPs were issued to the MCOs in 2022, 2023, or 2024. 1 warning letter was issued to Anthem in 2022 due to concerns with new Provider Network Participation requirements. No system-level program changes have been made as a result of these monitored findings

**h. Independent Assessment (Required for first two waiver periods)**

**Activity Details:**

**i. Measure any Disparities by Racial or Ethnic Groups**

**Activity Details:**

**j. Network Adequacy Assurance by Plan [Required for MCO/PIHP/PAHP]**

**Activity Details:**

FSSA requires MCOs to develop and maintain a comprehensive network to provide services to its Hoosier Care Connect members. The MCO must develop a comprehensive network prior to the effective date of the contract and prior to receiving enrollment and shall be required during the Readiness Review process to demonstrate network adequacy through the submission of geo access reports. MCOs are required to have an open network and accept any Indiana Health Coverage Program (IHCP) provider acting within his or her scope of practice until the MCO demonstrates that it meets the access requirements. FSSA reserves the right to delay initial member enrollment if an MCO fails to demonstrate a complete and comprehensive network.

The MCO must provide ninety (90) calendar days advance notice to FSSA of changes to the network that may affect access, availability and network composition. At the beginning of its contract with the State, the MCO shall submit regular network access reports as directed by FSSA. Once the MCO demonstrates compliance with FSSA's access standards, the MCO shall submit network access reports on a quarterly basis and at any time there is a significant change to the provider network (i.e., the MCO no longer meets the network access standards). The State promptly reviews the geo-access reports to identify any access issues. In the event of identified deficiencies, a corrective action plan or other contractually agreed upon remedy is required.

k. **Ombudsman**

**Activity Details:**

l. **On-Site Review**

**Activity Details:**

Prior to receiving member enrollment, Hoosier Care Connect MCOs are required to undergo a readiness review which includes on-site reviews. State staff conducts both on-site and virtual visits to each contracted MCO. Site visits are utilized to review MCO compliance with federal, state and contract requirements through strategies such as onsite demonstrations of operational procedures, meetings and interviews with MCO personnel, monitoring helpline calls, etc. In addition to State conducted onsite reviews, in accordance with federal regulations, MCOs are required to participate in an annual External Quality Review. Any problems, issues, or discrepancies found during onsite reviews are acted upon promptly. Typical interventions include corrective action plans and other contractually agreed upon remedies.

m. **Performance Improvement Projects [Required for MCO/PIHP]**

**Activity Details:**

Performance improvement projects are utilized to monitor and improve the quality of care delivered to Hoosier Care Connect enrollees. MCOs must submit a Quality Management and Improvement Program Work Plan (QMIP) which identifies the high-level primary work plan goals the MCO has set to address its strategy for improving the delivery of health care benefits and services to its members. The QMIP Work Plan is submitted prospectively for each year, with quarterly updates, and a final evaluation of the prior year.

The QMIP goals must be strategic or long-term in nature and the MCO must identify objective measurements for assessing improvement or determining success in meeting stated goals. This report demonstrates the planning, implementation, assessment and outcomes of these strategic goals. FSSA allows and encourages the MCO to add new goals or modify its goals at any time during the calendar year. The Prospective QMIP is a narrative report which describes the goals set for the year, indicates the methods to analyze outcome data and describes the activities set to achieve the listed goals.

Based off the Prospective QMIP, the MCO must provide quarterly progress updates related to the QI Work Plan objectives and Performance Improvement Projects (PIP) set for the year. The Annual Program Evaluation is an annual written evaluation of the work plan goals that includes:

1. A description of completed and ongoing QI activities that address quality and safety of clinical care and quality of service;
2. Trending of measures to assess performance in the quality and safety of clinical care and quality of service;
3. Analysis of the results of QI initiatives, including barrier analysis; and
4. Evaluation of the overall effectiveness of the QI program, including progress toward influencing network-wide safe clinical practices.

MCOs must develop Quality Performance Improvement Projects (QIPs) that describe specific MCO goals for improving the outcomes of health care benefits and services for members. FSSA requires at least two QIPs be conducted that address high priority clinical goals. The MCO may also include additional QIPs related to non-clinical projects. If an MCO has sub-contracted behavioral health services to a managed behavioral health organization (MBHO), coordination for behavioral health QIPs are required.

FSSA monitors the effectiveness of programs and initiatives set forth in the QIP by calculating for statistical significance in the percent change from the previous reporting period.

**Clinical**

**Non-clinical**

n.

**Performance Measures** [Required for MCO/PIHP]

**Activity Details:**

FSSA and MCOs are responsible for the performance measurement process. FSSA has established performance measures that are monitored on a regular basis. The scope of the performance monitoring measures includes quality of care, access to care, customer service, member assessment, care management, grievance and appeals processing, provider credentialing, encounter data, claims payment, utilization management processing and continuity of care measures. Additionally, MCOs produce contractually required HEDIS measures following HEDIS specifications on an annual basis. Data is used to monitor quality of care. FSSA utilizes the data obtained in setting quality strategy goals, performance standards, improvement plans and incentive payments.

Part of the quality monitoring process includes reviewing the data on a quarterly basis and submitting questions to the MCOs regarding discrepancies with the reports. MCOs provided information on the errors and corrected the reports. No CAPs or liquidated damages for these errors were assessed, due to the MCOs completing the edits within the contracted timeframe. No systems-level program changes have been made as a result of these monitored findings.

**Process**

**Health status/ outcomes**

**Access/ availability of care**

**Use of services/ utilization**

**Health plan stability/ financial/ cost of care**

**Health plan/ provider characteristics**

**Beneficiary characteristics**

**o. Periodic Comparison of # of Providers**

**Activity Details:**

**p. Profile Utilization by Provider Caseload (looking for outliers)**

**Activity Details:**

**q. Provider Self-Report Data**

**Activity Details:**

**Survey of providers**

**Focus groups**

**r. Test 24/7 PCP Availability**

**Activity Details:**

MCOs are required to ensure primary medical providers (PMP) provide or arrange for coverage of services twenty-four hours a day, seven days a week and that contracted physicians have a mechanism in place to offer members direct contact with their provider, or the provider’s clinical staff person, through a toll-free telephone number twenty-four hours a day, seven days a week. MCOs must conduct a twenty-four hour availability audit of their PMPs to monitor compliance with this requirement and measure timely access. The sample size must include 100% of high volume providers and 5% of enrolled providers within each county. High volume providers are defined as providers that include the top 10% of the enrolled membership.

PMPs are deemed available to provide services if they: (1) answer the phone themselves, (2) designate an employee, (3) hire an answering service, or (4) use a pager system to facilitate members’ contact with an on-call medical professional 24-hours-a-day, seven-days-a-week. To be considered compliant, PMPs must also provide instruction for life threatening situations in all four of the above situations. The PMP must provide appropriate direction to the member to contact 911 or the nearest emergency department

The results of this audit must be submitted annually to FSSA. State staff promptly review and evaluate the results of the audit. In the event 100% of providers are not in compliance, the State monitors to ensure the required follow-up is conducted. Specifically, MCOs must notify PMPs who are found non-compliant with the 24-hour availability requirement and must put corrective actions in place within 30 days of notification and re-survey within three months. The MCO must monitor non-compliant providers in the following year to determine availability and indicate these re-surveys separately on the survey tool. The MCO must complete these calls in addition to the annual monitoring sample. The MCO must identify the steps taken to communicate audit results to PMPs and the steps the MCO has taken to achieve future compliance.

- s. **Utilization Review** (e.g. ER, non-authorized specialist requests)

**Activity Details:**

- t. **Other**

**Activity Details:**

MCOs must submit all marketing and member communication materials to the State for review and approval prior to distribution. The State reviews for accuracy and compliance with state and federal requirements such as the information requirements enumerated at 42 CFR 438.10.

Additionally, FSSA requires MCOs to submit a Program Integrity Plan which documents the routine methods, on-going referrals and MCO initiatives that support program integrity compliance. This is submitted prospectively for each year, with quarterly updates, along with a final evaluation of the prior year.

## Section C: Monitoring Results

### Renewal Waiver Request

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Section 1915(b) of the Act and 42 CFR 431.55 require that the State must document and maintain data regarding the effect of the waiver on the accessibility and quality of services as well as the anticipated impact of the project on the State’s Medicaid

program. In Section B of this waiver preprint, the State describes how it will assure these requirements are met. For an initial waiver request, the State provides assurance in this Section C that it will report on the results of its monitoring plan when it submits its waiver renewal request. For a renewal request, the State provides evidence that waiver requirements were met for the most recent waiver period. Please use Section D to provide evidence of cost-effectiveness.

CMS uses a multi-pronged effort to monitor waiver programs, including rate and contract review, site visits, reviews of External Quality Review reports on MCOs/PIHPs, and reviews of Independent Assessments. CMS will use the results of these activities and reports along with this Section to evaluate whether the Program Impact, Access, and Quality requirements of the waiver were met.

**This is a renewal request.**

**This is the first time the State is using this waiver format to renew an existing waiver.**The State provides below the results of the monitoring activities conducted during the previous waiver period.

**The State has used this format previously**The State provides below the results of the monitoring activities conducted during the previous waiver period.

For each of the monitoring activities checked in Section B of the previous waiver request, the State should:

- **Confirm** it was conducted as described in Section B of the previous waiver preprint. If it was not done as described, please explain why.
- **Summarize the results** or findings of each activity. CMS may request detailed results as appropriate.
- **Identify problems** found, if any.
- **Describe plan/provider-level corrective action**, if any, that was taken. The State need not identify the provider/plan by name, but must provide the rest of the required information.
- **Describe system-level program changes**, if any, made as a result of monitoring findings.

**The Monitoring Activities were conducted as described:**

Yes    No

If No, please explain:

**Provide the results of the monitoring activities:**

Indiana's MCOs must obtain and maintain NCQA accreditation for all Medicaid lines of business and provide documentation of the accreditation to the State upon receipt. The State will continue to monitor each MCO's compliance with accreditation requirements to identify deficiencies and require a corrective action plan.

Indiana's MCOs must complete annually the Consumer Assessment of Healthcare Providers and Systems (CAHPS) Adult and Child Medicaid surveys to document member experiences with their PMP and MCO. Results are utilized to demonstrate the quality of care and customer service provided to members in categories including but not limited to access to and timeliness of care, coordination of care, provider to member engagement, and quality of care. The MCOs must utilize an NCQA qualified vendor to conduct the CAHPS survey.

Indiana's MCOs are contractually required to regularly submit reports relating to the HCC program. Reporting metrics are utilized to analyze provision of physical and behavioral services, quality and authorization of services, grievances and appeals, as well as utilization management by each of the MCOs. The data is analyzed to identify trends, ensure that enrollees received needed and quality healthcare, and to determine that the MCOs are in compliance with all federal, state, and contract requirements.

The MCOs are also required to contractually provide quarterly reports assessing the efficacy of their claims processing including denial rates and timeliness in the adjudication of clean provider claims. The data is reviewed by FSSA to determine compliance and for assessment of any liquidated damages for failure to meet contractual requirements. Performance improvement plans for failure to process claims accurately and timely may also be imposed if needed. The rate of grievances is very low, the plans meet the standards for processing the member grievances and appeals. The enrollment broker is meeting the requirements of performance metrics.

The MCOs are required to provide quarterly reporting on their enrollee hotline performance including volume of calls received, timeliness in answering these calls, and rate of abandonment of calls. FSSA reviews the data for compliance with contractual requirements and assesses liquidated damages based upon failure to meet those set metrics.

Each year the External Quality Review analyzes data related to the Hoosier Care Connect program. The conducted activities were Network Adequacy Validation Of PIPs, Performance Measures, Validation of Network Adequacy, and Focus Studies of Healthcare Quality, High Risk Diabetes Management and Depression Screening and Timely Follow Up.

Indiana's MCOs are required to provide quarterly, annual, and ad hoc geographic access reports to FSSA. These reports are analyzed to verify each MCO's capacity to provide members with services and access to services within reasonable travel times based upon the member's residential zip code as compared to the provider's office/facility zip code. FSSA analyzes these carefully to verify reasonable access for those members being served by each MCO.

FSSA conducts monthly on-site reviews with each MCO. The on-site reviews are divided into topics selected from both the operations and quality staff. These on-site reviews allow the MCOs to provide FSSA with topic-specific, detailed information upon which to determine their compliance with federal, state and contract requirements. FSSA acts promptly in regards to any issues or problems identified during these site visits. Identified non-compliance can result in corrective actions plans or other agreed upon remedies.

Indiana's MCOs are required to develop annual quality management and improvement work plans (QMIP) that contained high level primary work goals that contain strategies for improving the delivery of health care benefits and services to members. The QMIP Work Plan is submitted prospectively for each year, with quarterly updates, and a final evaluation of the prior year. The MCOs must select Performance Improvement Projects (PIP) that are based on the population characteristics of the membership they serve and areas that are identified as requiring quality improvement. The QIPs must contain long term and short term goals and objectives, interventions or activities that are measureable, the specific processes for reviewing the objectives for progress or lack thereof, and strategies for revision if progress is not being made toward the identified QIP. FSSA also may use discretion in requiring the MCOs to develop QIPs in targeted areas identified as needing improvement.

FSSA and the MCOs are jointly responsible for the performance measurement process. FSSA has established performance measures relating to quality of care, access to care, customer service, member assessment, care management, utilization management, grievance and appeals processing, provider credentialing, claims processing and payment, encounter data, and continuity of care. Additionally MCOs are required to annually provide contractually required HEDIS measures based on HEDIS specifications. HEDIS data is utilized to monitor the quality of care provided to the members and for development of future quality strategy goals, performance standards, improvement plans and incentive payments.

## Section D: Cost-Effectiveness

**Medical Eligibility Groups**

Title	
Hoosier Care Connect Children	
Hoosier Care Connect Adults	
Hoosier Care Connect Fosters	

	First Period		Second Period	
	Start Date	End Date	Start Date	End Date
Actual Enrollment for the Time Period**	04/01/2023	03/31/2024	04/01/2024	03/31/2025
Enrollment Projections for the Time Period*	01/01/2026	12/31/2026	01/01/2027	12/31/2027

\*\*Include actual data and dates used in conversion - no estimates

\*Projections start on Quarter and include data for requested waiver period

**Section D: Cost-Effectiveness**

**Services Included in the Waiver**

**Document the services included in the waiver cost-effectiveness analysis:**

Service Name	State Plan Service	1915(b)(3) Service	Included in Actual Waiver Cost	
Inpatient mental health services				
Occupational therapy				
Federally qualified health centers (FQHCs)				
Non-legend drugs				
Laboratory and radiology services				
Emergency services				
Home health services				
Eye care, eyeglasses, and vision services				
Intermittent or part-time nursing services				
Nurse midwife services				
Smoking cessation services				
Podiatrists				
Outpatient mental health services				
Hospice care				
Rural Health Clinics (RHCs)				
Physician surgical and medical services				
Chiropractors				
Home health aid services				

Service Name	State Plan Service	1915(b)(3) Service	Included in Actual Waiver Cost	
Diabetes self-management training services				
Speech, hearing, and language therapy				
Hospital outpatient services				
Dental services				
Hospital inpatient services				
Transportation - emergency				
Medical supplies and equipment (including prosthetics, hearing aids, dentures, etc.)				
Respiratory therapy				
Physical therapy				
Out of state medical services				
Transportation - non-emergency				
Organ transplants				
Early intervention services (EPSDT)				
Legend drugs				
Family planning services and supplies				
Long term acute care hospitalization				
Rehabilitative unit services - inpatient				
Nursing facility services (for up to 60 days while LOC pending)				

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**A. Assurances**

**a. [Required] Through the submission of this waiver, the State assures CMS:**

- The fiscal staff in the Medicaid agency has reviewed these calculations for accuracy and attests to their correctness.
- The State assures CMS that the actual waiver costs will be less than or equal to or the State’s waiver cost projection.
- Capitated rates will be set following the requirements of 42 CFR 438.6(c) and will be submitted to the CMS Regional Office for approval.
- Capitated 1915(b)(3) services will be set in an actuarially sound manner based only on approved 1915(b)(3) services and their administration subject to CMS RO prior approval.
- The State will monitor, on a regular basis, the cost-effectiveness of the waiver (for example, the State may compare the PMPM Actual Waiver Cost from the CMS 64 to the approved Waiver Cost Projections). If changes are needed, the State will submit a prospective amendment modifying the Waiver Cost Projections.
- The State will submit quarterly actual member month enrollment statistics by MEG in conjunction with the State’s submitted CMS-64 forms.

Signature:

BRIAN GILBERT

State Medicaid Director or Designee

Submission  
Date:

Sep 10, 2025

**Note: The Signature and Submission Date fields will be automatically completed when the State Medicaid Director submits the application.**

**Cost-effectiveness spreadsheet is required for all 1915b waiver submissions.**

**b. Name of Medicaid Financial Officer making these assurances:**

Paul Bowling

**c. Telephone Number:**

(317) 233-4451

**d. E-mail:**

paul.bowling@fssa.in.gov

**e. The State is choosing to report waiver expenditures based on**

**date of payment.**

**date of service within date of payment. The State understands the additional reporting requirements in the CMS-64 and has used the cost effectiveness spreadsheets designed specifically for reporting by date of service within day of payment. The State will submit an initial test upon the first renewal and then an initial and final test (for the preceding 4 years) upon the second renewal and thereafter.**

## Section D: Cost-Effectiveness

### Part I: State Completion Section

#### B. Expedited or Comprehensive Test

To provide information on the waiver program to determine whether the waiver will be subject to the Expedited or Comprehensive cost effectiveness test. *Note: All waivers, even those eligible for the Expedited test, are subject to further review at the discretion of CMS and OMB.*

- b.** The State provides additional services under 1915(b)(3) authority.
- c.** The State makes enhanced payments to contractors or providers.
- d.** The State uses a sole-source procurement process to procure State Plan services under this waiver.
- e.** The State uses a sole-source procurement process to procure State Plan services under this waiver. *Note: do not mark this box if this is a waiver for transportation services and dental pre-paid ambulatory health plans (PAHPs) that has overlapping populations with another waiver meeting one of these three criteria. For transportation and dental waivers alone, States do not need to consider an overlapping population with another waiver containing additional services, enhanced payments, or sole source procurement as a trigger for the comprehensive waiver test. However, if the transportation services or dental PAHP waiver meets the criteria in a, b, or c for additional services, enhanced payments, or sole source procurement then the State should mark the appropriate box and process the waiver using the Comprehensive Test.*

If you marked any of the above, you must complete the entire preprint and your renewal waiver is subject to the Comprehensive Test. If you did not mark any of the above, your renewal waiver (not conversion or initial waiver) is subject to the Expedited Test:

- Do not complete *Appendix D3*
- Your waiver will not be reviewed by OMB *at the discretion of CMS and OMB.*

The following questions are to be completed in conjunction with the Worksheet Appendices. All narrative explanations should be included in the preprint. Where further clarification was needed, we have included additional information in the preprint.

Section D: Cost-Effectiveness

Part I: State Completion Section

C. Capitated portion of the waiver only: Type of Capitated Contract

The response to this question should be the same as in A.I.b.

- a. MCO
- b. PIHP
- c. PAHP
- d. PCCM
- e. Other

Please describe:

Section D: Cost-Effectiveness

Part I: State Completion Section

D. PCCM portion of the waiver only: Reimbursement of PCCM Providers

Under this waiver, providers are reimbursed on a fee-for-service basis. PCCMs are reimbursed for patient management in the following manner (please check and describe):

- a. **Management fees are expected to be paid under this waiver.**  
The management fees were calculated as follows.
  - 1. Year 1:\$  per member per month fee.
  - 2. Year 2:\$  per member per month fee.
  - 3. Year 3:\$  per member per month fee.
  - 4. Year 4:\$  per member per month fee.
- b. **Enhanced fee for primary care services.**  
Please explain which services will be affected by enhanced fees and how the amount of the enhancement was determined.
- c. **Bonus payments from savings generated under the program are paid to case managers who control beneficiary utilization.** Under D.I.H.d., please describe the criteria the State will use for awarding the incentive payments, the method for calculating incentives/bonuses, and the monitoring the State will have in place to ensure that total payments to the providers do not exceed the Waiver Cost Projections (Appendix D5). Bonus payments and incentives for reducing utilization are limited to savings of State Plan service costs under the waiver. Please also describe how the State will ensure that utilization is not adversely affected due to incentives inherent in the bonus payments. The costs associated with any bonus arrangements must be accounted for in Appendix D3. Actual Waiver Cost.
- d. **Other reimbursement method/amount.**  
\$   
Please explain the State's rationale for determining this method or amount.

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**E. Member Months**

Please mark all that apply.

- a. [Required] Population in the base year and R1 and R2 data is the population under the waiver.
- b. For a renewal waiver, because of the timing of the waiver renewal submittal, the State did not have a complete R2 to submit. Please ensure that the formulas correctly calculated the annualized trend rates. *Note: it is no longer acceptable to estimate enrollment or cost data for R2 of the previous waiver period.*
- c. [Required] Explain the reason for any increase or decrease in member months projections from the base year or over time:

We applied completion adjustments to eligibility data for the most recent months of R2, based on historical completion patterns. The Maintenance of Effort (MOE) resulting from the Covid-19 Public Health Emergency (PHE) ended March 31, 2023. The state of Indiana restarted regular redeterminations in April 2023, and completed the return to normal operations over a 12-month period, as members came up for redetermination. Redeterminations were materially complete by the beginning of R2. Annual enrollment trend is applied by MEG as follows: HCC Adults - 0.5%, HCC Children - 1.0% and HCC Fosters - 2.0%. In addition, the state has recently implemented the PathWays program, effective July 1, 2024. At that time, HCC Adults age 60 or above are expected to transition out of HCC into the PathWays program. Based on current demographics, approximately 29% of HCC adults have transitioned. We have used post-transition data (March 2025) as a basis for projecting P1 and P2 enrollment.

- d. [Required] Explain any other variance in eligible member months from BY/R1 to P2:

No other variance.

- e. [Required] Specify whether the BY/R1/R2 is a State fiscal year (SFY), Federal fiscal year (FFY), or other period:

Other (April-March)

**Appendix D1 – Member Months**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**F. Appendix D2.S - Services in Actual Waiver Cost**

**For Conversion or Renewal Waivers:**

- [Required] Explain if different services are included in the Actual Waiver Cost from the previous period in Appendix D3 than for the upcoming waiver period in Appendix D5.  
Explain the differences here and how the adjustments were made on Appendix D5:

- a. [Required] Explain the exclusion of any services from the cost-effectiveness analysis.  
For States with multiple waivers serving a single beneficiary, please document how all costs for waiver covered individuals taken into account.

No exclusions. No enrollees are on multiple waivers.

**Appendix D2.S: Services in Waiver Cost**

State Plan Services	MCO Capitated Reimbursement	FFS Reimbursement impacted by MCO	PCCM FFS Reimbursement	PIHP Capitated Reimbursement	FFS Reimbursement impacted by PIHP	PAHP Capitated Reimbursement	FFS Reimbursement impacted by PAHP
Inpatient mental health services							
Occupational therapy							
Federally qualified health centers (FQHCs)							
Non-legend drugs							
Laboratory and radiology services							
Emergency services							
Home health services							
Eye care, eyeglasses, and vision services							
Intermittent or part-time nursing services							
Nurse midwife services							
Smoking cessation services							
Podiatrists							
Outpatient mental health services							
Hospice care							
Rural Health Clinics (RHCs)							
Physician surgical and medical services							
Chiropractors							
Home health aid services							
Diabetes self-management training services							
Speech, hearing, and language therapy							
Hospital outpatient services							
Dental services							
Hospital inpatient services							
Transportation - emergency							

State Plan Services	MCO Capitated Reimbursement	FFS Reimbursement impacted by MCO	PCCM FFS Reimbursement	PIHP Capitated Reimbursement	FFS Reimbursement impacted by PIHP	PAHP Capitated Reimbursement	FFS Reimbursement impacted by PAHP
Medical supplies and equipment (including prosthetics, hearing aids, dentures, etc.)							
Respiratory therapy							
Physical therapy							
Out of state medical services							
Transportation - non-emergency							
Organ transplants							
Early intervention services (EPSDT)							
Legend drugs							
Family planning services and supplies							
Long term acute care hospitalization							
Rehabilitative unit services - inpatient							
Nursing facility services (for up to 60 days while LOC pending)							

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**G. Appendix D2.A - Administration in Actual Waiver Cost**

**[Required]** The State allocated administrative costs between the Fee-for-service and managed care program depending upon the program structure. *Note: initial programs will enter only FFS costs in the BY. Renewal and Conversion waivers will enter all waiver and FFS administrative costs in the R1 and R2 or BY.*

The allocation method for either initial or renewal waivers is explained below:

- a. The State allocates the administrative costs to the managed care program based upon the number of waiver enrollees as a percentage of total Medicaid enrollees *Note: this is appropriate for MCO/PCCM programs.*
- b. The State allocates administrative costs based upon the program cost as a percentage of the total Medicaid budget. It would not be appropriate to allocate the administrative cost of a mental health program based upon the percentage of enrollees enrolled. *Note: this is appropriate for statewide PIHP/PAHP programs.*
- c. **Other**  
Please explain:

Administrative costs are consistent with reported HCC administrative costs on the Schedule D and CMS schedule 64.10 for the HCC program. Administrative costs are actual costs reported for the HCC program.

**Appendix D2.A: Administration in Actual Waiver Cost**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**H. Appendix D3 - Actual Waiver Cost**

- a. The State is requesting a 1915(b)(3) waiver in **Section A.I.A.1.c** and will be providing non-state plan medical services. The State will be spending a portion of its waiver savings for additional services under the waiver.
- b. **The State is including voluntary populations in the waiver.**  
Describe below how the issue of selection bias has been addressed in the Actual Waiver Cost calculations:

Foster Care Children are a voluntary population. There is selection bias; risk score analyses suggest those enrolled in HCC are higher morbidity than those who choose to remain FFS. This is largely because the State, with its responsibility for foster care children, has developed criteria for determining when HCC enrollment is beneficial. The cost effectiveness demonstration assumes that the relative morbidity of the HCC-enrolled population does not change materially from R2 to P1 and P2.

- c. **Capitated portion of the waiver only -- Reinsurance or Stop/Loss Coverage:** Please note how the State will be providing or requiring reinsurance or stop/loss coverage as required under the regulation. States may require MCOs/PIHPs/PAHPs to purchase reinsurance. Similarly, States may provide stop-loss coverage to MCOs/PIHPs/PAHPs when MCOs/PIHPs/PAHPs exceed certain payment thresholds for individual enrollees. Stop loss provisions usually set limits on maximum days of coverage or number of services for which the MCO/PIHP/PAHP will be responsible. If the State plans to provide stop/loss coverage, a description is required. The State must document the probability of incurring costs in excess of the stop/loss level and the frequency of such occurrence based on FFS experience. The expenses per capita (also known as the stoploss premium amount) should be deducted from the capitation year projected costs. In the initial application, the effect should be neutral. In the renewal report, the actual reinsurance cost and claims cost should be reported in Actual Waiver Cost.

**Basis and Method:**

- 1. **The State does not provide stop/loss protection for MCOs/PIHPs/PAHPs, but requires MCOs/PIHPs/PAHPs to purchase reinsurance coverage privately. No adjustment was necessary.**
- 2. **The State provides stop/loss protection**  
Describe below how the issue of selection bias has been addressed in the Actual Waiver Cost calculations:

- d. **Incentive/bonus/enhanced Payments for both Capitated and fee-for-service Programs:**
  - 1. **[For the capitated portion of the waiver] the total payments under a capitated contract include any incentives the State provides in addition to capitated payments under the waiver program.** The costs associated with any bonus arrangements must be accounted for in the capitated costs (Column D of Appendix D3 Actual Waiver Cost). Regular State Plan service capitated adjustments would apply.

**Document**

- i. **Document the criteria for awarding the incentive payments.**
- ii. **Document the method for calculating incentives/bonuses, and**
- iii. **Document the monitoring the State will have in place to ensure that total payments to the MCOs/PIHPs/PAHPs do not exceed the Waiver Cost Projection.**

- 2. **For the fee-for-service portion of the waiver, all fee-for-service must be accounted for in the fee-for-service incentive costs (Column G of Appendix D3 Actual Waiver Cost).** ). For PCCM providers, the amount listed should match information provided in D.I.D Reimbursement of Providers. Any adjustments applied would need to meet the special criteria for fee-for-service incentives if the State elects to provide incentive payments in addition to management fees under the waiver program (See D.I.I.e and D.I.J.e)

**Document:**

- i. Document the criteria for awarding the incentive payments.**
- ii. Document the method for calculating incentives/bonuses, and**
- iii. Document the monitoring the State will have in place to ensure that total payments to the MCOs/PIHPs/PAHPs/PCCMs do not exceed the Waiver Cost Projection.**

**Appendix D3 – Actual Waiver Cost**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (1 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (2 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (3 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (4 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (5 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (6 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (7 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**I. Appendix D4 - Adjustments in the Projection OR Conversion Waiver for DOS within DOP (8 of 8)**

**This section is only applicable to Initial waivers**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

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**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (1 of 5)**

**a. State Plan Services Trend Adjustment** – the State must trend the data forward to reflect cost and utilization increases. The R1 and R2 (BY for conversion) data already include the actual Medicaid cost changes for the population enrolled in the program. This adjustment reflects the expected cost and utilization increases in the managed care program from R2 (BY for conversion) to the end of the waiver (P2). Trend adjustments may be service-specific and expressed as percentage factors. Some states calculate utilization and cost separately, while other states calculate a single trend rate. The State must document the method used and how utilization and cost increases are not duplicative if they are calculated separately. . **This adjustment must be mutually exclusive of programmatic/policy/pricing changes and CANNOT be taken twice. The State must document how it ensures there is no duplication with programmatic/policy/pricing changes.**

1. [Required, if the State’s BY or R2 is more than 3 months prior to the beginning of P1] The State is using actual State cost increases to trend past data to the current time period (i.e., trending from 1999 to present).

The actual trend rate used is:

Please document how that trend was calculated:

State Plan service cost projections from R2 to P1 (21 Months) reflect the following adjustments: Removal of risk corridor revenue from R2: Approximately \$43 million in CY 2022 risk corridor revenue was received for HCC during R2. the state maintains a symmetrical two-sided risk corrido. Due to changing costs, the state is instead anticipation a \$37 million risk corridor payment back to the health plans during P1. Adjust pharmacy rebates: Pharmacy expenditures are mainly paid at point of sale. However, pharmacy rebates are normally returned to the state on a six to nine month payment lag. Therefore, although the HCC adults who transitioned to the Pathways program were only enrolled in HCC during the three months of R2, pharmacy rebates on their payments were received for most of the year. From R2 to P1, we are anticipating an approximately \$47 million reduction in pharmacy rebates received. Anticipated increase to the capitation rates paid through March 31, 2025: Capitation rates paid during R2 and reflected in the CMS 64 represent initial CY 2024 rates. These rates will be updated to final CY2024 and initial CY 2025 and CY 2026 rates during P1. The updated rates will include the following: Continued Applied Behavioral Analysis (ABA) cost increases for HCC Children and HCC Fosters and Pharmacy cost increases for all MEGs. State plan service trend adjustments: We have reflected 21 months of trend from R2 to P1 at an annual trend of 2.38%. The trend rate reflects estimated cost and utilization increases (excluding programmatic/policy/pricing changes) for the HCC waiver population. This represents average medical care trend over the last 10 years (CY 2014 through CY2024) as summarized by the Bureau of Labor and Statistics (BLS). Acuity adjustment for HCC Adults: Effective July 1, 2024, HCC adults age 60 and above will be transitioned to the new Pathways managed care program. As these members are more costly than the average HCC adult, and their costs were reflected for three of twelve months during R2, we have estimated the HCC Adult PMPM will be reduced by 0.35%. State plan service cost projections from P1 to P2 reflect 12 months of trend at 2.38% for all MEGs.

2. **[Required, to trend BY/R2 to P1 and P2 in the future] When cost increases are unknown and in the future, the State is using a predictive trend of either State historical cost increases or national or regional factors that are predictive of future costs (same requirement as capitated ratesetting regulations) (i.e., trending from present into the future).**

- i. **State historical cost increases.**

Please indicate the years on which the rates are based: base years. In addition, please indicate the mathematical method used (multiple regression, linear regression, chi-square, least squares, exponential smoothing, etc.). Finally, please note and explain if the State’s cost increase calculation includes more factors than a price increase such as changes in technology, practice patterns, and/or units of service PMPM.

- ii. **National or regional factors that are predictive of this waiver’s future costs.**

Please indicate the services and indicators used. In addition, please indicate how this factor was determined to be predictive of this waiver’s future costs. Finally, please note and explain if the State’s cost increase calculation includes more factors than a price increase such as changes in technology, practice patterns, and/or units of service PMPM.

3. **The State estimated the PMPM cost changes in units of service, technology and/or practice patterns that would occur in the waiver separate from cost increase.**

Utilization adjustments made were service-specific and expressed as percentage factors. The State has documented how utilization and cost increases were not duplicated. This adjustment reflects the changes in utilization between R2 and P1 and between years P1 and P2.

- i. **Please indicate the years on which the utilization rate was based (if calculated separately only).**
  - ii. **Please document how the utilization did not duplicate separate cost increase trends.**

**Appendix D4 – Adjustments in Projection**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (2 of 5)**

**b. State Plan Services Programmatic/Policy/Pricing Change Adjustment:** This adjustment should account for any programmatic changes that are not cost neutral and that affect the Waiver Cost Projection. For example, changes in rates, changes brought about by legal action, or changes brought about by legislation. For example, Federal mandates, changes in hospital payment from per diem rates to Diagnostic Related Group (DRG) rates or changes in the benefit coverage of the FFS program. **This adjustment must be mutually exclusive of trend and CANNOT be taken twice. The State must document how it ensures there is no duplication with trend.** If the State is changing one of the aspects noted above in the FFS State Plan then the State needs to estimate the impact of that adjustment. *Note: FFP on rates cannot be claimed until CMS approves the SPA per the 1/2/01 SMD letter. Prior approval of capitation rates is contingent upon approval of the SPA.* The R2 data was adjusted for changes that will occur after the R2 (BY for conversion) and during P1 and P2 that affect the overall Medicaid program.

Others:

- Additional State Plan Services (+)
  - Reductions in State Plan Services (-)
  - Legislative or Court Mandated Changes to the Program Structure or fee
  - Graduate Medical Education (GME) Changes - This adjustment accounts for **changes** in any GME payments in the program. 42 CFR 438.6(c)(5) specifies that States can include or exclude GME payments from the capitation rates. However, GME payments must be included in cost-effectiveness calculations.
  - Copayment Changes - This adjustment accounts for changes from R2 to P1 in any copayments that are collected under the FFS program, but not collected in the MCO/PIHP/PAHP capitated program. States must ensure that these copayments are included in the Waiver Cost Projection if not to be collected in the capitated program. If the State is changing the copayments in the FFS program then the State needs to estimate the impact of that adjustment.
1. The State has chosen not to make an adjustment because there were no programmatic or policy changes in the FFS program after the MMIS claims tape was created. In addition, the State anticipates no programmatic or policy changes during the waiver period.
  2. An adjustment was necessary. The adjustment(s) is(are) listed and described below:
    - i. The State projects an externally driven State Medicaid managed care rate increases/decreases between the base and rate periods.  
Please list the changes.

The pilot began implementation effective January 1, 2025, and is partially reflected in the last three months of R2; it is anticipated it will ramp up and be fully effective during P1 and P2. The program adjustment reflects the estimated additional cost of the CCBHC demonstration, with the pilot fully operational. P1 adjustment is \$45.56 PMPM.

For the list of changes above, please report the following:

- A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).  
PMPM size of adjustment  

0.00
- B. The size of the adjustment was based on pending SPA.  
Approximate PMPM size of adjustment

0.00

- C. Determine adjustment based on currently approved SPA.  
PMPM size of adjustment

0.00

- D. Determine adjustment for Medicare Part D dual eligibles.
- E. Other:  
Please describe

- ii. The State has projected no externally driven managed care rate increases/decreases in the managed care rates.
- iii. Changes brought about by legal action:  
Please list the changes.

For the list of changes above, please report the following:

- A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).  
PMPM size of adjustment

- B. The size of the adjustment was based on pending SPA.  
Approximate PMPM size of adjustment

- C. Determine adjustment based on currently approved SPA.  
PMPM size of adjustment

- D. Other  
Please describe

- iv. Changes in legislation.  
Please list the changes.

For the list of changes above, please report the following:

- A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).  
PMPM size of adjustment

- B. The size of the adjustment was based on pending SPA.  
Approximate PMPM size of adjustment

- C. Determine adjustment based on currently approved SPA  
PMPM size of adjustment

- D. Other  
Please describe

- v. Other  
Please describe:

- A. The size of the adjustment was based upon a newly approved State Plan Amendment (SPA).

PMPM size of adjustment

- B. The size of the adjustment was based on pending SPA.  
Approximate PMPM size of adjustment

- C. Determine adjustment based on currently approved SPA.  
PMPM size of adjustment

- D. Other  
Please describe

### Section D: Cost-Effectiveness

#### Part I: State Completion Section

#### J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (3 of 5)

**c. Administrative Cost Adjustment:** This adjustment accounts for changes in the managed care program. The administrative expense factor in the renewal is based on the administrative costs for the eligible population participating in the waiver for managed care. Examples of these costs include per claim claims processing costs, additional per record PRO review costs, and additional Surveillance and Utilization Review System (SURS) costs; as well as actuarial contracts, consulting, encounter data processing, independent assessments, EQRO reviews, etc. *Note: one-time administration costs should not be built into the cost-effectiveness test on a long-term basis. States should use all relevant Medicaid administration claiming rules for administration costs they attribute to the managed care program.* If the State is changing the administration in the fee-for-service program then the State needs to estimate the impact of that adjustment.

1. No adjustment was necessary and no change is anticipated.
2. An administrative adjustment was made.
  - i. Administrative functions will change in the period between the beginning of P1 and the end of P2.  
Please describe:

- ii. Cost increases were accounted for.
  - A. Determine administration adjustment based upon an approved contract or cost allocation plan amendment (CAP).
  - B. Determine administration adjustment based on pending contract or cost allocation plan amendment (CAP).
  - C. State Historical State Administrative Inflation. THE actual trend rate used isPMPM size of adjustment

0.00

Please describe:

- D. Other  
Please describe:

The annual trend for both P1 and P2 is 2.85% based on the average change in CPI-U over the last ten years (CY 2014-2024). For P1, filing reflects 21 months trend from midpoint of R2 to P1  $(5.05\% = (1.0285)^{(21/12)} = 1.0505)$ .

- iii. [Required, when State Plan services were purchased through a sole source procurement with a governmental entity. No other State administrative adjustment is allowed.] If cost increase trends are unknown and in the future, the State must use the lower of: Actual State administration costs trended forward at the State historical administration trend rate or Actual State administration costs trended forward at the State Plan services trend rate.

Please document both trend rates and indicate which trend rate was used.

- A. Actual State Administration costs trended forward at the State historical administration trend rate.

Please indicate the years on which the rates are based: base years

In addition, please indicate the mathematical method used (multiple regression, linear regression, chi-square, least squares, exponential smoothing, etc.). Finally, please note and explain if the State's cost increase calculation includes more factors than a price increase.

- B. Actual State Administration costs trended forward at the State Plan Service Trend rate. Please indicate the State Plan Service trend rate from Section D.I.J.a. above

### Section D: Cost-Effectiveness

#### Part I: State Completion Section

#### J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (4 of 5)

d. 1915(b)(3) Adjustment: The State must document the amount of State Plan Savings that will be used to provide additional 1915(b)(3) services in *Section D.I.H.a* above. The Base Year already includes the actual trend for the State

Plan services in the program. This adjustment reflects the expected trend in the 1915(b)(3) services between the Base Year and P1 of the waiver and the trend between the beginning of the program (P1) and the end of the program (P2). Trend adjustments may be service-specific and expressed as percentage factors.

- 1. [Required, if the State’s BY is more than 3 months prior to the beginning of P1 to trend BY to P1] The State is using the actual State historical trend to project past data to the current time period (i.e., trending from 1999 to present).

The actual documented trend is:

Please provide documentation.

- 2. [Required, when the State’s BY is trended to P2. No other 1915(b)(3) adjustment is allowed] If trends are unknown and in the future (i.e., trending from present into the future), the State must use the lower of State historical 1915(b)(3) trend or State’s trend for State Plan Services. Please document both trend rates and indicate which trend rate was used.

**i. A. State historical 1915(b)(3) trend rates**

- 1. Please indicate the years on which the rates are based: base years

- 2. Please provide documentation.

**B. State Plan Service trend**

Please indicate the State Plan Service trend rate from Section D.I.J.a. above

**e. Incentives (not in capitated payment) Trend Adjustment:** If the State marked **Section D.I.H.d** , then this adjustment reports trend for that factor. Trend is limited to the rate for State Plan services.

- 1. List the State Plan trend rate by MEG from Section D.I.I.a

- 2. List the Incentive trend rate by MEG if different from Section D.I.I.a

- 3. Explain any differences:

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**J. Appendix D4 - Conversion or Renewal Waiver Cost Projection and Adjustments. (5 of 5)**

**p. Other adjustments** including but not limited to federal government changes.

- If the federal government changes policy affecting Medicaid reimbursement, the State must adjust P1 and P2 to reflect all changes.
- Once the State’s FFS institutional excess UPL is phased out, CMS will no longer match excess institutional UPL payments.
  - Excess payments addressed through transition periods should not be included in the 1915(b) cost effectiveness process. Any State with excess payments should exclude the excess amount and only include the supplemental amount under 100% of the institutional UPL in the cost effectiveness process.
  - For all other payments made under the UPL, including supplemental payments, the costs should be included in the cost effectiveness calculations. This would apply to PCCM enrollees and to PAHP, PIHP or MCO enrollees if the institutional services were provided as FFS wrap around. The recipient of the supplemental payment does not matter for the purposes of this analysis.
- **Pharmacy Rebate Factor Adjustment (Conversion Waivers Only) \***: Rebates that States receive from drug manufacturers should be deducted from Base Year costs if pharmacy services are included in the capitated base. If the base year costs are not reduced by the rebate factor, an inflated BY would result. Pharmacy rebates should also be deducted from FFS costs if pharmacy services are impacted by the waiver but not capitated.

*Basis and Method:*

1. Determine the percentage of Medicaid pharmacy costs that the rebates represent and adjust the base year costs by this percentage. States may want to make separate adjustments for prescription versus over the counter drugs and for different rebate percentages by population. States may assume that the rebates for the targeted population occur in the same proportion as the rebates for the total Medicaid population **which includes accounting for Part D dual eligibles**. Please account for this adjustment in **Appendix D5**.
2. The State has not made this adjustment because pharmacy is not an included capitation service and the capitated contractor’s providers do not prescribe drugs that are paid for by the State in FFS **or Part D for the dual eligibles**.
3. Other

*Please describe:*

1. No adjustment was made.
2. This adjustment was made. This adjustment must be mathematically accounted for in Appendix D5. Please describe

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**K. Appendix D5 – Waiver Cost Projection**

The State should complete these appendices and include explanations of all adjustments in Section D.I.I and D.I.J above.

**Appendix D5 – Waiver Cost Projection**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**L. Appendix D6 – RO Targets**

The State should complete these appendices and include explanations of all trends in enrollment in Section D.I.E. above.

We applied completion adjustments to eligibility data for the most recent months of R2, based on historical completion patterns. The Maintenance of Effort (MOE) resulting from the Covid-19 Public Health Emergency (PHE) ended March 31, 2023. The state of Indiana restarted regular redeterminations in April 2023, and completed the return to normal operations over a 12-month period, as members came up for redetermination. Redeterminations were materially complete by the beginning of R2. Annual enrollment trend is applied by MEG as follows: HCC Adults - 0.5%, HCC Children - 1.0% and HCC Fosters - 2.0%. In addition, the state has recently implemented the PathWays program, effective July 1, 2024. At that time, HCC Adults age 60 or above are expected to transition out of HCC into the PathWays program. Based on current demographics, approximately 29% of HCC adults have transitioned. We have used post-transition data (March 2025) as a basis for projecting P1 and P2 enrollment.

**Appendix D6 – RO Targets**

**Section D: Cost-Effectiveness**

**Part I: State Completion Section**

**M. Appendix D7 - Summary**

- a. Please explain any variance in the overall percentage change in spending from BY/R1 to P2.

- 1. Please explain caseload changes contributing to the overall annualized rate of change in Appendix D7 Column I. This response should be consistent with or the same as the answer given by the State in Section D.I.E.c & d:

We applied completion adjustments to eligibility data for the most recent months of R2, based on historical completion patterns. The Maintenance of Effort (MOE) resulting from the Covid-19 Public Health Emergency (PHE) ended March 31, 2023. The state of Indiana restarted regular redeterminations in April 2023, and completed the return to normal operations over a 12-month period, as members came up for redetermination. Redeterminations were materially complete by the beginning of R2. Annual enrollment trend is applied by MEG as follows: HCC Adults - 0.5%, HCC Children - 1.0% and HCC Fosters - 2.0%. In addition, the state has recently implemented the PathWays program, effective July 1, 2024. At that time, HCC Adults age 60 or above are expected to transition out of HCC into the PathWays program. Based on current demographics, approximately 29% of HCC adults have transitioned. We have used post-transition data (March 2025) as a basis for projecting P1 and P2 enrollment.

- 2. Please explain unit cost changes contributing to the overall annualized rate of change in Appendix D7 Column I. This response should be consistent with or the same as the answer given by the State in the State’s explanation of cost increase given in Section D.I.I and D.I.J:

State Plan service cost projections from R2 to P1 (21 Months) reflect the following adjustments: Removal of risk corridor revenue from R2: Approximately \$43 million in CY 2022 risk corridor revenue was received for HCC during R2. the state maintains a symmetrical two-sided risk corrido. Due to changing costs, the state is instead anticipation a \$37 million risk corridor payment back to the health plans during P1. Adjust pharmacy rebates: Pharmacy expenditures are mainly paid at point of sale. However, pharmacy rebates are normally returned to the state on a six to nine month payment lag. Therefore, although the HCC adults who transitioned to the Pathways program were only enrolled in HCC during the three months of R2, pharmacy rebates on their payments were received for most of the year. From R2 to P1, we are anticipating an approximately \$47 million reduction in pharmacy rebates received. Anticipated increase to the capitation rates paid through March 31, 2025: Capitation rates paid during R2 and reflected in the CMS 64 represent initial CY 2024 rates. These rates will be updated to final CY2024 and initial CY 2025 and CY 2026 rates during P1. The updated rates will include the following: Continued Applied Behavioral Analysis (ABA) cost increases for HCC Children and HCC Fosters and Pharmacy cost increases for all MEGs. State plan service trend adjustments: We have reflected 21 months of trend from R2 to P1 at an annual trend of 2.38%. The trend rate reflects estimated cost and utilization increases (excluding programmatic/policy/pricing changes) for the HCC waiver population. This represents average medical care trend over the last 10 years (CY 2014 through CY2024) as summarized by the Bureau of Labor and Statistics (BLS). Acuity adjustment for HCC Adults: Effective July 1, 2024, HCC adults age 60 and above will be transitioned to the new Pathways managed care program. As these members are more costly than the average HCC adult, and their costs were reflected for three of twelve months during R2, we have estimated the HCC Adult PMPM will be reduced by 0.35%. State plan service cost projections from P1 to P2 reflect 12 months of trend at 2.38% for all MEGs.

3. Please explain utilization changes contributing to the overall annualized rate of change in Appendix D7 Column I. This response should be consistent with or the same as the answer given by the State in the State’s explanation of utilization given in Section D.I.I and D.I.J:

Utilization change component is incorporated in the above section D.M.a.2

- b. Please note any other principal factors contributing to the overall annualized rate of change in Appendix D7 Column I.

**Appendix D7 - Summary**