

**PRIMARY CARE PARTIAL CAPITATION PROVIDER (PCPCP)
MEDICAID MANAGED CARE
MODEL CONTRACT
January 1, 2008**

Note: This document reflects the original model agreement effective October 1, 2005, as amended January 1, 2008, and October 1, 2008

Recitals

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**STATE OF NEW YORK
MEDICAID MANAGED CARE PLAN AGREEMENT**

This AGREEMENT is hereby made by and between the New York State Department of Health (“SDOH”) and _____ (“Contractor”) located at:

RECITALS

WHEREAS, pursuant to Title XIX of the Federal Social Security Act, codified as 42 U.S.C. Section 1396 et seq. (the "Social Security Act"), and Title 11 of Article 5 of the New York State Social Services Law ("SSL"), a comprehensive program of medical assistance for needy persons exists in the State of New York ("Medicaid"); and

WHEREAS, pursuant to Title 11 of Article 5 of the SSL, the Commissioner of Health has established a managed care program under the medical assistance program, known as the Medicaid Managed Care (“MMC”) Program; and

WHEREAS, organizations certified under Article 4403-e of the New York State Public Health Law ("PHL") are eligible to provide comprehensive primary and preventive health services to Eligible Persons as defined in Titles 11 of the SSL, Medicaid Managed Care; and

WHEREAS, the Contractor is organized under the laws of New York State and is certified under Article 4403-e of the PHL and has offered to provide covered health services as defined by this Agreement to Eligible Persons residing in the geographic area specified in Appendix M of this Agreement (Service Area, Benefit Package Options, and Enrollment Elections); and

WHEREAS, the SDOH has determined that the Contractor meets the qualifications established for participation in the Medicaid Managed Care Program to provide the covered health services to Eligible Persons in the geographic area specified in Appendix M of this Agreement.

NOW THEREFORE, the parties agree as follows:

1. DEFINITIONS

“Auto-assignment” means a process by which an MMC Eligible Person, as this term is defined in this Agreement, who is mandated to enroll in the MMC Program, but who has not selected and enrolled in a MCO within sixty (60) days of receipt of the mandatory notice sent by the LDSS, is assigned to a MCO as defined in this Agreement offering an MMC product in the MMC Eligible Person’s county of fiscal responsibility in accordance with the auto-assignment algorithm determined by the SDOH.

“Behavioral Health Services” means services to address mental health disorders and/or chemical dependence.

“Benefit Package” means the covered services for the MMC Program, described in Appendix K of this Agreement, to be provided to the Enrollee, as Enrollee is defined in this Agreement, by or through the Contractor, including optional Benefit Package services, if any, as specified in Appendix M of this Agreement. The Benefit Package includes: “Comprehensive Primary and Preventive Care” or “Capitated Services” as defined by this Agreement and “Referred Services”.

“Capitation Rate” means the fixed monthly amount that the Contractor receives for an Enrollee to provide that Enrollee with Capitated Services.

“Capitated Services” means those primary care services and medical case management provided directly by the Contractor described in Appendix K of this Agreement and covered in the Capitation Rate.

“Chemical Dependence Services” means examination, diagnosis, level of care determination, treatment, rehabilitation, or habilitation of persons suffering from chemical abuse or dependence, and includes the provision of alcohol and/or substance abuse services.

“Child/Teen Health Program” or “C/THP” means the program of early and periodic screening, including inter-periodic, diagnostic and treatment services (EPSDT) that New York State offers all Eligible Persons under twenty-one (21) years of age. Care and services are provided in accordance with the periodicity schedule and guidelines developed by the New York State Department of Health. The services include administrative services designed to help families obtain services for children including outreach, information, appointment scheduling, administrative case management and transportation assistance, to the extent that transportation is included in the Benefit Package.

“Comprehensive HIV Special Needs Plan” or “HIV SNP” means a MCO certified pursuant to Section forty-four hundred three-c (4403-c) of Article 44 of the PHL which, in addition to providing or arranging for the provision of comprehensive health services on a capitated basis, including those for which Medical Assistance payment is authorized pursuant to Section three hundred sixty-five-a (365-a) of the SSL, also provides or

arranges for the provision of specialized HIV care to HIV positive persons eligible to receive benefits under Title XIX of the federal Social Security Act or other public programs.

“Comprehensive Primary and Preventive Care” means those primary care services identified in Appendix K of this Agreement that the Contractor is responsible for providing, arranging or locating.

“Court-Ordered Services” means those Primary Care services that the Contractor is required to provide to, and those Referred Services the Contractor is required to authorize for Enrollees pursuant to orders of courts of competent jurisdiction, provided however, that such ordered services are within the Contractor's Benefit Package and reimbursable under Title XIX of the Federal Social Security Act (SSL 364-j(4)(r)).

“Covered Services” means those Capitated services provided directly or arranged for by the Contractor and those Referred services, which must be coordinated, located and authorized by the Contractor.

“Days” means calendar days except as otherwise stated.

“Detoxification Services” means Medically Managed Detoxification Services and Medically Supervised Inpatient and Outpatient Withdrawal Services as defined in Appendix K of this Agreement.

“Disenrollment” means the process by which an Enrollee's membership in the Contractor's MMC product terminates.

“Effective Date of Disenrollment” means the date on which an Enrollee may no longer receive services from the Contractor, pursuant to Section 8.5 and Appendix H of this Agreement.

“Effective Date of Enrollment” means the date on which an Enrollee may begin to receive services from the Contractor, pursuant to Section 6.8(e) and Appendix H of this Agreement.

“Eligible Person” means an MMC Eligible Person as defined in this Agreement.

“eMedNY” means the electronic Medicaid system of New York State for eligibility verification and Medicaid provider claim submission and payments.

“Emergency Medical Condition” means a medical or behavioral condition, the onset of which is sudden, that manifests itself by symptoms of sufficient severity, including severe pain, that a prudent layperson, possessing an average knowledge of medicine and health, could reasonably expect the absence of immediate medical attention to result in: (i) placing the health of the person afflicted with such condition in serious jeopardy, or in the case of a pregnant woman, the health of the woman or her unborn child or, in the case of

a behavioral condition, placing the health of the person or others in serious jeopardy; or (ii) serious impairment to such person's bodily functions; or (iii) serious dysfunction of any bodily organ or part of such person; or (iv) serious disfigurement of such person.

“Emergency Services” means health care procedures, treatments or services needed to evaluate or stabilize an Emergency Medical Condition including psychiatric stabilization and medical detoxification from drugs or alcohol.

“Enrollee” means an MMC Enrollee as defined in this Agreement.

“Enrollment” means the process by which an Enrollee's membership in the Contractor's MMC product begins.

“Enrollment Broker” means the state and/or county-contracted entity that provides Enrollment, education, and outreach services to Eligible Persons; effectuates Enrollments and Disenrollments in MMC; and provides other contracted services on behalf of the SDOH and the LDSS.

“Enrollment Facilitator” means an entity under contract with SDOH, and its agents, that assists children and adults to complete the Medicaid, Family Health Plus, Child Health Plus, Special Supplemental Food Program for Women, Infants, and Children (WIC), and Prenatal Care Assistance Program (PCAP) application and the enrollment and recertification processes, to the extent permitted by federal and state law and regulation. This includes assisting individuals in completing the required application form, conducting the face-to-face interview, assisting in the collection of required documentation, assisting in the MCO selection process, and referring individuals to WIC or other appropriate sites.

“Experienced HIV Provider” means an entity grant-funded by the SDOH AIDS Institute to provide clinical and/or supportive services or an entity licensed or certified by the SDOH to provide HIV/AIDS services.

“Facilitated Enrollment” means the enrollment infrastructure established by SDOH to assist children and adults in applying for Medicaid, Family Health Plus, Child Health Plus, WIC, or PCAP using a joint application, and recertifying for these programs, as allowed by federal and state law and regulation.

“Fiscal Agent” means the entity that processes or pays vendor claims on behalf of the Medicaid state agency pursuant to an agreement between the entity and such agency.

“Guaranteed Eligibility” means the period beginning on the Enrollee's Effective Date of Enrollment with the Contractor and ending six (6) months thereafter, during which the Enrollee may be entitled to continued Enrollment in the Contractor's MMC product, despite the loss of eligibility as set forth in Section 9 of this Agreement.

“Health Provider Network” or “HPN” means a closed communication network dedicated to secure data exchange and distribution of health related information between various health facility providers and the SDOH. HPN functions include: collection of Complaint and Disenrollment information; collection of financial reports; collection and reporting of managed care provider networks systems (PNS); and the reporting of encounter data systems (MEDS).

“HIV Specialist PCP” means a Primary Care Provider that meets the qualifications for HIV Specialist as defined by the Medical Care Criteria Committee of the SDOH AIDS Institute.

“Local Public Health Agency” or “LPHA” means the city or county government agency responsible for monitoring the population’s health, promoting the health and safety of the public, delivering public health services and intervening when necessary to protect the health and safety of the public.

“Local Department of Social Services” or “LDSS” means a city or county social services district as constituted by Section 61 of the SSL.

“Lock-In Period” means the period of time during which an Enrollee may not change MCOs, unless the Enrollee can demonstrate Good Cause as established in state law and specified in Appendix H of this Agreement.

“Managed Care Organization” or “MCO” means a health maintenance organization ("HMO"), prepaid health services plan ("PHSP"), primary care partial capitation provider ("PCPCP") authorized under Article 44 of the New York State Public Health Law (PHL) or a physician case management provider ("PCMP") authorized under Section 364-f of Social Services Law (SSL).

“Marketing” means any activity of the Contractor, subcontractor or individuals or entities affiliated with the Contractor by which information about the Contractor is made known to Eligible Persons or Prospective Enrollees for the purpose of persuading such persons to enroll with the Contractor.

“Marketing Representative” means any individual or entity engaged by the Contractor to market on behalf of the Contractor.

“Medical Record” means a complete record of care rendered by a provider documenting the care rendered to the Enrollee, including inpatient, outpatient, and emergency care, in accordance with all applicable federal, state and local laws, rules and regulations. Such record shall be signed by the medical professional rendering the services.

“Medically Necessary” means health care and services that are necessary to prevent, diagnose, manage or treat conditions in the person that cause acute suffering, endanger

life, result in illness or infirmity, interfere with such person's capacity for normal activity, or threaten some significant handicap.

“Member Handbook” means the publication prepared by the Contractor and issued to Enrollees to inform them of their benefits and services, how to access health care services and to explain their rights and responsibilities as an MMC Enrollee.

“MMC Eligible Person” means a person whom the LDSS, state or federal government determines to have met the qualifications established in state or federal law necessary to receive medical assistance under Title 11 of the SSL and who meets all the other conditions for enrollment in the MMC Program.

“MMC Enrollee” means an MMC Eligible Person who either personally or through an authorized representative, has enrolled in, or has been auto-assigned to, the Contractor’s MMC product.

“Native American” means, for purposes of this Agreement, a person identified in the Medicaid eligibility system as a Native American.

“Nonconsensual Enrollment” means Enrollment of an Eligible Person, other than through Auto-assignment, newborn Enrollment or case addition, in a MCO’s MMC product without the consent of the Eligible Person or consent of a person with the legal authority to act on behalf of the Eligible Person at the time of Enrollment.

“Non-Participating Provider” means a provider of medical care and/or services with which the Contractor has no Provider Agreement, as this term is defined in this Agreement.

“Participating Provider” means a provider of medical care and/or services that has a Provider Agreement with the Contractor.

“Physicians Case Management Program” or **“PCMP”** means a managed care provider in a group or solo practice composed of physician case managers who locate, coordinate and monitor an Enrollees’ access to covered services pursuant to Section 367-f and 364-j of SSL.

“Physician Incentive Plan” or **“PIP”** means any compensation arrangement between the Contractor or one of its contracting entities and a physician or physician group that may directly or indirectly have the effect of reducing or limiting services furnished to the Contractor’s Enrollees .

“Post-stabilization Care Services” means covered services, related to an Emergency Medical Condition, that are provided after an Enrollee is stabilized in order to maintain the stabilized condition, or to improve or resolve the Enrollee’s condition.

“Potential Enrollee” means an MMC Eligible Person who is not yet enrolled in a MCO that is participating in the MMC Program.

“Prepaid Capitation Plan Roster” or “Roster” means the Enrollment list generated on a monthly basis by SDOH by which LDSS and Contractor are informed of specifically which Eligible Persons the Contractor will be serving for the coming month, subject to any revisions communicated in writing or electronically by SDOH, LDSS, or the Enrollment Broker.

“Presumptive Eligibility Provider” means a provider designated by the SDOH as qualified to determine the presumptive eligibility for pregnant women to allow them to receive prenatal services immediately. These providers assist such women with the completion of the full application for Medicaid and they may be comprehensive Prenatal Care Programs, Local Public Health Agencies, Certified Home Health Agencies, Public Health Nursing Services, Article 28 facilities, and individually licensed physicians and certified nurse practitioners.

“Preventive Care” means the care or services rendered to avert disease/illness and/or its consequences. There are three levels of preventive care: primary, such as immunizations, aimed at preventing disease; secondary, such as disease screening programs aimed at early detection of disease; and tertiary, such as physical therapy, aimed at restoring function after the disease has occurred. Commonly, the term “preventive care” is used to designate prevention and early detection programs rather than treatment programs.

“Primary Care Partial Capitation Provider” or “PCPCP” means a qualified individual medical services provider or a county or entity comprised of medical services providers offering comprehensive primary and preventive care and case management of inpatient, emergency room and specialty services to MMC Eligible Persons.

“Primary Care Case Management” or “PCCM” means locating, coordinating and monitoring Benefit Package services.

“Primary Care Provider” or “PCP” means a qualified physician, or certified nurse practitioner or team of no more than four (4) qualified physicians/certified nurse practitioners which provides all required primary care services contained in the Benefit Package to Enrollees.

“Prospective Enrollee” means any individual residing in the Contractor’s Service Area that has not yet enrolled in a MCO’s MMC product.

“Provider Agreement” means any written contract between the Contractor and Participating Providers to provide medical care and/or services to Contractor's Enrollees.

“Referred Services” means those Benefit Package services as described in Appendix K of this Agreement that are coordinated by the Contractor and require authorization by the Contractor or PCP.

“School Based Health Centers” or “SBHC” means SDOH approved centers which provide comprehensive primary and mental health services including health assessments, diagnosis and treatment of acute illnesses, screenings and immunizations, routine management of chronic diseases, health education, mental health counseling and treatment on-site in schools. Services are offered by multi-disciplinary staff from sponsoring Article 28 licensed hospitals and community health centers.

“Seriously Emotionally Disturbed” or “SED” means, an individual through seventeen (17) years of age who meets the criteria established by the Commissioner of Mental Health, including children and adolescents who have a designated diagnosis of mental illness under the most recent edition of the diagnostic and statistical manual of mental disorders, and (1) whose severity and duration of mental illness results in substantial functional disability or (2) who require mental health services on more than an incidental basis.

“Seriously and Persistently Mentally Ill” or “SPMI” means an individual eighteen (18) years or older who meets the criteria established by the Commissioner of Mental Health, including persons who have a designated diagnosis of mental illness under the most recent edition of the diagnostic and statistical manual of mental disorders, and (1) whose severity and duration of mental illness results in substantial functional disability or (2) who require mental health services on more than an incidental basis.

“Tuberculosis Directly Observed Therapy” or “TB/DOT” means the direct observation of ingestion of oral TB medications to assure patient compliance with the physician's prescribed medication regimen.

“Urgently Needed Services” means covered services that are not Emergency Services as defined in this Section, provided when an Enrollee is temporarily absent from the Contractor's service area, when the services are medically necessary and immediately required: (1) as a result of an unforeseen illness, injury, or condition; and (2) it was not reasonable given the circumstances to obtain the services through the Contractor's MMC Participating Provider.

2. AGREEMENT TERM, AMENDMENTS, EXTENSIONS, AND GENERAL CONTRACT ADMINISTRATION PROVISIONS

2.1 Term

- a) This Agreement is effective October 1, 2005 and shall remain in effect until September 30, 2010; or until the execution of an extension, renewal or successor Agreement approved by the SDOH, the Office of the New York State Attorney General (OAG), the New York State Office of the State Comptroller (OSC), the US Department of Health and Human Services (DHHS), and any other entities as required by law or regulation, whichever occurs first.
- b) This Agreement shall not be automatically renewed at its expiration. The parties to the Agreement shall have the option to renew this Agreement for an additional two (2) year term, subject to the approval of SDOH, OAG, OSC, DHHS, and any other entities as required by law or regulation.
- c) The maximum duration of this Agreement is five (5) years. An extension to this Agreement beyond the five year maximum may be granted for reasons including, but not limited to, the following;
 - i) Negotiations for a successor agreement will not be completed by the expiration date of the current Agreement; or
 - ii) The Contractor has submitted a termination notice and transition of Enrollees will not be completed by the expiration date of the current Agreement.
- d) Notwithstanding the foregoing, this Agreement will automatically terminate, in its entirety, or in relevant part, should federal financial participation for the MMC Program expire.

2.2 Amendments

- a) This Agreement may be modified only in writing. Unless otherwise specified in this Agreement, modifications must be signed by the parties and approved by the OAG, OSC and any other entities as required by law or regulation, and approved by the DHHS prior to the end of the quarter in which the amendment is to be effective.
- b) SDOH will make reasonable efforts to provide the Contractor with notice and opportunity to comment with regard to proposed amendment of this Agreement except when provision of advance notice would result in the SDOH being out of compliance with state or federal law.

- c) The Contractor will return the signed amendment or notify SDOH that it does not agree within ten (10) business days of the date of the Contractor's receipt of the proposed amendment.

2.3 Approvals

This Agreement and any amendments to this Agreement shall not be effective or binding unless and until approved, in writing, by the OAG, OSC, DHHS, and any other entity as required in law and regulation. SDOH will provide a notice of such approval to the Contractor.

2.4 Entire Agreement

- a) This Agreement, including those attachments, schedules, appendices, exhibits, and addenda that have been specifically incorporated herein and written plans submitted by the Contractor and maintained on file by SDOH and/or LDSS pursuant to this Agreement, contains all the terms and conditions agreed upon by the parties, and no other Agreement, oral or otherwise, regarding the subject matter of this Agreement shall be deemed to exist or to bind any of the parties or vary any of the terms contained in this Agreement. In the event of any inconsistency or conflict among the document elements of this Agreement, such inconsistency or conflict shall be resolved by giving precedence to the document elements in the following order:

- i) Appendix A, Standard Clauses for all New York State Contracts;
- ii) The body of this Agreement;
- iii) The appendices attached to the body of this Agreement, other than Appendix A
- iv) The Contractor's approved:
 - A) Marketing Plan on file with SDOH and LDSS
 - B) Complaint and Appeals Procedures on file with SDOH
 - C) Quality Assurance Plan on file with SDOH
 - D) Americans with Disabilities Act Compliance Plan on file with SDOH
 - E) Fraud and Abuse Prevention Plan on file with SDOH, if applicable.

2.5 Renegotiation

The parties to this Agreement shall have the right to renegotiate the terms and conditions of this Agreement in the event applicable local, state or federal law, regulations or policy are altered from those existing at the time of this Agreement in order to be in continuous compliance therewith. This Section shall not limit the right of the parties to this Agreement from renegotiating or amending other terms and conditions of this Agreement. Such changes shall only be made with the consent of the parties and the prior approval of the OAG, OSC, and DHHS.

2.6 Assignment and Subcontracting

- a) The Contractor shall not, without SDOH's prior written consent, assign, transfer, convey, sublet, or otherwise dispose of this Agreement; of the Contractor's right, title, interest, obligations, or duties under the Agreement; of the Contractor's power to execute the Agreement; or, by power of attorney or otherwise, of any of the Contractor's rights to receive monies due or to become due under this Agreement. SDOH agrees that it will not unreasonably withhold consent of the Contractor's assignment of this Agreement, in whole or in part, to a parent, affiliate or subsidiary corporation, or to a transferee of all or substantially all of its assets. Any assignment, transfer, conveyance, sublease, or other disposition without SDOH's consent shall be void.
- b) Contractor may not enter into any subcontracts related to the delivery of services to Enrollees, except by a written agreement, as set forth in Section 22 of this Agreement. The Contractor may subcontract for provider services and management services. If such written agreement would be between Contractor and a provider of health care or ancillary health services or between Contractor and an independent practice association, the agreement must be in a form previously approved by SDOH. If such subcontract is for management services under 10 NYCRR §98-1.11, it must be approved by SDOH prior to its becoming effective. Any subcontract entered into by Contractor shall fulfill the requirements of 42 CFR Parts 434 and 438 to the extent such regulations are or become effective that are appropriate to the service or activity delegated under such subcontract. Contractor agrees that it shall remain legally responsible to SDOH for carrying out all activities under this Agreement and that no subcontract shall limit or terminate Contractor's responsibility.

2.7 Termination

- a) SDOH Initiated Termination
 - i) SDOH shall have the right to terminate this Agreement in its entirety ; or for the Contractor's MMC product in specified counties of Contractor's service area, if the Contractor:
 - A) takes any action that threatens the health, safety, or welfare of its Enrollees;
 - B) has engaged in an unacceptable practice under 18 NYCRR Part 515, that affects the fiscal integrity of the MMC Program or engaged in an unacceptable practice pursuant to Section 27.2 of this Agreement;
 - C) has its Certificate of Authority suspended, limited or revoked by SDOH;

- D) materially breaches the Agreement or fails to comply with any term or condition of this Agreement that is not cured within twenty (20) days, or to such longer period as the parties may agree, of SDOH's written request for compliance;
 - E) becomes insolvent;
 - F) brings a proceeding voluntarily, or has a proceeding brought against it involuntarily, under Title 11 of the U.S. Code (the Bankruptcy Code); or
 - G) knowingly has a director, officer, partner or person owning or controlling more than five percent (5%) of the Contractor's equity, or has an employment, consulting, or other agreement with such a person for the provision of items and/or services that are significant to the Contractor's contractual obligation who has been debarred or suspended by the federal, state or local government, or otherwise excluded from participating in procurement activities.
- ii) The SDOH will notify the Contractor of its intent to terminate this Agreement for the Contractor's failure to meet the requirements of this Agreement and provide Contractor with a hearing prior to the termination.
- iii) If SDOH suspends, limits or revokes Contractor's Certificate of Authority under PHL § 4403-e, and:
- A) if such action results in the Contractor ceasing to have authority to serve the entire contracted service area, as defined by Appendix M of this Agreement, this Agreement shall terminate on the date the Contractor ceases to have such authority; or
 - B) if such action results in the Contractor retaining authority to serve some portion of the contracted service area, the Contractor shall continue to offer its MMC products under this Agreement in any designated geographic areas not affected by such action, and shall terminate its MMC product in the geographic areas where the Contractor ceases to have authority to serve.
- iv) No hearing will be required if this Agreement terminates due to SDOH suspension, limitation or revocation of the Contractor's Certificate of Authority.
- v) Prior to the effective date of the termination, the SDOH shall notify Enrollees of the termination, or delegate responsibility for such notification to the Contractor, and such notice shall include a statement that Enrollees may disenroll immediately without cause.

b) Contractor and SDOH Initiated Termination

The Contractor and the SDOH each shall have the right to terminate this Agreement in its entirety, or for the Contractor's MMC product in specified counties of the Contractor's service area, in the event that SDOH and the Contractor fail to reach agreement on the monthly Capitation Rates. In such event, the party exercising its right shall give the other party written notice specifying the reason for and the effective date of termination, which shall not be less time than will permit an orderly transition of Enrollees, but no more than ninety (90) days.

c) Contractor Initiated Termination

i) The Contractor shall have the right to terminate this Agreement in its entirety, or for the Contractor's MMC product in specified counties of the Contractor's service area, in the event that SDOH materially breaches the Agreement or fails to comply with any term or condition of this Agreement that is not cured within twenty (20) days, or within such longer period as the parties may agree, of the Contractor's written request for compliance. The Contractor shall give SDOH written notice specifying the reason for and the effective date of the termination, which shall not be less time than will permit an orderly transition of Enrollees, but no more than ninety (90) days.

ii) The Contractor shall have the right to terminate this Agreement, in its entirety, or for the Contractor's MMC product in specified counties of the Contractor's service area in the event that its obligations are materially changed by modifications to this Agreement and its Appendices by SDOH. In such event, Contractor shall give SDOH written notice within thirty (30) days of notification of changes to the Agreement or Appendices specifying the reason and the effective date of termination, which shall not be less time than will permit an orderly transition of Enrollees, but no more than ninety (90) days.

iii) The Contractor shall have the right to terminate this Agreement in its entirety, or for the Contractor's MMC product in specified counties of the Contractor's service area, if the Contractor is unable to provide services pursuant to this Agreement because of a natural disaster and/or an act of God to such a degree that Enrollees cannot obtain reasonable access to services within the Contractor's organization, and, after diligent efforts, the Contractor cannot make other provisions for the delivery of such services. The Contractor shall give SDOH written notice of any such termination that specifies:

- A) the reason for the termination, with appropriate documentation of the circumstances arising from a natural disaster and/or an act of God that preclude reasonable access to services;
- B) the Contractor's attempts to make other provision for the delivery of services; and
- C) the effective date of the termination, which shall not be less time than will permit an orderly transition of Enrollees, but no more than ninety (90) days.

d) Termination Due To Loss of Funding

In the event that State and/or Federal funding used to pay for services under this Agreement is reduced so that payments cannot be made in full, this Agreement shall automatically terminate, unless both parties agree to a modification of the obligations under this Agreement. The effective date of such termination shall be ninety (90) days after the Contractor receives written notice of the reduction in payment, unless available funds are insufficient to continue payments in full during the ninety (90) day period, in which case SDOH shall give the Contractor written notice of the earlier date upon which the Agreement shall terminate. A reduction in State and/or Federal funding cannot reduce monies due and owing to the Contractor on or before the effective date of the termination of the Agreement.

e) Termination by Mutual Consent

This Agreement may be terminated, in its entirety, for the Contractor's MMC product, or for its MMC product in specified counties of the Contractor's service area, by SDOH and the Contractor at any time by written mutual consent of both parties. The Contractor must provide notice to enrollees as follows:

- i) At least 90 days before the termination effective date.
- ii) This notice must include a written description of alternatives available for obtaining Medicaid services within the service area, including alternative MCOs, and Medicaid fee-for-service and must be approved by SDOH.

2.8 Close-Out Procedures

- a) Upon termination or expiration of this Agreement in its entirety, or for the Contractor's MMC product in specified counties of the Contractor's service area, and in the event that it is not scheduled for renewal, the Contractor shall comply with close-out procedures that the Contractor develops in conjunction with LDSS and that the LDSS, and the SDOH have approved. The close-out procedures shall include, but not limited to, the following:

- i) The Contractor shall promptly account for and repay funds advanced by SDOH for coverage of Enrollees for periods subsequent to the effective date of termination;
 - ii) The Contractor shall give SDOH, and other authorized federal, state or local agencies access to all books, records, and other documents and upon request, portions of such books, records, or documents that may be required by such agencies pursuant to the terms of this Agreement;
 - iii) If this Agreement is terminated in its entirety, the Contractor shall submit to SDOH, and authorized federal, state or local agencies, within ninety (90) days of termination, a final financial statement, made by a certified public accountant or a licensed public accountant, unless the Contractor requests of SDOH and receives written approval from SDOH and all other governmental agencies from which approval is required, for an extension of time for this submission;
 - iv) The Contractor shall establish an appropriate plan acceptable to and prior approved by the SDOH for the orderly transition of Enrollees. This plan shall include the provision of pertinent information to identified Enrollees who are: pregnant; currently receiving treatment for a chronic or life threatening condition; or whose care is being monitored by a case manager to assist them in making decisions which will promote continuity of care; and
 - v) SDOH shall promptly pay all claims and amounts owed to the Contractor.
- b) Any termination of this Agreement by either the Contractor or SDOH shall be done by amendment to this Agreement, unless the Agreement is terminated by the SDOH due to conditions in Section 2.7 (a)(i), 2.7(e) or Appendix A of this Agreement.

2.9 Rights and Remedies

The rights and remedies of SDOH and the Contractor provided expressly in this Section shall not be exclusive and are in addition to all other rights and remedies provided by law or under this Agreement.

2.10 Notices

All notices to be given under this Agreement shall be in writing and shall be deemed to have been given when mailed to, or, if personally delivered, when received by the Contractor and the SDOH at the following addresses:

For SDOH:

PCPCP SECTION 2
(AGREEMENT TERM, AMENDMENTS, EXTENSIONS,
AND GENERAL CONTRACT ADMINISTRATION PROVISIONS)

October 1, 2008

New York State Department of Health
Empire State Plaza
Corning Tower, Room 2074
Albany, NY 12237-0065

For the Contractor:

[Insert Name and Address]

2.11 Severability

If this Agreement contains any unlawful provision that is not an essential part of this Agreement and that was not a controlling or material inducement to enter into this Agreement, the provision shall have no effect and, upon notice by either party, shall be deemed stricken from this Agreement without affecting the binding force of the remainder of this Agreement.

3. COMPENSATION

3.1 Capitation Payments

- a) Compensation to the Contractor shall consist of a monthly capitation payment for each Enrollee.
- b) The monthly Capitation Rates are attached hereto as Appendix L, which is hereby made a part of this Agreement as if set forth fully herein.
- c) The monthly capitation payments shall constitute full and complete payments to the Contractor for all services that the Contractor provides.
- d) Capitation Rates shall be effective for the entire contract period, except as described in Section 3.2.

3.2 Modification of Rates During Contract Period

Modification to Capitation Rates during the term of this Agreement shall be subject to approval by the New York State Division of the Budget (DOB) and shall be incorporated into this Agreement by written amendment mutually agreed upon by the SDOH and the Contractor, as specified in Section 2.2 of this Agreement.

3.3 Rate Setting Methodology

- a) Capitation rates shall be determined prospectively and shall not be retroactively adjusted to reflect actual Medicaid fee-for-service data or Contractor experience for the time period covered by the rates. Capitated rates in effect as of April 1, 2006 and thereafter, shall be certified to be actuarially sound in accordance with 42 CFR Section 438.6(c).
- b) Notwithstanding the provisions set forth in Section 3.3(a) above, the SDOH reserves the right to terminate this Agreement, in its entirety, or for the Contractor's MMC product in specified counties of the Contractor's service area, pursuant to Section 2.7 of this Agreement, upon determination by SDOH that the aggregate monthly Capitation Rates are not cost effective.

3.4 Payment of Capitation

- a) The monthly capitation payments for each Enrollee are due to the Contractor from the Effective Date of Enrollment until the Effective Date of Disenrollment of the Enrollee or termination of this Agreement, whichever occurs first. The Contractor shall receive a full month's capitation payment for the month in which Disenrollment occurs. The Roster generated by SDOH with any modification communicated electronically or in writing by

the LDSS or the Enrollment Broker prior to the end of the month in which the Roster is generated, shall be the Enrollment list for purposes of eMedNY premium billing and payment, as discussed in Section 6.9 and Appendix H of this Agreement.

- b) Upon receipt by the Fiscal Agent of a properly completed claim for monthly capitation payments submitted by the Contractor pursuant to this Agreement, the Fiscal Agent will promptly process such claim for payment and use its best efforts to complete such processing within thirty (30) business days from date of receipt of the claim by the Fiscal Agent. Processing of Contractor claims shall be in compliance with the requirements of 42 CFR 447.45. The Fiscal Agent will also use its best efforts to resolve any billing problem relating to the Contractor's claims as soon as possible. In accordance with Section 41 of the New York State Finance Law, the State and LDSS shall have no liability under this Agreement to the Contractor or anyone else beyond funds appropriated and available for this Agreement.

3.5 Denial of Capitation Payments

If the US Centers for Medicare and Medicaid Services (CMS) denies payment for new Enrollees, as authorized by Social Security Act (SSA) § 1903(m)(5) and 42 CFR § 438.730 (e), or such other applicable federal statutes or regulations, based upon a determination that Contractor failed substantially to provide medically necessary items and services, imposed premium amounts or charges in excess of permitted payments, engaged in discriminatory practices as described in SSA § 1932(e)(1)(A)(iii), misrepresented or falsified information submitted to CMS, SDOH, LDSS, the Enrollment Broker, or an Enrollee, Prospective Enrollee, or health care provider, or failed to comply with federal requirements (i.e. 42 CFR § 422.208 and 42 CFR § 438.6 (h) relating to the Physician Incentive Plans, SDOH and LDSS will deny capitation payments to the Contractor for the same Enrollees for the period of time for which CMS denies such payment.

3.6 SDOH Right to Recover Premiums

The parties acknowledge and accept that the SDOH has a right to recover premiums paid to the Contractor for MMC Enrollees listed on the monthly Roster who are later determined for the entire applicable payment month, to have been in an institution; to have been incarcerated; to have moved out of the Contractor's service area subject to any time remaining in the MMC Enrollee's Guaranteed Eligibility period; or to have died. In any event, the State may only recover premiums paid for MMC Enrollees listed on a Roster if it is determined by the SDOH that the Contractor was not at risk for provision of Benefit Package services for any portion of the payment period.

3.7 Third Party Health Insurance Determination

The Contractor will make diligent efforts to determine whether Enrollees have third party health insurance (TPHI). The LDSS is also responsible for making diligent efforts to determine if Enrollees have TPHI and to maintain third party information on the WMS/eMedNY Third Party Resource System. The Contractor shall make good faith efforts to coordinate benefits with and collect TPHI recoveries from other insurers, and must inform the LDSS of any known changes in status of TPHI insurance eligibility within thirty (30) days of learning of a change in TPHI. The Contractor may use the Roster as one method to determine TPHI information. The Contractor will be permitted to retain 100 percent of any reimbursement for Benefit Package services obtained from TPHI. Capitation Rates are net of TPHI recoveries. In no instances may an Enrollee be held responsible for disputes over these recoveries.

3.8 Tracking Visits Provided by Indian Health Clinics

The SDOH shall monitor all visits provided by tribal or Indian health clinics or urban Indian health facilities or centers to enrolled Native Americans, so that the SDOH can reconcile payment made for those services, should it be deemed necessary to do so.

3.9 Rate Change for SSI Determinations

Capitation Rates for Enrollees who become SSI or SSI related retroactively shall be changed prospectively as of the effective date of the Roster on which the Enrollee's status change appears.

4. SERVICE AREA

The Contractor's service area for Medicaid Managed Care shall consist of the county(ies) described in Appendix M of this Agreement, which is hereby made a part of this Agreement as if set forth fully herein. Such service area is the specific geographic area within which Eligible Persons must reside to enroll in the Contractor's Medicaid Managed Care product.

6. ENROLLMENT

6.1 Medicaid Managed Care Populations

All Eligible Persons who meet the criteria in Section 364-j of the SSL and/or New York State's Operational Protocol for the Partnership Plan and who reside in the Contractor's service area, as specified in Appendix M of this Agreement, shall be eligible for Enrollment in the Contractor's Medicaid Managed Care product.

6.2 Enrollment Requirements

The Contractor agrees to conduct Enrollment of Eligible Persons in accordance with the policies and procedures set forth in Appendix H of this Agreement, which is hereby made a part of this Agreement as if set forth fully herein.

6.3 Equality of Access to Enrollment

The Contractor shall accept Enrollments of Eligible Persons in the order in which the Enrollment applications are received without restriction and without regard to the Eligible Person's age, sex, race, creed, physical or mental handicap/developmental disability, national origin, sexual orientation, type of illness or condition, need for health services or to the Capitation Rate that the Contractor will receive for such Eligible Person.

6.4 Enrollment Decisions

An Eligible Person's decision to enroll in the Contractor's MMC product shall be voluntary except as otherwise provided in Section 6.5 of this Agreement.

6.5 Auto Assignment

An MMC Eligible Person whose Enrollment is mandatory under the Medicaid Managed Care Program and who fails to select and enroll in a MCO within sixty (60) days of receipt of notice of mandatory Enrollment may be assigned by the SDOH or the LDSS to the Contractor's MMC product pursuant to SSL §364-j and in accordance with Appendix H of this Agreement.

6.6 Prohibition Against Conditions on Enrollment

Unless otherwise required by law or this Agreement, neither the Contractor nor LDSS shall condition any Eligible Person's Enrollment into the Contractor's MMC product upon the performance of any act. Neither the Contractor nor the LDSS shall suggest in any way that failure to enroll in the Contractor's MMC product may result in a loss of benefits.

6.7 Newborn Enrollment

- a) In addition to the responsibilities set forth in Appendix H of this Agreement, the Contractor is responsible for coordinating with the LDSS the efforts to ensure that all newborns are enrolled in an MCO.
- b) The SDOH and LDSS shall be responsible for ensuring that timely Medicaid eligibility determination and Enrollment of the newborns is effected consistent with state laws, regulations, and policy and with the newborn Enrollment requirements set forth in Appendix H of this Agreement.

6.8 Effective Date of Enrollment

- a) For MMC Enrollees, the Contractor and the LDSS are responsible for notifying the MMC Enrollee of the expected Effective Date of Enrollment.
- b) Notification may be accomplished through a "Welcome Letter". To the extent practicable, such notification must precede the Effective Date of Enrollment.
- c) In the event that the actual Effective Date of Enrollment changes, the Contractor, and for MMC Enrollees the LDSS, must notify the Enrollee of the change.
- d) As of the Effective Date of Enrollment, and until the Effective Date of Disenrollment, the Contractor shall be responsible for the provision and cost of all care and services covered by the Benefit Package and provided to Enrollees whose names appear on the Prepaid Capitation Plan Roster, except as hereinafter provided.
 - i) Contractor shall not be liable for the cost of any services rendered to an Enrollee prior to his or her Effective Date of Enrollment.
 - ii) An Enrollee's Effective Date of Enrollment shall be the first day of the month on which the Enrollee's name appears on the Roster for that month.

6.9 Roster

- a) The first and second monthly Rosters generated by SDOH in combination shall serve as the official Contractor Enrollment list for purposes of eMedNY premium billing and payment, subject to ongoing eligibility of the Enrollees as of the first (1st) day of the Enrollment month. Modifications to the Roster may be made electronically or in writing by the LDSS or the Enrollment Broker. If the LDSS or Enrollment Broker notifies the Contractor in writing or electronically of changes in the Roster and provides supporting information as necessary prior to the effective date of the Roster, the Contractor will accept that notification in the same manner as the Roster.

- b) The LDSS is responsible for making data on eligibility determinations available to the Contractor and SDOH to resolve discrepancies that may arise between the Roster and the Contractor's Enrollment files in accordance with the provisions in Appendix H of this Agreement.
- c) All Contractors must have the ability to receive Rosters electronically.

6.10 Automatic Re-Enrollment

- a) An Enrollee who loses Medicaid eligibility and who regains Medicaid eligibility within a three (3) month period, will be automatically prospectively re-enrolled in the Contractor's MMC product unless:
 - i) the Contractor does not offer such product in the Enrollee's county of fiscal responsibility; or
 - ii) the Enrollee indicates in writing that he/she wishes to enroll in another MCO or, if permitted, receive coverage under Medicaid fee-for-service.

7. LOCK-IN PROVISIONS – MMC Mandatory Counties only

7.1 Lock-In Provisions in MMC Mandatory Counties

All MMC Enrollees residing in local social service districts where Enrollment in the MMC Program is mandatory are subject to a twelve (12) month Lock-In Period following the Effective Date of Enrollment, with an initial ninety (90) day grace period in which to disenroll without cause and enroll in another MCO's MMC product, if available.

7.2 Disenrollment During a Lock-In Period

An Enrollee subject to Lock-In may disenroll from the Contractor's MMC product during the Lock-In Period for Good Cause as defined in Appendix H of this Agreement.

7.3 Notification Regarding Lock-In and End of Lock-In Period

The LDSS, either directly or through the Enrollment Broker, is responsible for notifying Enrollees of their right to change MCOs in the Enrollment confirmation notice sent to individuals after they have selected a MCO or been auto-assigned (the latter being applicable to areas where the mandatory MMC Program is in effect). The SDOH or its designee will be responsible for providing a notice of end of Lock-In and the right to change MCOs at least sixty (60) days prior to the first Enrollment anniversary date as outlined in Appendix H of this Agreement.

7.4 Lock-In and Change in Eligibility Status

Enrollees who lose Medicaid eligibility and regain eligibility within a three (3) month period, will not be subject to a new Lock-in Period unless they opt to change MCOs pursuant to Section 6.10 of this Agreement.

8. DISENROLLMENT

8.1 Disenrollment Requirements

- a) The Contractor agrees to conduct Disenrollment of an Enrollee in accordance with the policies and procedures for Disenrollment set forth in Appendix H of this Agreement.
- b) LDSSs are responsible for making the final determination concerning Disenrollment requests.

8.2 Disenrollment Prohibitions

Enrollees shall not be disenrolled from the Contractor's MMC product based on any of the factors listed in Section 34 (Non-Discrimination) of this Agreement.

8.3 Disenrollment Requests

a) Routine Disenrollment Requests

The LDSS is responsible for processing Routine Disenrollment requests to take effect as specified in Appendix H of this Agreement. In no event shall the Effective Date of Disenrollment be later than the first (1st) day of the second (2nd) month after the month in which an Enrollee requests a Disenrollment.

b) Non-Routine Disenrollment Requests

- i) Enrollees with an urgent medical need to disenroll from the Contractor's MMC product may request an expedited Disenrollment by the LDSS. A MMC Enrollee who requests a return to Medicaid fee-for-service based on his/her HIV, ESRD or SPMI/SED status is categorically eligible for an expedited Disenrollment on the basis of urgent medical need.

- ii) Enrollees with a complaint of Nonconsensual Enrollment may request an expedited Disenrollment by the LDSS.

- iii) In districts where homeless individuals are Exempt, as described in Appendices H and M of this Agreement, homeless MMC Enrollees residing in the shelter system may request an expedited Disenrollment by the LDSS.

- iv) Retroactive Disenrollments may be warranted in rare instances and may be requested of the LDSS as described in Appendix H of this Agreement.

- v) Substantiation of non-routine Disenrollment requests by the LDSS will result in Disenrollment in accordance with the timeframes as set forth in Appendix H of this Agreement.

8.4 Contractor Notification of Disenrollments

- a) Notwithstanding anything herein to the contrary, the Roster, along with any changes sent by the LDSS to the Contractor in writing or electronically, shall serve as official notice to the Contractor of Disenrollment of an Enrollee. In cases of expedited and retroactive Disenrollment, the Contractor shall be notified of the Enrollee's Effective Date of Disenrollment by the LDSS.
- b) In the event that the LDSS intends to retroactively disenroll an Enrollee on a date prior to the first day of the month of the Disenrollment request, the LDSS is responsible for consulting with the Contractor prior to Disenrollment. Such consultation shall not be required for the retroactive Disenrollment of SSI infants where it is clear that the Contractor was not a risk for the provision of Benefit Package services for any portion of the retroactive period.
- c) In all cases of retroactive Disenrollment, including Disenrollments effective the first day of the current month, the LDSS is responsible for noticing the Contractor at the time of Disenrollment of the Contractor's responsibility to submit to the SDOH's Fiscal Agent voided premium claims for any months of retroactive Disenrollment where the Contractor was not at risk for the provision of Benefit Package services during the month.

8.5 Contractor's Liability

The Contractor is not responsible for providing the Benefit Package under this Agreement on or after the Effective Date of Disenrollment.

8.6 Enrollee Initiated Disenrollment

- a) An Enrollee subject to Lock-In as described in Section 7 of this Agreement may initiate Disenrollment from the Contractor's MMC product for Good Cause as defined in Appendix H of this Agreement at any time during the Lock-In period by filing an oral or written request with the LDSS.
- b) Once the Lock-In Period has expired, the Enrollee may disenroll from the Contractor's MMC product at any time, for any reason.

8.7 Contractor Initiated Disenrollment

- a) The Contractor may initiate an involuntary Disenrollment if an Enrollee engages in conduct or behavior that seriously impairs the Contractor's ability to furnish services to either the Enrollee or other Enrollees, provided that the

Contractor has made and documented reasonable efforts to resolve the problems presented by the Enrollee.

- b) Consistent with 42 CFR § 438.56 (b), the Contractor may not request Disenrollment because of an adverse change in the Enrollee's health status, or because of the Enrollee's utilization of medical services, diminished mental capacity, or uncooperative or disruptive behavior resulting from the Enrollee's special needs (except where continued Enrollment in the Contractor's MMC product seriously impairs the Contractor's ability to furnish services to either the Enrollee or other Enrollees).
- c) Contractor initiated Disenrollments must be carried out in accordance with the requirements and timeframes described in Appendix H of this Agreement.
- d) Once an Enrollee has been disenrolled at the Contractor's request, he/she will not be re-enrolled with the Contractor's MMC product unless the Contractor first agrees to such re-enrollment.

8.8 LDSS Initiated Disenrollment

- a) LDSS is responsible for promptly initiating Disenrollment when:
 - i) an Enrollee is no longer eligible for MMC; or
 - ii) the Guaranteed Eligibility period ends and an Enrollee is no longer eligible for MMC benefits; or
 - iii) an Enrollee is no longer the financial responsibility of the LDSS; or
 - iv) an Enrollee becomes ineligible for Enrollment pursuant to Section 6.1 of this Agreement; or
 - v) an Enrollee has moved outside the service area covered by this Agreement, unless Contractor can demonstrate that:
 - A) the Enrollee has made an informed choice to continue Enrollment with Contractor and that Enrollee will have sufficient access to Contractor's provider network; and
 - B) fiscal responsibility for Medicaid coverage remains in the county of origin.

9. GUARANTEED ELIGIBILITY

9.1 General Requirements

SDOH and the Contractor will follow the policies in this section subject to state and federal law and regulation.

9.2 Right to Guaranteed Eligibility

- a) New Enrollees, other than those identified in Section 9.2(b) below, who would otherwise lose Medicaid eligibility during the first six (6) months of Enrollment will retain the right to remain enrolled in the Contractor's MMC product, as applicable, under this Agreement for a period of six (6) months from their Effective Date of Enrollment.
- b) Guaranteed Eligibility is not available to the following Enrollees:
 - i) Enrollees who lose eligibility due to death, moving out of State, or incarceration;
 - ii) Female MMC Enrollees with a net available income in excess of medically necessary income but at or below 200% of the federal poverty level who are only eligible for Medicaid while they are pregnant and then through the end of the month in which the sixtieth (60th) day following the end of the pregnancy occurs.
- c) If, during the first six (6) months of Enrollment in the Contractor's MMC product, a MMC Enrollee becomes eligible for Medicaid only as a spend-down, the MMC Enrollee will be eligible to remain enrolled in the Contractor's MMC product for the remainder of the six (6) month Guaranteed Eligibility period. During the six (6) month Guaranteed Eligibility period, a MMC Enrollee eligible for spend-down and in need of wrap-around services has the option of spending down to gain full Medicaid eligibility for the wrap-around services. In this situation, the LDSS is responsible for monitoring the MMC Enrollee's need for wrap-around services and manually setting coverage codes as appropriate.
- d) Enrollees who lose and regain Medicaid eligibility within a three (3) month period will not be entitled to a new period of six (6) months Guaranteed Eligibility.

9.3 Covered Services During Guaranteed Eligibility

The services covered during the Guaranteed Eligibility period shall be those Capitated and Referred Services contained in the Benefit Package, as specified in Appendix K of this Agreement. MMC enrollees shall also be eligible to receive

Free Access to family planning and reproductive services as set forth in Section 10.10 of this Agreement and pharmacy services on a Medicaid fee-for-service basis during the Guaranteed Eligibility period.

9.4 Disenrollment During Guaranteed Eligibility

- a) An Enrollee-initiated Disenrollment from the Contractor's MMC product terminates the Guaranteed Eligibility period.
- b) During the Guarantee Eligibility period, an Enrollee may not change MCOs.

10. BENEFIT PACKAGE REQUIREMENTS

10.1 Contractor Responsibilities

Contractor must provide all Capitated Services and must arrange for the provision of all Referred Services set forth in the Benefit Package for MMC Enrollees subject to any exclusions or limitations imposed by Federal or State Law during the period of this Agreement. The Contractor and/or Participating Providers may bill Medicaid fee-for-service for services not included in the list of Capitated Services in App K – Schedule 1. SDOH shall assure that Medicaid services covered under the Medicaid fee-for-service program but not covered in the Benefit Package are available to and accessible by MMC Enrollees.

10.2 Compliance with State Medicaid Plan and Applicable Laws

All services provided under the Benefit Package to MMC Enrollees must comply with all the standards of the State Medicaid Plan established pursuant to Section 363-a of the SSL and shall satisfy all other applicable requirements of the SSL and PHL.

10.3 Definitions

The Contractor agrees to the definitions of “Benefit Package” and “Non-Covered Services” contained in Appendix K, which is incorporated by reference as if set forth fully herein.

10.4 Child Teen Health Program/Adolescent Preventive Services

a) The Contractor and its Participating Providers are required to provide Capitated services or arrange for Referred services identified as Child Teen Health Program C/THP services outlined in Appendix K of this Agreement and comply with applicable EPSDT requirements specified in 42 CFR Part 441 sub-part B, 18 NYCRR Part 508 and the New York State Department of Health C/THP manual. The Contractor and its Participating Providers are required to provide C/THP services to Enrollees under 21 years of age when:

- i) The care or services are essential to prevent, diagnose, prevent the worsening of, alleviate or ameliorate the effects of an illness, injury, disability, disorder or condition.
- ii) The care or services are essential to the overall physical, cognitive and mental growth and developmental needs of the Enrollee.
- iii) The care or service will assist the Enrollee to achieve or maintain maximum functional capacity in performing daily activities, taking into

account both the functional capacity of the Enrollee and those functional capacities that are appropriate for individuals of the same age as the Enrollee.

- b) The Contractor shall base its determination on medical and other relevant information provided by the Enrollee's PCP, other health care providers, school, local social services, and/or local public health officials that have evaluated the Enrollee.
- c) The Contractor and its Participating Providers must comply with the C/THP program standards and must do at least the following with respect to all Enrollees under age 21:
 - i) Educate Enrollees who are pregnant women or who are parents of Enrollees under age 21 about the program and its importance to a child's or adolescent's health.
 - ii) Educate Participating Providers about the program and their responsibilities under it.
 - iii) Conduct outreach, including by mail, telephone, and through home visits (where appropriate), to ensure children are kept current with respect to their periodicity schedules.
 - iv) Schedule appointments for children and adolescents pursuant to the periodicity schedule, assist with referrals, and conduct follow-up with children and adolescents who miss or cancel appointments.
 - v) Ensure that all appropriate diagnostic and treatment services, including specialist referrals, are furnished pursuant to findings from a C/THP screen.
 - vi) Achieve and maintain an acceptable compliance rate for screening schedules during the contract period.
- d) In addition to C/THP requirements, the Contractor and its Participating Providers are required to comply with the American Medical Association's Guidelines for Adolescent Preventive Services which require annual well adolescent preventive visits which focus on health guidance, immunizations, and screening for physical, emotional, and behavioral conditions.

10.5 Foster Care Children

The Contractor shall comply with the health requirements for foster children specified in 18 NYCRR Section 441.22 and Part 507 and any subsequent amendments thereto. These requirements include thirty (30) day obligations for a

comprehensive physical and behavioral health assessment and assessment of the risk that the child may be HIV+ and should be tested.

10.6 Child Protective Services

The Contractor shall comply with the requirements specified for child protective examinations, provision of medical information to the child protective services investigation and court ordered services as specified in 18 NYCRR Part 432, and any subsequent amendments thereto. Medically necessary services must be covered in accordance with the policies of this contract, whether provided by the Contractor's Participating Providers or not.

10.7 Welfare Reform

- a) The LDSS is responsible for determining whether each public assistance or combined public assistance/Medicaid applicant is incapacitated or can participate in work activities. As part of this work determination process, the LDSS may require medical documentation and/or an initial mental and/or physical examination to determine whether an individual has a mental or physical impairment that limits his/her ability to engage in work (12 NYCRR §1300.2(d)(13)(i)). The LDSS may not require the Contractor to provide the initial district mandated or requested medical examination necessary for an Enrollee to meet welfare reform work participation requirements.
- b) The Contractor shall require that the Participating Providers, upon MMC Enrollee consent, provide medical documentation and health assessments as follows:
 - i) Within ten (10) days of a request of an MMC Enrollee or a former MMC Enrollee, currently receiving public assistance or who is applying for public assistance, the MMC Enrollee's or former MMC Enrollee's PCP, shall provide medical documentation concerning the MMC Enrollee or former MMC Enrollee's health status to the LDSS or to the LDSS' designee. Medical documentation includes but is not limited to drug prescriptions and reports from the MMC Enrollee's PCP. The Contractor shall include the foregoing as a responsibility of the PCP in its provider contracts or in their provider manuals.
 - ii) Within ten (10) days of a request of an MMC Enrollee, who has already undergone, or is scheduled to undergo, an initial LDSS required physical examination, the MMC Enrollee's PCP shall provide a health assessment, medical examination or other services as appropriate to identify or quantify an MMC Enrollee's level of incapacitation. Such assessment must contain a specific diagnosis resulting from any medically appropriate tests and specify any work limitations. The LDSS, may, upon written

notice to the Contractor, specify the format and instructions for such an assessment.

- c) The Contractor shall designate a Welfare Reform liaison who shall work with the LDSS or its designee to (1) ensure that MMC Enrollees receive timely access to assessments and services specified in this Agreement and (2) ensure completion of reports containing medical documentation required by the LDSS.
- d) The Contractor is not responsible for the provision and payment of Chemical Dependence Services for MMC Enrollees mandated by the LDSS under Welfare Reform.

10.8 Adult Protective Services

The Contractor shall cooperate with LDSS in the implementation of 18 NYCRR Part 457 and any subsequent amendments thereto with regard to medically necessary health services and all Court Ordered Services for adults. Such Capitated Services are to be provided by the Contractor. Such Referred Services are to be authorized by the Contractor. Court-ordered services that are included in the Benefit Package must be covered in accordance with the terms of this Agreement.

10.9 Court-Ordered Services

- a) The Contractor shall provide or arrange for the provision of any Benefit Package services to Enrollees as ordered by a court of competent jurisdiction.
- b) Court Ordered Services are those services ordered by a court performed by, or under the supervision of a physician, dentist, or other provider qualified under State Law to furnish medical, dental, behavioral health (including mental health and/or Chemical Dependence), or other Benefit Package covered services (Capitated and Referred services). The Contractor is responsible for providing Capitated Services covered by the Benefit Package and authorizing Referred Services.

10.10 Family Planning and Reproductive Health Services

- a) Nothing in this Agreement shall restrict the right of Enrollees to receive Family Planning and Reproductive Health services, as defined in Appendix C of this Agreement, which is hereby made a part of this Agreement as if set forth fully herein.
- b) MMC Enrollees may receive such services from any qualified Medicaid provider, regardless of whether the provider is a Participating or a Non-Participating Provider, without referral from the MMC Enrollee's PCP and

without approval from the Contractor. Should any PCP render Family Planning and Reproductive Health Services, they do so as a fee-for-service Medicaid practitioner.

- c) The Contractor shall permit Enrollees to exercise their right to obtain Family Planning and Reproductive Health services.
- d) The Contractor shall comply with the requirements of Appendix C of this Agreement, including assuring that Enrollees are fully informed of their rights.

10.11 Direct Access

The Contractor shall provide female Enrollees with a standing referral to ensure that they have unrestricted access to obstetrics and gynecology services.

10.12 Emergency Services

- a) The Contractor shall have the PCP maintain twenty-four (24) hours per day seven (7) days per week coverage answered by a live voice, to advise Enrollees of procedures for accessing services for Emergency Conditions and for accessing Urgently Needed Services.
- b) The Contractor agrees that it will not require prior authorization for services in a medical or behavioral health emergency. The Contractor agrees to inform its Enrollees that access to Emergency Services is not restricted and Emergency Services may be obtained from any Medicaid Provider without penalty. Nothing herein precludes the Contractor from requiring providers or facilities to provide notification to the Contractor after Enrollees present for Emergency Services and are subsequently stabilized. The Contractor must authorize services for Emergency Medical Conditions and may not deny payments for failure of the Emergency Services provider or Enrollee to give notice.
- c) The Contractor agrees to abide by requirements for the provision of Emergency Services and Post-stabilization Care Services which are specified in Appendix G, which is hereby made a part of this Agreement as if set forth fully herein.

10.13 Medicaid Utilization Thresholds (MUTS)

MMC Enrollees may be subject to MUTS for outpatient pharmacy services which are billed Medicaid fee-for-service and for dental services provided without referral at Article 28 clinics operated by academic dental centers as described in Section 10.27 of this Agreement. MMC Enrollees are not otherwise subject to MUTS for services included in the Benefit Package.

10.14 Second Opinions for Medical or Surgical Care

The Contractor will allow Enrollees to obtain second opinions for diagnosis of a condition, treatment or surgical procedure by a qualified physician or appropriate specialist, including one affiliated with a specialty care center, by providing a referral upon request from the Enrollee.

10.15 Coordination with Local Public Health Agencies

The Contractor will coordinate its public health-related activities with the Local Public Health Agency (LPHA) consistent with the SDOH MCO and Public Health Guidelines. Coordination mechanisms and operational protocols for addressing public health issues will be negotiated with the LPHA and LDSS and be customized to reflect local public health priorities. Negotiations must result in agreements regarding required Contractor activities related to public health. The outcome of negotiations may take the form of an informal agreement among the parties which may include memos; or a separate memorandum of understanding signed by the LPHA LDSS, and the Contractor.

10.16 Public Health Services

- a) Tuberculosis Screening, Diagnosis and Treatment; Directly Observed Therapy (TB\DOT):
 - i) Tuberculosis Screening, Diagnosis and Treatment services.
 - A) It is the State's preference that Enrollees receive TB diagnosis and treatment through the Contractor to the extent that Participating Providers experienced in this type of care are available.
 - B) The SDOH will coordinate with the LPHA to evaluate the Contractor's protocols against State and local guidelines and to review the tuberculosis treatment protocols and networks of Participating Providers to verify their readiness to treat Tuberculosis patients. State and local departments of health will also be available to offer technical assistance to the Contractor in establishing TB policies and procedures.
 - C) The Contractor is responsible for screening, diagnosis and treatment of TB, except for TB/DOT services.
 - D) The Contractor shall inform all Participating Providers of their responsibility to report TB cases to the LPHA.

- ii) Enrollees may self-refer to LPHA facilities for the diagnosis and/or treatment of TB without prior approval and the Contractor must issue authorization.
 - A) The Contractor agrees to reimburse public health clinics when Capitated Services (physician visit and patient management or laboratory services) are rendered to Enrollees, within the context of TB diagnosis and treatment.
 - B) The Contractor will make best effort to negotiate fees for these services with the LPHA. If no agreement has been reached, the Contractor agrees to reimburse the public health clinics for these services at rates determined by SDOH.
 - C) The LPHA is responsible for: 1) giving notification to the Contractor before delivering TB related services, if so required in the public health agreement established pursuant to Section 10.16 of this Agreement, unless these services are ordered by a court of competent jurisdiction; 2) making reasonable efforts to verify with the Enrollee's PCP that he/she has not already provided TB care and treatment; and 3) providing documentation of services rendered along with the claim.
 - D) Prior authorization for hospital admission may not be required by the Contractor for an admission pursuant to a court order or an order of detention issued by the local commissioner or director of public health.
 - E) The Contractor shall have the PCP provide the LPHA with access to health care practitioners on a twenty-four (24) hour a day, seven (7) day a week basis who can authorize inpatient hospital admissions. The Contractor shall respond to the LPHA's request for authorization within the same day.
- iii) Directly Observed Therapy (TB/DOT) is not included in the Benefit Package.
 - A) The Contractor will not be capitated or financially liable for these costs.
 - B) The Contractor agrees to make all reasonable efforts to ensure communication, cooperation and coordination with TB/DOT providers regarding clinical care and services.
 - C) MMC Enrollees may use any Medicaid fee-for-service TB/DOT provider.

iv) HIV counseling and testing provided to a MMC Enrollee during a TB related visit at a public health clinic, directly operated by a LPHA, will be covered by Medicaid fee-for-service at rates established by SDOH.

b) Immunizations

i) Immunizations are included in the Benefit Package as provided in Appendix K of this Agreement.

A) The Contractor is responsible for all costs associated with vaccine purchase and administration associated with adult immunizations.

B) The Contractor is responsible for all costs associated with vaccine administration associated with childhood immunizations. The Contractor is not responsible for vaccine purchase costs associated with childhood immunizations and will inform all Participating Providers that the vaccines may be obtained free of charge from the Vaccine for Children Program.

ii) Enrollees may self refer to the LPHA facilities for their immunizations.

A) The Contractor agrees to reimburse the LPHA when an Enrollee has self referred for immunizations.

B) The Contractor will make best effort to negotiate fees for these services with the LPHA. If no agreement has been reached, the Contractor agrees to reimburse the public health clinics for these services at rates determined by SDOH.

C) The LPHA is responsible for making reasonable efforts to (1) determine the Enrollee's managed care membership status; and (2) ascertain the Enrollee's immunization status. Reasonable efforts shall consist of client interviews, medical records and, when available, access to the Immunization Registry. When an Enrollee presents a membership card with a PCP's name, the LPHA is responsible for calling the PCP. If the LPHA is unable to verify the immunization status from the PCP, the LPHA is responsible for delivering the service as appropriate.

c) Prevention and Treatment of Sexually Transmitted Diseases

The Contractor will be responsible for ensuring that its Participating Providers educate their Enrollees about the risk and prevention of sexually transmitted disease (STD). The Contractor also will be responsible for ensuring that its Participating Providers screen and treat Enrollees for STDs and report cases of STD to the LPHA and cooperate in contact investigation, in accordance with existing state and local laws and regulations. HIV counseling and testing provided to a MMC Enrollee during a STD related visit at a public health

clinic, directly operated by a LPHA, will be covered by Medicaid fee-for-service at rates established by SDOH.

d) Lead Poisoning

The Contractor will be responsible for carrying out and ensuring that its Participating Providers comply with lead poisoning screening and follow-up as specified in 10 NYCRR Part 67.1. The Contractor shall require its Participating Providers to coordinate with the LPHA to assure appropriate follow-up in terms of environmental investigation, risk management and reporting requirements.

10.17 Adults with Chronic Illnesses and Physical or Developmental Disabilities

a) The Contractor will implement all of the following to meet the needs of their adult Enrollees with chronic illnesses and physical or developmental disabilities:

- i) Satisfactory methods for ensuring that the Contractor is in compliance with the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973. Program accessibility for persons with disabilities shall be in accordance with Section 24 of this Agreement.
- ii) Satisfactory methods/guidelines for determining which Enrollees are in need of case management services, including identification by monitoring of hospitalizations and ER visits, provider referrals, new Enrollee health screenings and self referrals by Enrollees, and a process for referring an Enrollee to an appropriate case management provider for such services.
- iii) Guidelines for determining specific needs of Enrollees with chronic disease and physical or developmental disabilities including specialist physician referrals, durable medical equipment, home health services, self management education and training, etc and a process for referring Enrollees for such services.
- iv) Satisfactory systems for coordinating service delivery with Non-Participating Providers, including behavioral health providers for all Enrollees.
- v) Policies and procedures to allow for the continuation of existing relationships with Non-Participating Providers, consistent with PHL § 4403(6)(e) and Section 15.6 of this Agreement.

10.18 Children with Special Health Care Needs

- a) Children with special health care needs are those who have or are suspected of having a serious or chronic physical, developmental, behavioral, or emotional condition and who also require health and related services of a type or amount beyond that required by children generally. The Contractor will be responsible for performing all of the same activities for this population as for adults. In addition, the Contractor will implement the following for these children:
 - i) Satisfactory methods for interacting with school districts, preschool services, child protective service agencies, early intervention officials, behavioral health, and developmental disabilities service organizations for the purpose of coordinating and assuring appropriate service delivery.
 - ii) An adequate network of pediatric providers and relationships with sub-specialists and tertiary institutions, to meet their medical needs.
 - iii) Satisfactory methods for assuring that children with serious, chronic, and rare disorders receive appropriate diagnostic work-ups on a timely basis.
 - iv) Satisfactory arrangements for assuring access to specialty centers in and out of New York State for diagnosis and treatment of rare disorders.
 - v) A satisfactory approach for assuring access to allied health professionals (Physical Therapists, Occupational Therapists, Speech Therapists, and Audiologists) experienced in dealing with children and families.

10.19 Persons Requiring Ongoing Mental Health Services

- a) The Contractor will implement all of the following for its Enrollees with chronic or ongoing mental health service needs:
 - i) Satisfactory methods for identifying Enrollees requiring such services and encouraging self-referral and early entry into treatment.
 - ii) Satisfactory methods for identifying Enrollees in need of case management services and a process for referring Enrollees to an appropriate case management provider for such services.
 - iii) Satisfactory systems for assisting Enrollees in accessing services and coordinating service delivery between physical health, chemical dependence, and mental health providers, and coordinating services with other available services, including Social Services, as needed.
 - iv) The Contractor agrees to participate in the local planning process for serving Enrollees with mental health needs to the extent requested by the LDSS. At the LDSS' discretion, the Contractor will develop linkages with

local governmental units on coordination, procedures and standards related to mental health services and related activities.

10.20 Member Needs Relating to HIV

- a) If the Contractor operates in a county that has implemented mandatory enrollment, the Contractor must inform MMC Enrollees newly diagnosed with HIV infection or AIDS, who are known to the Contractor, of their enrollment options including the ability to return to the Medicaid fee-for-service program or to disenroll from the Contractor's MMC product and to enroll into HIV Special Needs Plans (SNPs), if such plan is available.
- b) The Contractor will inform Enrollees about HIV counseling and testing services available through the Contractor's Participating Provider network; HIV counseling and testing services available when performed as part of a Family Planning and Reproductive Health encounter; and anonymous counseling and testing services available from SDOH, Local Public Health Agency clinics and other county programs. Counseling and testing rendered outside of a Family Planning and Reproductive Health encounter, as well as services provided as the result of an HIV+ diagnosis, will be furnished by the Contractor in accordance with standards of care.
- c) The Contractor agrees that anonymous testing may be furnished to the Enrollee without prior approval by the Contractor and may be conducted at anonymous testing sites. Services provided for HIV treatment may only be obtained from the Contractor during the period the Enrollee is enrolled in the Contractor's MMC product.
- d) The Contractor shall implement policies and procedures consistent with CDC recommendations as published in the MMWR where consistent with New York State laws and SDOH Guidance for HIV Counseling & Testing:
 - i) Methods for promoting HIV prevention to all Enrollees. HIV prevention information, both primary as well as secondary, should be tailored to the Enrollee's age, sex, and risk factor(s) (e.g., injection drug use and sexual risk activities), and should be culturally and linguistically appropriate. HIV primary prevention means the reduction or control of causative factors for HIV, including the reduction of risk factors. HIV Primary prevention includes strategies to help prevent uninfected Enrollees from acquiring HIV, i.e., behavior counseling for HIV negative Enrollees with risk behavior. Primary prevention also includes strategies to help prevent infected Enrollees from transmitting HIV infection, i.e., behavior counseling with an HIV infected Enrollee to reduce risky sexual behavior or providing antiviral therapy to a pregnant, HIV infected female to prevent transmission of HIV infection to a newborn. HIV Secondary Prevention means promotion of early detection and treatment of HIV

disease in an asymptomatic Enrollee to prevent the development of symptomatic disease. This includes: regular medical assessments; routine immunization for preventable infections; prophylaxis for opportunistic infections; regular dental, optical, dermatological and gynecological care; optimal diet/nutritional supplementation; and partner notification services which lead to the early detection and treatment of other infected persons. All Enrollees should be informed of the availability of HIV counseling, testing, referral and partner notification (CTRPN) services.

- ii) Policies and procedures that promote HIV counseling and testing as a routine part of medical care. Such policies and procedures shall include at a minimum: assessment methods for recognizing the early signs and symptoms of HIV disease; initial and routine screening for HIV risk factors through administration of sexual behavior and drug and alcohol use assessments; and the provision of information to all Enrollees regarding the availability of HIV CTRPN services from Participating Providers or as part of a Family Planning and Reproductive Health services visit pursuant to Appendix C of this Agreement, and availability of anonymous CTRPN services from New York State, New York City and the LPHA.
- iii) A network of providers sufficient to meet the needs of its Enrollees with HIV. Satisfaction of the network requirement may be accomplished by inclusion of HIV specialists within the network or the provision of HIV specialist consultation to non-HIV specialists serving as PCPs for persons with HIV infection; inclusion of Designated AIDS Center Hospitals or other hospitals experienced in HIV care in the Contractor's network; and contracts or linkages with providers funded under the Ryan White CARE Act. The Contractor shall inform Participating Providers about how to obtain information about the availability of Experienced HIV Providers and HIV Specialist PCPs.
- iv) Case Management Assessment for Enrollees with HIV Infection. The Contractor shall establish policies and procedures to ensure that Enrollees who have been identified as having HIV infection are assessed for case management services. The Contractor shall arrange for any Enrollee identified as having HIV infection and needing case management services to be referred to an appropriate case management services provider, and/or, with appropriate consent of the Enrollee, HIV community-based psychosocial case management services and/or COBRA Comprehensive Medicaid Case Management (CMCM) services for MMC Enrollees.
- v) The Contractor shall require its Participating Providers to report positive HIV test results and diagnoses and known contacts of such persons to the New York State Commissioner of Health. In New York City, these shall be reported to the New York City Commissioner of Health. Access to partner notification services must be consistent with 10 NYCRR Part 63.

- vii) The Contractor's Medical Director shall review Contractor's HIV practice guidelines at least annually and update them as necessary for compliance with recommended SDOH AIDS Institute and federal government clinical standards. The Contractor will disseminate the HIV Practice Guidelines or revised guidelines to Participating Providers at least annually, or more frequently as appropriate.

10.21 Persons Requiring Chemical Dependence Services

- a) The Contractor will have in place all of the following for its Enrollees requiring Chemical Dependence Services:
 - i) Satisfactory methods for identifying Enrollees requiring such services and encouraging self-referral and early entry into treatment and methods for referring Enrollees to the New York State Office of Alcoholism and Substance Abuse Services (OASAS) for appropriate services.
 - ii) Satisfactory systems of care, including referral processes sufficient to ensure that emergency services, including crisis services, can be accessed in a timely manner.
 - iii) Satisfactory methods for identifying Enrollees in need of case management services and a process for referring Enrollees to an appropriate case management provider for such services.
 - iv) Satisfactory systems for coordinating service delivery between physical health, chemical dependence, and mental health providers, and coordinating with other services, including Social Services.
 - v) The Contractor also agrees to participate in the local planning process for serving persons with chemical dependence, to the extent requested by an LDSS. At the LDSS's discretion, the Contractor will develop linkages with local governmental units on coordination procedures and standards related to Chemical Dependence Services and related activities.

10.22 Native Americans

If the Contractor's Enrollee is a Native American and the Enrollee chooses to access primary care services through his/her tribal health center, the PCP authorized by the Contractor to refer the Enrollee for services included in the Benefit Package must develop a relationship with the Enrollee's PCP at the tribal health center to coordinate services for said Native American Enrollee.

10.23 Women, Infants, and Children (WIC)

The Contractor shall develop linkage agreements or other mechanisms to refer Enrollees who are pregnant and Enrollees with children younger than five (5) years of age to WIC local agencies for nutritional assessments and supplements.

10.24 Urgently Needed Services

The Contractor is responsible for authorizing Urgently Needed Services. Urgently Needed Services are covered only in the United States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Northern Mariana Islands and Canada. The Contractor may require the Enrollee or the Enrollee's designee to coordinate with the Contractor or the Enrollee's PCP prior to receiving care.

10.25 Coordination of Services

- a) The Contractor shall coordinate care for Enrollees, as applicable, with:
 - i) the court system (for court ordered evaluations and treatment);
 - ii) specialized providers of health care for the homeless, and other providers of services for victims of domestic violence;
 - iii) family planning clinics, community health centers, migrant health centers, rural health centers;
 - iv) WIC, Head Start, Early Intervention;
 - v) programs funded through the Ryan White CARE Act;
 - vi) other pertinent entities that provide services out of network;
 - vii) Prenatal Care Assistance Program (PCAP) Providers;
 - viii) local governmental units responsible for public health, mental health, mental retardation or Chemical Dependence Services;
 - ix) specialized providers of long term care for people with developmental disabilities; and
 - x) School-based health centers.
- b) Coordination may involve contracts or linkage agreements (if entities are willing to enter into such agreement), or other mechanisms to ensure coordinated care for Enrollees, such as protocols for reciprocal referral and communication of data and clinical information on MCO Enrollees.

11. MARKETING

11.1 Information Requirements

- a) The Contractor shall provide Prospective Enrollees, upon request, with pre-enrollment and post-enrollment information pursuant to PHL § 4408 and SSL § 364-j.
- b) The Contractor shall provide Prospective Enrollees, upon request, with the most current and complete listing of Participating Providers, as described in Section 13.2(a) of this Agreement, in hardcopy, along with any updates to that listing.
- c) The Contractor shall provide Potential Enrollees with pre-enrollment and post-enrollment information pursuant to 42 CFR § 438.10 (e).
- d) The Contractor must inform Potential Enrollees that oral interpretation service is available for any language and that information is available in alternate formats and how to access these formats.

11.2 Marketing Plan

- a) The Contractor shall have a Marketing plan, that has been prior-approved by the SDOH that describes the Marketing activities the Contractor will undertake within the service area, as specified in Appendix M of this Agreement, during the term of this Agreement.
- b) The Marketing plan and all Marketing activities must comply with the Marketing Guidelines which are set forth in Appendix D, which is hereby made a part of this Agreement as if set forth fully herein.
- c) The Marketing plan shall be kept on file in the offices of the Contractor, each LDSS in the Contractor's service area, and the SDOH. The Marketing plan may be modified by the Contractor subject to prior written approval by the SDOH. The SDOH must take action on the changes submitted within sixty (60) calendar days of submission or the Contractor may deem the changes approved.

11.3 Marketing Activities

Marketing activities by the Contractor shall conform to the approved Marketing Plan.

11.4 Prior Approval of Marketing Materials and Procedures

The Contractor shall submit all procedures and materials related to Marketing to Prospective Enrollees to the SDOH for prior written approval, as described in Appendix D of this Agreement. The Contractor shall not use any procedures or materials that the SDOH has not approved. Marketing materials shall be made available by the Contractor throughout its entire service area. Marketing materials may be customized for specific counties and populations within the Contractor's service area. All Marketing activities should provide for equitable distribution of materials without bias toward or against any group.

11.5 Corrective and Remedial Actions

- a) If the Contractor's Marketing activities do not comply with the Marketing Guidelines set forth in Appendix D of this Agreement or the Contractor's approved Marketing plan, the SDOH, in consultation with the LDSS, may take any of the following actions as it, in its sole discretion, deems necessary to protect the interests of Enrollees and the integrity of the MMC Programs. The Contractor shall take the corrective and remedial actions directed by the SDOH within the specified timeframes.
 - i) If the Contractor or its representative commits a first time infraction of the Marketing Guidelines and/or the Contractor's approved Marketing plan, and the SDOH, in consultation with the LDSS, deems the infraction to be minor or unintentional in nature, the SDOH and/or the LDSS may issue a warning letter to the Contractor.
 - ii) If the Contractor engages in Marketing activities that SDOH determines, in its sole discretion, to be an intentional or serious breach of the Marketing Guidelines or the Contractor's approved Marketing plan, or a pattern of minor breaches, SDOH, in consultation with the LDSS, may require the Contractor to, and the Contractor shall, prepare and implement a corrective action plan acceptable to SDOH within a specified timeframe. In addition, or alternatively, SDOH may impose sanctions, including monetary penalties, as permitted by law.
 - iii) If the Contractor commits further infractions, fails to pay monetary penalties within the specified timeframe, fails to implement a corrective action plan in a timely manner or commits an egregious first-time infraction, the SDOH, in consultation with the LDSS, may in addition to any other legal remedy available to SDOH in law or equity:
 - A) direct the Contractor to suspend its Marketing activities for a period up to the end of the Agreement period;

- B) suspend new Enrollments, other than newborns, for a period up to the remainder of the Agreement period; or
 - C) terminate this Agreement pursuant to termination procedures described in Section 2.7 of this Agreement.
- b) The corrective and remedial actions described in Section 11.5 a) apply to violations of the reporting requirements in Section 18.5 a) ix).

12. MEMBER SERVICES

12.1 General Functions

- a) The Contractor shall operate a Member Services Department during regular business hours, which must be accessible to Enrollees via a toll-free telephone line. Personnel must also be available via a toll-free telephone line (which can be the member services toll-free line or separate toll-free lines) not less than during regular business hours to address complaints. In addition, the Contractor must have a telephone system capable of accepting, recording or providing instruction to incoming calls regarding complaints during other than normal business hours and measures in place to ensure a response to those calls the next business day after the call was received.
- b) At a minimum, the Member Services Department must be staffed at a ratio of at least one (1) full time equivalent Member Service Representative for every 4,000 or fewer Enrollees.
- c) Member Services staff must be responsible for the following:
 - i) Explaining the Contractor's rules for obtaining services and assisting Enrollees in making appointments.
 - ii) Assisting Enrollees to select or change Primary Care Providers.
 - iii) Fielding and responding to Enrollee questions and complaints, and advising Enrollees of the prerogative to complain to the SDOH and LDSS at any time.
 - iv) Clarifying information in the member handbook for Enrollees.
 - v) Advising Enrollees of the Contractor's complaint and appeals program, and the Enrollee's rights to a fair hearing.
 - vi) Clarifying for MMC Enrollees current categories of exemptions and exclusions. The Contractor may refer to the LDSS or the Enrollment Broker, where one is in place, if necessary, for more information on exemptions and exclusions.

12.2 Translation and Oral Interpretation

- a) The Contractor must make available written marketing and other informational materials (e.g., member handbooks) in a language other than English whenever at least five percent (5%) of the Prospective Enrollees of the Contractor in any county of the service area speak that particular language and do not speak English as a first language.

- b) In addition, verbal interpretation services must be made available to Enrollees and Potential Enrollees who speak a language other than English as a primary language. Interpreter services must be offered in person where practical, but otherwise may be offered by telephone.
- c) The SDOH will determine the need for other than English translations based on County-specific census data or other available measures.

12.3 Communicating with the Visually, Hearing and Cognitively Impaired

The Contractor also must have in place appropriate alternative mechanisms for communicating effectively with persons with visual, hearing, speech, physical or developmental disabilities. These alternative mechanisms include Braille or audio tapes for the visually impaired, TTY access for those with certified speech or hearing disabilities, and use of American Sign Language and/or integrative technologies.

13. ENROLLEE RIGHTS AND NOTIFICATION

13.1 Information Requirements

- a) The Contractor shall provide new Enrollees with the information identified in PHL § 4408, SSL § 364-j and 42 CFR §§ 438.10 (f) and (g).
- b) The Contractor shall provide such information to the Enrollee within fourteen (14) days of the Effective Date of Enrollment. The Contractor may provide such information to the Enrollee through the Member Handbook referenced in Section 13.4 of this Agreement.
- c) The Contractor must provide Enrollees with an annual notice that this information is available to them upon request.
- d) The Contractor must inform Enrollees that oral interpretation service is available for any language and that information is available in alternative formats and how to access these formats.

13.2 Provider Directories/Office Hours for Participating Providers

- a) The Contractor shall maintain and update, on a quarterly basis, a listing by specialty of the names, addresses and telephone numbers of all Participating Providers, including facilities. Such a list/directory shall include names, office addresses, telephone numbers, board certification for physicians, information on language capabilities and wheelchair accessibility of Participating Providers. The list should also identify providers that are not accepting new patients.
- b) New Enrollees must receive the most current complete listing in hardcopy, along with any updates to such listing.
- c) Enrollees must be notified of updates in writing at least annually in one of the following methods: (1) provide updates in hardcopy; (2) provide a new complete listing/directory in hardcopy; or (3) provide written notification that a new complete listing/directory is available and will be provided upon request either in hardcopy, or electronically if the Contractor has the capability of providing such data in an electronic format and the data is requested in that format by an Enrollee.
- d) In addition, the Contractor must make available to the LDSS the office hours for Participating Providers. This requirement may be satisfied by providing a copy of the list or Provider Directory described in this Section with the addition of office hours or by providing a separate listing of office hours for Participating Providers.

13.3 Member ID Cards

- a) The Contractor must issue an identification card to the Enrollee containing the following information:
 - i) the name of the Enrollee's clinic (if applicable);
 - ii) the name of the Enrollee's PCP and the PCP's telephone number (if an Enrollee is being served by a PCP team, the name of the individual shown on the card should be the lead provider);
 - iii) the member services toll free telephone number;
 - iv) andfor ID Cards issued after October 1, 2004, the Enrollee's Client Identification Number (CIN).
- b) PCP information may be embossed on the card or affixed to the card by a sticker.
- c) The Contractor shall issue an identification card within fourteen (14) days of an Enrollee's Effective Date of Enrollment. If unforeseen circumstances, such as the lack of identification of a PCP, prevent the Contractor from forwarding the official identification card to new Enrollees within the fourteen (14) day period, alternative measures by which Enrollees may identify themselves such as use of a Welcome Letter or a temporary identification card shall be deemed acceptable until such time as a PCP is either chosen by the Enrollee or auto assigned by the Contractor. The Contractor agrees to update PCP information on the identification card. Newborns of Enrollees need not present ID cards in order to receive Benefit Package services from the Contractor and its Participating Providers. The Contractor is not responsible for providing Benefit Package services to newborns Excluded from the MMC Program pursuant to Appendix H of this Agreement, or when the Contractor does not offer a MMC product in the mother's county of fiscal responsibility.

13.4 Member Handbooks

The Contractor shall issue to a new Enrollee within fourteen (14) days of the Effective Date of Enrollment a Member Handbook, which is consistent with the SDOH guidelines described in Appendix E, which is hereby made a part of this Agreement as if set forth fully herein.

13.5 Notification of Effective Date of Enrollment

The Contractor shall inform each Enrollee in writing within fourteen (14) days of the Effective Date of Enrollment of any restriction on the Enrollee's right to terminate enrollment. The initial enrollment information and the Member Handbook shall be adequate to convey this notice.

13.6 Notification of Enrollee Rights

- a) The Contractor agrees to make all reasonable efforts to contact new Enrollees, in person, by telephone, or by mail, within thirty (30) days of their Effective Date of Enrollment. "Reasonable efforts" are defined to mean at least three (3) attempts, with more than one method of contact being employed. Upon contacting the new Enrollee(s), the Contractor agrees to do at least the following:
 - i) Inform the Enrollee about the Contractor's policies with respect to obtaining medical services, including services for which the Enrollee may self-refer pursuant to Section 10.14 of this Agreement and what to do in an emergency.
 - ii) Conduct a brief health screening to assess the Enrollee's need for any special health care (e.g., prenatal or behavioral health services) or language/communication needs. If a special need is identified, the Contractor shall assist the Enrollee in arranging for an appointment with his/her PCP or other appropriate provider.
 - iii) Offer assistance in arranging an initial visit to the Enrollee's PCP for a baseline physical and other preventive services, including an assessment of the Enrollee's potential risk, if any, for specific diseases or conditions.
 - iv) Inform new Enrollees about their rights for continuation of certain existing services.
 - v) Provide the Enrollee with the PCPs, or the PCP's backup telephone number that may be called twenty-four (24) hours a day, seven (7) days a week if the Enrollee has questions about obtaining services (this telephone number need not be the Member Services line and need not be staffed to respond to Member Services-related inquiries). The Contractor must have appropriate mechanisms in place to accommodate Enrollees who do not have telephones and therefore cannot readily receive a call back.
 - vi) Advise Enrollee about opportunities available to learn about the Contractor's policies and benefits in greater detail (e.g., welcome meeting, Enrollee orientation and education sessions).
 - vii) Assist the Enrollee in selecting a primary care provider if one has not already been chosen.

13.7 Enrollee's Rights

- a) The Contractor shall, in compliance with the requirements of 42 CFR§ 438.6(i)(1) and 42 CFR Part 489 Subpart I, maintain written policies and procedures regarding advance directives and inform each Enrollee in writing

at the time of enrollment of an individual's rights under State law to formulate advance directives and of the Contractor's policies regarding the implementation of such rights. The Contractor shall include in such written notice to the Enrollee materials relating to advance directives and health care proxies as specified in 10 NYCRR Sections 98.14(f) and 700.5. The written information must reflect changes in State law as soon as possible, but no later than 90 days after the effective date of the change.

- b) The Contractor shall have policies and procedures that protect the Enrollee's right to:
 - i) receive information about the Contractor and managed care;
 - ii) be treated with respect and due consideration for his or her dignity and privacy;
 - iii) receive information on available treatment options and alternatives, presented in a manner appropriate to the Enrollee's condition and ability to understand;
 - iv) participate in decisions regarding his or her health care, including the right to refuse treatment;
 - v) be free from any form of restraint or seclusion used as a means of coercion, discipline, convenience or retaliation, as specified in Federal regulations on the use of restraints and seclusion; and
 - vi) request and receive a copy of his or her medical records and request that they be amended or corrected, as specified in 45 CFR §§ 164.524 and 164.526.
- c) The Contractor's policies and procedures must require that it and its Participating Providers do not adversely regard an Enrollee who exercises their rights in 13.7(b) above.

13.8 Approval of Written Notices

The Contractor shall submit the format and content of all written notifications described in this Section to SDOH for review and prior approval by SDOH in consultation with LDSS. All written notifications must be written at a fourth (4th) to sixth (6th) grade level and in at least ten (10) point print.

13.9 Contractor's Duty to Report Lack of Contact

The Contractor must inform the LDSS of any Enrollee they are unable to contact within ninety (90) days of Enrollment using reasonable efforts as defined in

Section 13.6 of the Agreement and who have not presented for any health care services through the Contractor or its Participating Providers.

13.10 LDSS Notification of Enrollee's Change in Address

The LDSS is responsible for notifying the Contractor of any known change in address of Enrollees.

13.11 Contractor Responsibility to Notify Enrollee of Effective Date of Benefit Package Change

The Contractor must provide written notification of the effective date of any Contractor-initiated, SDOH-approved Benefit Package change to Enrollees. Notification to Enrollees must be provided at least 30 days in advance of the effective date of such change.

13.12 Contractor Responsibility to Notify Enrollee of Termination, Service Area Changes and Network Changes

- a) With prior notice to and approval of the SDOH, the Contractor shall inform each Enrollee in writing of any withdrawal by the Contractor from the MMC Program pursuant to Section 2.7 of this Agreement, withdrawal from the service area encompassing the Enrollee's zip code, and/or significant changes to the Contractor's Participating Provider network pursuant to Section 21.1(d) of this Agreement, except that the Contractor need not notify Enrollees who will not be affected by such changes.
- b) The Contractor shall provide the notifications within the timeframes specified by SDOH, and shall obtain the prior approval of the notification from SDOH.

14. COMPLAINT AND APPEAL PROGRAM

14.1 General Requirements

- a) The Complaint Process is a process for the receipt and resolution of Enrollee Complaints pursuant to Section 4408-a of the PHL and applicable Federal regulations. PCPCPs do not have formal utilization review or service authorization processes. Decisions about access to services are made by the PCP based on his/her medical expertise. The Complaint Process serves as the mechanism through which an Enrollee makes a formal request to the Contractor to review a decision of a PCP to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested.
- b) The Contractor's complaint and appeal program will comply with the Managed Care Complaint and Appeals Program Guidelines described in Appendix F, which is hereby made a part of this Agreement as if set forth fully herein.
- c) The Contractor's complaint and appeal procedures shall be approved by the SDOH and kept on file with the Contractor, and SDOH.
- d) The Contractor shall not modify its complaint and appeals procedure without the prior written approval of SDOH, and shall provide SDOH with a copy of the approved modification within fifteen (15) days after its approval.

14.2 Contractor's Program to Address Complaints

- a) The Contractor shall establish and maintain a comprehensive program designed to address clinical and other complaints, and appeals of complaint determinations, which may be brought by Enrollees, consistent with Article 44 of the New York State P.H.L and applicable Federal regulations.
- b) The program must include methods for prompt internal adjudication of Enrollee complaints and appeals and provide for the maintenance of a written record of all complaints and appeals received and reviewed and their disposition.
- c) The Contractor shall ensure that persons with authority to require corrective action participate in the complaint and appeal process.
- d) The Contractor must have in place effective mechanisms to ensure consistent application of review criteria for Complaint Determinations about requests for services, including a Complaint about a PCP's decision to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested.

- e) If the Contractor subcontracts for Complaint Determinations, the Contractor must ensure that its subcontractors have in place and follow written policies and procedures for delegated activities regarding the processing of Complaints regarding requests for services, including a Complaint about a PCP's decision to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested.
- f) The Contractor must ensure that compensation to individuals or entities that make Complaint Determinations is not structured to include incentives that would result in the denial of a medically necessary service.
- g) The Contractor or its subcontractor may not arbitrarily deny or reduce the amount, duration, or scope of a covered service solely because of the diagnosis, type of illness, or Enrollee's condition.

14.3 Notification of Complaint and Appeal Program

- a) The Contractor will advise Enrollees of their right to a fair hearing as appropriate and comply with the procedures established by SDOH for the Contractor to participate in the fair hearing process, as set forth in Section 25 of this Agreement.
- b) The Contractor's specific complaint and appeal program shall be described in the Contractor's member handbook and shall be made available to all Enrollees.
- c) The Contractor will provide written notice for the Complaint, Complaint Appeal, and fair hearing procedures to all Participating Providers, and subcontractors to whom the Contractor has delegated Complaint Determination procedures, at the time they enter into an agreement with the Contractor:
 - i) the Enrollee's right to a fair hearing, how to obtain a fair hearing, and representation rules at a hearing;
 - ii) the Enrollee's right to file Complaints and Complaint Appeals and the process and timeframes for filing;
 - iii) the Enrollee's right to designate a representative to file Complaints and Complaint Appeals on his/her behalf;
 - iv) the availability of assistance from the Contractor for filing Complaints and Complaint Appeals;
 - v) the toll-free numbers to file oral Complaints and Complaint Appeals;

- vi) the Enrollee's right to request continuation of benefits while a state fair hearing is pending, and if the Contractor's decision is upheld in a hearing, the Enrollee may be liable for the cost of any continued benefits.

14.4 Complaint Investigation Determinations

The Contractor must adhere to determinations resulting from complaint investigations conducted by SDOH.

15. ACCESS REQUIREMENTS

15.1 General Requirement

The Contractor will establish and implement mechanisms to ensure that Participating Providers comply with timely access requirements, monitor regularly to determine compliance and take corrective action if there is a failure to comply.

15.2 Appointment Availability Standards

- a) The Contractor shall comply with the following minimum appointment availability standards, as applicable¹.
 - i) For emergency care: immediately upon presentation at a service delivery site.
 - ii) For urgent care: within twenty-four (24) hours of request.
 - iii) Non-urgent "sick" visit: within forty-eight (48) to seventy-two (72) hours of request, as clinically indicated.
 - iv) Routine non-urgent, preventive appointments: within four (4) weeks of request.
 - v) Adult Baseline and routine physicals: within twelve (12) weeks from enrollment. (Adults >21 years).
 - vi) Well child care: within four (4) weeks of request.
 - vii) Initial PCP office visit for newborns: within two (2) weeks of hospital discharge.

15.3 Twenty-Four (24) Hour Access

- a) The Contractor must provide access to medical services and coverage to Enrollees, either directly or through their PCPs, on a twenty-four (24) hour a day, seven (7) day a week basis. The Contractor must instruct Enrollees on how to obtain services after business hours and on weekends.
- b) The Contractor may satisfy the requirement in Section 15.3(a) by requiring their PCPs to have primary responsibility for serving as an after hours "on-call" telephone resource to members with medical problems. Under no circumstances may the Contractor routinely refer calls to an emergency room, unless the PCP has a relationship with a facility to provide phone coverage or back up services.

15.4 Appointment Waiting Times

¹ These are general standards and are not intended to supersede sound clinical judgement as to the necessity for care and services on a more expedient basis, when judged clinically necessary and appropriate.

Enrollees with appointments shall not routinely be made to wait longer than one hour.

15.5 Travel Time Standards

- a) The Contractor will maintain a network that is geographically accessible to the population to be served.
- b) Travel time/distance to primary care sites shall not exceed thirty (30) minutes from the Enrollee's residence in metropolitan areas or thirty (30) minutes/thirty (30) miles from the Enrollee's residence in non-metropolitan areas. Transport time and distance in rural areas to primary care sites may be greater than thirty (30) minutes/thirty (30) miles from the Enrollee's residence if based on the community standard for accessing care or if by Enrollee choice.
- c) Enrollees may, at their discretion, select participating PCPs located farther from their homes as long as they are able to arrange and pay for transportation to the PCP themselves.

15.6 Service Continuation

If a new Enrollee has an existing relationship with a specialty health care provider, the contractor shall permit the Enrollee to continue an ongoing course of treatment.

15.7 Standing Referrals

The Contractor will implement policies and procedures to allow for standing referrals to specialist physicians for Enrollees who have ongoing needs for care from such specialists, consistent with PHL Section 4403(6)(b).

15.8 Specialist as Coordinator of Primary Care

When an Enrollee has a life threatening or degenerative and disabling disease or condition, which requires prolonged specialized medical care, the Contractor will provide an Enrollee with a standing referral to a specialist so that the specialist may act as a coordinator of primary and specialty care for the Enrollee, consistent with PHL Section 4403(6)(e).

15.9 Specialty Care Centers

The Contractor will implement policies and procedures to allow Enrollees with a life-threatening or a degenerative and disabling condition or disease, which requires prolonged specialized medical care to receive a referral to an accredited

or designated specialty care center with expertise in treating the life-threatening or degenerative and disabling disease or condition, consistent with PHL § 4403(6)(d).

15.10 Cultural Competence

The Contractor will participate in the State's efforts to promote the delivery of services in a culturally competent manner to all Enrollees, including those with limited English proficiency and diverse cultural and ethnic backgrounds.

16. QUALITY ASSURANCE

16.1 Internal Quality Assurance Program

Contractor must operate a quality assurance program which is approved by SDOH. The Contractor's approved quality assurance program must be kept on file by the Contractor. The Contractor shall not modify the quality assurance program without the prior written approval of the SDOH.

16.2 Standards of Care

- a) The Contractor must adopt practice guidelines consistent with current standards of care, complying with recommendations of professional specialty groups or the guidelines of programs such as the American Academy of Pediatrics, the American Academy of Family Physicians, the US Task Force on Preventive Care, the New York State Child/Teen Health Program (C/THP) standards for provision of care to individuals under age 21, the American Medical Association's Guidelines for Adolescent and Preventive Services, the US Department of Health and Human Services Center for Substance Abuse Treatment, the American College of Obstetricians and Gynecologists, the American Diabetes Association, and the AIDS Institute clinical standards for adult, adolescent, and pediatric care.
- b) The Contractor must ensure that its decisions for enrollee education, Complaint resolution and other areas to which the practice guidelines apply are consistent with the guidelines.
- c) The Contractor must have mechanisms in place to disseminate any changes in practice guidelines to its Participating Providers at least annually, or more frequently, as appropriate.
- d) The Contractor shall develop and implement protocols for identifying Participating Providers who do not adhere to practice guidelines and for making reasonable efforts to improve the performance of these providers.
- e) Annually, the Contractor shall select a minimum of two practice guidelines and monitor performance of appropriate Participating Providers (or a sample of providers) against such guidelines.

17. MONITORING AND EVALUATION

17.1 Right to Monitor Contractor Performance

The SDOH or its designee, and DHHS shall each have the right, during the Contractor's normal operating hours, and at any other time a Contractor function or activity is being conducted, to monitor and evaluate, through inspection or other means, the Contractor's performance, including, but not limited to, the quality, appropriateness, and timeliness of services provided under this Agreement.

17.2 Cooperation During Monitoring and Evaluation

The Contractor shall cooperate with and provide reasonable assistance to the SDOH or its designee, and DHHS in the monitoring and evaluation of the services provided under this Agreement.

17.3 Cooperation During On-Site Reviews

The Contractor shall cooperate with SDOH and/or its designee in any on-site review of the Contractor's operations. SDOH shall give the Contractor notification of the date(s) and survey format for any full operational review at least forty-five (45) days prior to the site visit. This requirement shall not preclude SDOH or its designee from site visits upon shorter notice for other monitoring purposes.

17.4 Cooperation During Review of Services by External Review Agency

The Contractor shall comply with all requirements associated with any review of the quality of services rendered to its Enrollees to be performed by an external review agent selected by the SDOH.

18. CONTRACTOR REPORTING REQUIREMENTS

18.1 General Requirements

- a) The Contractor must maintain a health information system that collects, analyzes, integrates, and reports data. The system must provide information on areas, including but not limited to, utilization, Complaints and Appeals, and Disenrollments for other than loss of Medicaid eligibility. The system must be sufficient to provide the data necessary to comply with the requirements of this Agreement.
- b) The Contractor must take the following steps to ensure that data received from Participating Providers is accurate and complete: verify the accuracy and timeliness of reported data; screen the data for completeness; logic and consistency; and collect utilization data in standardized formats as requested by SDOH.

18.2 Time Frames for Report Submissions

Except as otherwise specified herein, the Contractor shall prepare and submit to SDOH the reports required under this Agreement in an agreed media format within sixty (60) days of the close of the applicable semi-annual or annual reporting period, and within fifteen (15) business days of the close of the applicable quarterly reporting period.

18.3 SDOH Instructions for Report Submissions

SDOH will provide Contractor with instructions for submitting the reports required by SDOH in Section 18.5 of this Agreement, including time frames and requisite formats. The instructions, time frames and formats may be modified by SDOH upon sixty (60) days written notice to the Contractor.

18.4 Notification of Changes in Report Due Dates, Requirements or Formats

SDOH may extend due dates, or modify report requirements or formats upon a written request by the Contractor to the SDOH, where the Contractor has demonstrated a good and compelling reason for the extension or modification. The determination to grant a modification or extension of time shall be made by SDOH.

18.5 Reporting Requirements

- a) The Contractor shall submit the following reports to SDOH (unless otherwise specified). The Contractor will certify the data submitted pursuant to this section as required by SDOH. The certification shall be in the manner and

format established by SDOH and must attest, based on best knowledge, information, and belief to the accuracy, completeness and truthfulness of the data being submitted.

i) Encounter Data:

The Contractor shall prepare and submit encounter data on a monthly basis to SDOH through SDOH's designated Fiscal Agent. Each provider is required to have a unique identifier. Submissions shall be comprised of encounter records, or adjustments to previously submitted records, which the Contractor has received and processed from provider encounter or claim records of all contracted services rendered to the Enrollee in the current or any preceding months. Monthly submissions must be received by the Fiscal Agent in accordance with the time frames specified in the MEDS II data dictionary on the HPN to assure the submission is included in the Fiscal Agent's monthly production processing.

ii) Complaint and Complaint Appeal Reports:

A) The Contractor must provide the SDOH on a quarterly basis, and within fifteen (15) business days of the close of the quarter, a summary of all Complaints and Complaint Appeals subject to PHL § 4408-a received during the preceding quarter via the Summary Complaint Form on the Health Provider Network (HPN). The Summary Complaint Form is developed by the SDOH to categorize the type of Complaints and Complaint Appeals subject to PHL § 4408-a received by the Contractor.

B) The Contractor agrees to provide on a quarterly basis, via Summary Complaint Form on the HPN, the total number of Complaints and Complaint Appeals subject to PHL § 4408-a that have been unresolved for more than forty-five (45) days. The Contractor shall maintain records on these and other Complaints and Complaint Appeals pursuant to Appendix F of this Agreement.

C) Nothing in this Section is intended to limit the right of the SDOH or its designee to obtain information immediately from a Contractor pursuant to investigating a particular Enrollee or provider Complaint or Complaint Appeal.

iii) Fraud and Abuse Reporting Requirements:

A) The Contractor must submit quarterly, via the HPN Complaint reporting format, the number of Complaints of fraud or abuse made

to the Contractor that warrant preliminary investigation by the Contractor.

- B) The Contractor also must submit to the SDOH the following information on an ongoing basis for each confirmed case of fraud and abuse it identifies through Complaints, organizational monitoring, contractors, subcontractors, providers, beneficiaries, Enrollees, or any other source:
- I) The name of the individual or entity that committed the fraud or abuse;
 - II) The source that identified the fraud or abuse;
 - III) The type of provider, entity or organization that committed the fraud or abuse;
 - IV) A description of the fraud or abuse;
 - V) The approximate range of dollars involved;
 - VI) The legal and administrative disposition of the case, if available, including actions taken by law enforcement officials to whom the case has been referred; and
 - VII) Other data/information as prescribed by SDOH.
- C) Such report shall be submitted when cases of fraud and abuse are confirmed, and shall be reviewed and signed by an executive officer of the Contractor.

iv) Participating Provider Network Reports:

The Contractor shall submit electronically, to the HPN, an updated provider network report on a quarterly basis. The Contractor shall submit an annual notarized attestation that the providers listed in each submission have executed an agreement with the Contractor to serve Contractor's MMC Enrollees, as applicable. The report submission must comply with the Managed Care Provider Network Data Dictionary. Networks must be reported separately for each county in which the Contractor operates.

v) Appointment Availability/Twenty-four (24) Hour Access and Availability Surveys:

The Contractor will conduct a county specific (or service area if appropriate) review of appointment availability and twenty-four (24) hour access and availability surveys annually. Results of such surveys must be kept on file and be readily available for review by the SDOH or LDSS, upon request.

vi) Clinical Studies:

The Contractor is required to conduct at least one (1) internal focused clinical study each year in a priority topic area of its choosing from a list to be generated through mutual agreement of the SDOH and the Contractor's Medical Director. The Contractor may conduct its internal focused clinical study in conjunction with one or more MCOs. The purpose of these studies will be to promote quality improvement within the Contractor's MMC product. SDOH will provide guidelines which address study structure and plan collaboration. Results of these studies will be provided to the SDOH

vii) Independent Audits:

The Contractor must submit copies of all certified financial statements by auditors independent of the Contractor to the SDOH within thirty (30) days of receipt by the Contractor.

viii) New Enrollee Health Screening Completion Report:

The Contractor shall submit a quarterly report within thirty (30) days of the close of the quarter showing the percentage of new Enrollees for which the Contractor was able to complete a health screening consistent with Section 13.6(a)(ii) of this Agreement.

ix) Marketing Staffing Reports:

If the Contractor has designated marketing staff, or pays another entity for marketing activities, the Contractor shall submit a monthly staffing report during the last fifteen (15) calendar days of each month showing the number of full-time equivalents (FTEs) employed or funded for purposes of marketing, and/or community outreach, designed to develop enrollment opportunities or present coverage options for the Medicaid, program.

x) Additional Reports:

Upon request by the SDOH the Contractor shall prepare and submit other operational data reports. Such requests will be limited to situations in which the desired data is considered essential and cannot be obtained through existing Contractor reports. Whenever possible, the Contractor will be provided with ninety (90) days notice and the opportunity to discuss and comment on the proposed requirements before work is begun. However, the SDOH reserves the right to give thirty (30) days notice in circumstances where time is of the essence.

18.6 Ownership and Related Information Disclosure

The Contractor shall report ownership and related information to SDOH, and upon request to the Secretary of Department of Health and Human Services and the Inspector General of Health and Human Services, in accordance with 42 U.S.C. Section 1320a-3 and 1396b(m)(4) (Sections 1124 and 1903(m)(4) of the SSA).

18.7 Public Access to Reports

Any data, information, or reports collected and prepared by the Contractor and submitted to NYS authorities in the course of performing their duties and obligation under this Agreement will be deemed to be a record of the SDOH subject to and consistent with the requirements of Freedom of Information Law. This provision is made in consideration of the Contractor's participation in the MMC Program for which the data and information is collected, reported, prepared and submitted.

18.8 Professional Discipline

- a) Pursuant to PHL Section 4405-b, the Contractor shall have in place policies and procedures to report to the appropriate professional disciplinary agency within thirty (30) days of occurrence, any of the following:
 - i) the termination of a health care Provider Agreement pursuant to Section 4406-d of the PHL for reasons relating to alleged mental and physical impairment, misconduct or impairment of patient safety or welfare;
 - ii) the voluntary or involuntary termination of a contract or employment or other affiliation with such Contractor to avoid the imposition of disciplinary measures; or
 - iii) the termination of a health care Participating Provider Agreement in the case of a determination of fraud or in a case of imminent harm to patient health.
- b) The Contractor shall make a report to the appropriate professional disciplinary agency within thirty (30) days of obtaining knowledge of any information that reasonably appears to show that a health professional is guilty of professional misconduct as defined in Articles 130 and 131(a) of the NYS Education Law.

18.9 Certification Regarding Individuals Who Have Been Debarred Or Suspended By Federal or State Government

- a) Contractor will certify to the SDOH initially and immediately upon changed circumstances from the last such certification that it does not knowingly have

an individual who has been debarred or suspended by the federal or state government, or otherwise excluded from participating in procurement activities:

- i) as a director, officer, partner or person with beneficial ownership of more than 5% of the Contractor's equity; or
- ii) as a party to an employment, consulting or other agreement with the Contractor for the provision of items and services that are significant and material to the Contractor's obligations in the MMC Program, consistent with requirements of SSA § 1932 (d)(1).

18.10 Conflict of Interest Disclosure

Contractor shall report to SDOH, in a format specified by SDOH, documentation, including but not limited to, the identity of and financial statements of person(s) or corporation(s) with an ownership or contract interest in the Contractor, or with any subcontract(s) in which the Contractor has a 5% or more ownership interest, consistent with requirements of SSA § 1903 (m)(2)(a)(viii) and 42 CFR §§ 455.100 – 455.104.

18.11 Physician Incentive Plan Reporting

If requested by SDOH, the Contractor shall submit to SDOH annual reports containing the information on all of its Physician Incentive Plan arrangements in accordance with 42 CFR § 438.6(h) or, if no such arrangements are in place, attest to that fact upon request of SDOH in a manner and format prescribed by SDOH. The contents and time frame of such reports shall comply with the requirements of 42 CFR §§ 422.208 and 422.210 and be in a format provided by SDOH at the time of the request.

19. RECORDS MAINTENANCE AND AUDIT RIGHTS

19.1 Maintenance of Contractor Performance Records

- a) The Contractor shall maintain and shall require its subcontractors, including its Participating Providers, to maintain appropriate records relating to Contractor performance under this Agreement, including:
 - i) records related to services provided to Enrollees, including a separate Medical Record for each Enrollee that complies with 18 NYCRR 540.7;
 - ii) all financial records and statistical data that LDSS, SDOH and any other authorized governmental agency may require including books, accounts, journals, ledgers, and all financial records relating to capitation payments, third party health insurance recovery, and other revenue received and expenses incurred under this Agreement;
 - iii) appropriate financial records to document fiscal activities and expenditures, including records relating to the sources and application of funds and to the capacity of the Contractor or its subcontractors, including its Participating Providers, if relevant, to bear the risk of potential financial losses.
- b) The record maintenance requirements of this Section shall survive the termination, in whole or in part, of this Agreement.

19.2 Maintenance of Financial Records and Statistical Data

The Contractor shall maintain all financial records and statistical data according to generally accepted accounting principles.

19.3 Access to Contractor Records

The Contractor shall provide SDOH, the Comptroller of the State of New York, DHHS, the Comptroller General of the United States, and their authorized representatives with access to all records relating to Contractor performance under this Agreement for the purposes of examination, audit, and copying (at reasonable cost to the requesting party) of such records. The Contractor shall give access to such records on two (2) business days prior written notice, during normal business hours, unless otherwise provided or permitted by applicable laws, rules, or regulations.

19.4 Retention Periods

The Contractor shall preserve and retain all records relating to Contractor performance under this Agreement in readily accessible form during the term of

this Agreement and for a period of six (6) years thereafter except that the Contractor shall retain Enrollees' medical records that are in the custody of the Contractor for six (6) years after the date of service rendered to the Enrollee or cessation of Contractor operation, and in the case of a minor, for six (6) years after majority. The Contractor shall require and make reasonable efforts to assure that Enrollees' medical records are retained by providers for six (6) years after the date of service rendered to the Enrollee or cessation of Contractor operation, and in the case of a minor, for six (6) years after majority. All provisions of this Agreement relating to record maintenance and audit access shall survive the termination of this Agreement and shall bind the Contractor until the expiration of a period of six (6) years commencing with termination of this Agreement or if an audit is commenced, until the completion of the audit, whichever occurs later. If the Contractor becomes aware of any litigation, claim, financial management review or audit that is started before the expiration of the six (6) year period, the records shall be retained until all litigation, claims, financial management reviews or audit findings involved in the record have been resolved and final action taken.

20. CONFIDENTIALITY

20.1 Confidentiality of Identifying Information about Enrollees, Potential Enrollees and Prospective Enrollees

All information relating to services to Enrollees, Potential Enrollees and Prospective Enrollees which is obtained by the Contractor shall be confidential pursuant to the New York State Public Health Law including PHL Article 27 F, the provisions of Section 369(4) of the SSL, 42 U.S.C. Section 1396a(a)(7) (Section 1902(a)(7) of the SSA), Section 33.13 of the Mental Hygiene Law, and regulations promulgated under such laws including 42 CFR Part 2 pertaining to Alcohol and Substance Abuse Services. Such information, including information relating to services provided to Enrollees, Potential Enrollees and Prospective Enrollees under this Agreement, shall be used or disclosed by the Contractor only for a purpose directly connected with performance of the Contractor's obligations. It shall be the responsibility of the Contractor to inform its employees and contractors of the confidential nature of MMC information, as applicable.

20.2 Medical Records of Foster Children

Medical records of Enrollees enrolled in foster care programs shall be disclosed to local social service officials in accordance with the SSL including Sections 358-a, 384-a and 392 and 18 NYCRR § 507.1.

20.3 Confidentiality of Medical Records

Medical records of Enrollees pursuant to this Agreement shall be confidential and shall be disclosed to and by other persons within the Contractor's organization including Participating Providers, only as necessary to provide medical care, to conduct quality assurance functions and peer review functions, or as necessary to respond to a complaint and appeal under the terms of this Agreement.

20.4 Length of Confidentiality Requirements

The provisions of this Section shall survive the termination of this Agreement and shall bind the Contractor so long as the Contractor maintains any individually identifiable information relating to Enrollees, Potential Enrollees and Prospective Enrollees.

21. PROVIDER NETWORK

21.1 Network Requirements

- a) The Contractor will establish and maintain a network of Participating Providers.
 - i) In establishing the network, the Contractor must consider the following: anticipated Enrollment, expected utilization of services by the population to be enrolled, the number and types of providers necessary to furnish the services in the Benefit Package, the number of providers who are not accepting new patients, and the geographic location of the providers and Enrollees.
 - ii) The Contractor's network must contain all of the types of primary care providers necessary to furnish the prepaid Benefit Package.
 - iii) To be considered accessible, the network must contain a sufficient number and array of primary care providers to meet the diverse needs of the Enrollee population. This includes being geographically accessible (meeting time/distance standards) and being accessible for the disabled.
- b) The Contractor shall not include in its network any provider
 - i) who has been sanctioned or prohibited from participation in Federal health care programs under either Section 1128 or Section 1128A of the Social Security Act; or
 - ii) who has had his/her licensed suspended by the State Education Department or the SDOH Office of Professional Medical Conduct.
- c) The Contractor must require that Participating Providers offer hours of operation that are no less than the hours of operation offered to commercial members or, if the provider serves only MMC Enrollees, comparable to hours offered for Medicaid fee-for-service patients.
- d) The Contractor shall submit its network for SDOH to assess for adequacy through the Health Provider Network (HPN) prior to execution of this Agreement, quarterly thereafter throughout the term of this Agreement, and upon request by SDOH when SDOH determines there has been a significant change that could affect adequate capacity and quarterly thereafter.
- e) Contractor must limit participation to providers who agree that payment received from the Contractor for services included in the Benefit Package is payment in full for services provided to Enrollees.

21.2 Suspension of Enrollee Assignments To Providers

The Contractor shall ensure that there is sufficient capacity, consistent with SDOH standards, to serve Enrollees under this Agreement. In the event any of the Contractor's Participating Providers are no longer able to accept assignment of new Enrollees due to capacity limitations, as determined by the SDOH, the Contractor will suspend assignment of any additional Enrollees to such Participating Provider until it is capable of further accepting Enrollees. When a Participating Provider has more than one (1) site, the suspension will be made by site.

21.3 Credentialing

a) Credentialing/Recredentialing Process

The Contractor shall have in place a formal process, consistent with SDOH Recommended Guidelines for Credentialing Criteria, for credentialing Participating Providers on a periodic basis (not less than once every three (3) years) and for monitoring Participating Providers performance.

b) Licensure

The Contractor shall ensure, in accordance with Article 44 of the Public Health Law, that persons and entities providing care and services for the Contractor in the capacity of physician, dentist, physician assistant, registered nurse, other medical professional or paraprofessional, or other such person or entity satisfy all applicable licensing, certification, or qualification requirements under New York law and that the functions and responsibilities of such persons and entities in providing Benefit Package services under this Agreement do not exceed those permissible under New York law.

c) Minimum Standards

- i) The Contractor agrees that all network physicians will meet at least one (1) of the following standards, except as specified in Section 21.15 (c) and Appendix I of this Agreement:
 - A) Be board-certified or -eligible in their area of specialty;
 - B) Have completed an accredited residency program; or
 - C) Have admitting privileges at one (1) or more hospitals participating in the Contractor's network.

21.4 SDOH Exclusion or Termination of Providers

If SDOH excludes or terminates a provider from its Medicaid program, the Contractor shall, upon learning of such exclusion or termination, immediately terminate the Provider Agreement with the Participating Provider as it pertains to the Contractor's MMC product, and agrees to no longer utilize the services of the subject provider, as applicable. The Contractor shall access information pertaining

to excluded Medicaid providers through the SDOH Health Provider Network (HPN). Such information available to the Contractor on the HPN shall be deemed to constitute constructive notice. The HPN should not be the sole basis for identifying current exclusions or termination of previously approved providers. Should the Contractor become aware, through the HPN or any other source, of an SDOH exclusion or termination, the Contractor shall validate this information with the Office of Medicaid Management, Bureau of Enforcement Activities and comply with the provisions of this Section.

21.5 Application Procedure

- a) The Contractor shall establish a written application procedure to be used by a health care professional interested in serving as a Participating Provider with the Contractor. The criteria for selecting providers, including the minimum qualification requirements that a health care professional must meet to be considered by the Contractor, must be defined in writing and developed in consultation with appropriately qualified health care professionals. Upon request, the application procedures and minimum qualification requirements must be made available to health care professionals.
- b) The selection process may not discriminate against particular providers that serve high-risk populations or specialize in conditions that require costly treatment.
- c) The Contractor may not discriminate for the participation, reimbursement, or indemnification of any provider who is acting within the scope of his or her license or certification under applicable State law, solely on the basis of that license or certification. This does not preclude the Contractor from including providers only to the extent necessary to meet its needs; or from establishing different payment rates for different counties or different providers; or from establishing measures designed to maintain the quality of services and control costs consistent with its responsibilities.
- d) If the Contractor does not approve an individual or group of providers as Participating Providers, it must give the affected providers written notice of the reason for its decision.

21.6 Evaluation Information

The Contractor shall develop and implement policies and procedures to ensure that Participating Providers are regularly advised of information maintained by the Contractor to evaluate their performance or practice. The Contractor shall consult with health care professionals in developing methodologies to collect and analyze Participating Providers profiling data. The Contractor shall provide any such information and profiling data and analysis to its Participating Providers. Such information, data or analysis shall be provided on a periodic basis

appropriate to the nature and amount of data and the volume and scope of services provided. Any profiling data used to evaluate the performance or practice of a Participating Provider shall be measured against stated criteria and an appropriate group of health care professionals using similar treatment modalities serving a comparable patient population. Upon presentation of such information or data, each Participating Provider shall be given the opportunity to discuss the unique nature of his or her patient population which may have a bearing on the Participating Provider's profile and to work cooperatively with the Contractor to improve performance.

21.7 Choice/Assignment of PCP's

- a) The Contractor shall offer each Enrollee the choice of no fewer than three (3) Primary Care Providers within distance/travel time standards as set forth in Section 15.5 of this Agreement.
- b) Contractor must assign a PCP to Enrollees who fail to select a PCP. The assignment of a PCP by the Contractor may occur after written notification to the Contractor of the Enrollment (through Roster or other method) and after written notification of the Enrollee by the Contractor but in no event later than thirty (30) days after notification of Enrollment, and only after the Contractor has made reasonable efforts as set forth in Section 13.6 of this Agreement to contact the Enrollee and inform him/her of his/her right to choose a PCP.
- c) PCP assignments should be made taking into consideration the following:
 - i) Enrollee's geographic location;
 - ii) any special health care needs, if known by the Contractor; and
 - iii) any special language needs, if known by the Contractor.
- d) In circumstances where the Contractor contracts with a multi-provider clinic to deliver primary care services, the Enrollee must choose or be assigned a specific provider or provider team within the clinic to serve as his/her PCP. This "lead" provider will be held accountable for performing the PCP duties.

21.8 Enrollee PCP Changes

- a) The Contractor must allow Enrollees the freedom to change PCPs, without cause, within thirty (30) days of the Enrollee's first appointment with the PCP. After the first thirty (30) days, the Contractor may elect to limit the Enrollee to changing PCPs every six (6) months without cause.
- b) The Contractor must process a request to change PCPs and advise the Enrollee of the effective date of the change within forty-five (45) days of receipt of the request. The change must be effective no later than the first (1st) day of the second (2nd) month following the month in which the request is made.

- c) The Contractor will provide Enrollees with an opportunity to select a new PCP in the event that the Enrollee's current PCP leaves the network or otherwise becomes unavailable. Such changes shall not be considered in the calculation of changes for cause allowed within a six (6) month period.
- d) In the event that an assignment of a new PCP is necessary due to the unavailability of the Enrollee's former PCP, such assignment shall be made in accordance with the requirements of Section 21.7 of this Agreement.
- e) In addition to those conditions and circumstances under which the Contractor may assign an Enrollee a PCP when the Enrollee fails to make an affirmative choice of a PCP, the Contractor may initiate a PCP change for an Enrollee under the following circumstances:
 - i) The Enrollee requires specialized care for an acute or chronic condition and the Enrollee and Contractor agree that reassignment to a different PCP is in the Enrollee's interest.
 - ii) The Enrollee's place of residence has changed such that he/she has moved beyond the PCP travel time/distance standard.
 - iii) The Enrollee's PCP ceases to participate in the Contractor's network.
 - iv) The Enrollee's behavior toward the PCP is disruptive and the PCP has made all reasonable efforts to accommodate the Enrollee.
 - v) The Enrollee has taken legal action against the PCP or the PCP has taken legal action against the Enrollee.
- f) Whenever initiating a change, the Contractor must offer affected Enrollees the opportunity to select a new PCP in the manner described in this Section.

21.9 PCP Status Changes

- a) Enrollees will be notified within fifteen (15) days from the date on which the Contractor becomes aware that such Enrollee's PCP has changed his or her office address or telephone number.
- b) If a PCP ceases participation in the Contractor's network, the Contractor shall provide written notice within fifteen (15) days from the date that the Contractor becomes aware of such change in status to each Enrollee who has chosen the provider as their PCP. In such cases, the notice shall describe the procedures for choosing an alternative PCP and, in the event that the Enrollee is in an ongoing course of treatment with the PCP, the procedures, if applicable, for continuing care consistent with subdivision 6 (e) of PHL Section 4403.
- c) Where an Enrollee's PCP ceases participation with the Contractor, the Contractor must ensure that the Enrollee selects or is assigned to a new PCP within thirty (30) days of the date of the notice to the Enrollee.

21.10 PCP Responsibilities

In conformance with the Benefit Package, the PCP shall provide health counseling and advice; conduct baseline and periodic health examinations; diagnose and treat conditions not requiring the services of a specialist; arrange inpatient care, consultation with specialists, and laboratory and radiological services when medically necessary; coordinate the findings of consultants and laboratories; and interpret such findings to the Enrollee and the Enrollee's family, subject to the confidentiality provisions of Section 20 of this Agreement, and maintain a current medical record for the Enrollee. The PCP shall also be responsible for determining the urgency of a consultation with a specialist and shall arrange for all consultation appointments within appropriate time frames.

21.11 Member to Provider Ratios

- a) The Contractor agrees to adhere to the member-to-PCP ratios shown below. These ratios are Contractor-specific, and assume the practitioner is a full time equivalent (FTE) (defined as a provider practicing forty (40) hours per week for the Contractor):
 - i) No more than 1,500 Enrollees for each physician, or 2,400 for a physician practicing in combination with a registered physician assistant or a certified nurse practitioner.
 - ii) No more than 1,000 Enrollees for each certified nurse practitioner.
- b) The Contractor agrees that these ratios will be prorated for Participating Providers who represent less than a FTE to the Contractor.

21.12 Minimum PCP Office Hours

a) General Requirements

A PCP must practice a minimum of sixteen (16) hours a week at each primary care site.

b) Waiver of Minimum Hours

The minimum office hours requirement may be waived under certain circumstances. A request for a waiver must be submitted by the Contractor to the Medical Director of the Office of Managed Care for review and approval; and the physician must be available at least eight hours/week; and the physician must be practicing in a Health Provider Shortage Area (HPSA) or other similarly determined shortage area; and the physician must be able to fulfill the other responsibilities of a PCP (as described in this Section); and the waiver request must demonstrate there are systems in place to guarantee

continuity of care and to meet all access and availability standards, (24-hr/7 day week coverage, appointment availability, etc.).

21.13 Primary Care Practitioners

a) General Limitations

The Contractor agrees to limit its PCPs to the following primary care specialties: Family Practice, General Practice, General Pediatrics, General Internal Medicine, except as specified in paragraphs (b), (c), and (d) of this Section.

b) Specialist and Sub-specialist as PCPs

The Contractor may restrict its PCP network to primary care specialties only, and rely on standing referrals to specialists and sub-specialists for Enrollees who require regular visits to such physicians.

c) OB/GYN Providers as PCPs

The Contractor, at its option, is permitted to use OB/GYN providers as PCPs, subject to SDOH qualifications.

d) Certified Nurse Practitioners as PCPs

The Contractor is permitted to use certified nurse practitioners as PCPs, subject to their scope of practice limitations under New York State Law.

21.14 PCP Teams

a) General Requirements

The Contractor may designate teams of physicians/certified nurse practitioners to serve as PCPs for Enrollees. Such teams may include no more than four (4) physicians/certified nurse practitioners and, when an Enrollee chooses or is assigned to a team, one of the practitioners must be designated as "lead provider" for that Enrollee. In the case of teams comprised of medical residents under the supervision of an attending physician, the attending physician must be designated as the lead physician.

b) Registered Physician Assistants as Physician Extenders

The Contractor is permitted to use registered physician assistants as physician-extenders, subject to their scope of practice limitations under New York State Law.

c) Medical Residents and Fellows

The Contractor shall comply with SDOH Guidelines for use of Medical Residents and fellows as found in Appendix I, which is hereby made a part of this Agreement as if set forth fully herein.

21.15 Hospitals – Emergency Services

The Contractor shall ensure and demonstrate that it maintains relationships with hospital emergency facilities, within and around its service area to provide Emergency Services.

21.16 Dental Networks

If the Contractor includes dental services in its Benefit Package, the Contractor's dental network shall include geographically accessible general dentists sufficient to offer each Enrollee a choice of two (2) primary care dentists in their Service Area and to achieve a ratio of at least one (1) primary care dentist for each 2,000 Enrollees. Networks must also include at least one (1) pediatric dentist. The network should include dentists with expertise in serving special needs populations (e.g., HIV+ and developmentally disabled patients).

21.17 Laboratory Procedures

The Contractor agrees that if applicable, network physicians will comply with CLIA requirements.

21.18 Federally Qualified Health Centers (FQHCs)

- a) In a county where Enrollment in the Contractor's MMC product is voluntary, the Contractor is not required to contract with FQHCs. However, when an FQHC is a Participating Provider of the Contractor network, the Provider Agreement must include a provision whereby the Contractor agrees to compensate the FQHC for services provided to Enrollees at a payment rate that is not less than the level and amount that the Contractor would pay another Participating Provider that is not an FQHC for a similar set of services.
- b) In a county where Enrollment in the Contractor's MMC product is mandatory the Contractor shall contract with FQHCs operating in that county. The contract with the FQHC must be between the Contractor and the FQHC clinic, not between the Contractor and an individual practitioner at the clinic.
- c) The Department may on a case-by-case basis defer the contracting requirement if it determines there is sufficient access to the FQHC services in a county. The Department reserves the right to rescind the deferment at any time should access to FQHC services in the county change.

- d) When an MCO does not contract with an FQHC, but another MCO in the county contracts with an FQHC, marketing and educational materials must inform Potential Enrollees and Enrollees about the availability of FQHC services. These materials should also advise Potential Enrollees and Enrollees that they have good cause to disenroll from an MCO when the MCO does not contract with an FQHC and another MCO in the county contracts with an FQHC or is an FQHC sponsored MCO.

21.19 Provider Services Function

- a) The Contractor will operate a Provider Services function during regular business hours.
- b) At a minimum, the Contractor's Provider Services staff must be responsible for the following:
 - i) Assisting providers with prior authorization and referral protocols.
 - ii) Assisting providers with claims payment procedures.
 - iii) Fielding and responding to provider questions and complaints.

22. SUBCONTRACTS AND PROVIDER AGREEMENTS

22.1 Written Subcontracts

- a) The Contractor may not enter into any subcontracts related to the delivery of services to Enrollees, except by a written agreement.
- b) If the Contractor enters into subcontracts for the performance of work pursuant to this Agreement, the Contractor shall retain full responsibility for performance of the subcontracted services. Nothing in the subcontract shall impair the rights of the State under this Agreement. No contractual relationship shall be deemed to exist between the subcontractor and the State.
- c) The delegation by the Contractor of its responsibilities assumed by this Agreement to any subcontractors will be limited to those specified in the subcontracts.

22.2 Permissible Subcontracts

Contractor may subcontract for provider services as set forth in Sections 2.6 and 21 of this Agreement and management services including, but not limited to, marketing, quality assurance and utilization review activities and such other services as are acceptable to the SDOH. The Contractor must evaluate the prospective subcontractor's ability to perform the activities to be delegated.

22.3 Provisions of Services through Provider Agreements

All primary care services covered under this Agreement, with the exception of Family Planning and Reproductive Health Services, shall be provided through Provider Agreements with Participating Providers.

22.4 Approvals

- a) Provider Agreements shall require the approval of SDOH as set forth in PHL §4402 and 10 NYCRR Part 98.
- b) If a subcontract is for management services under 10 NYCRR § 98-1.11, it must be approved by SDOH prior to its becoming effective.
- c) The Contractor shall notify SDOH of any material amendments to any Provider Agreement as set forth in 10 NYCRR § 98-1.8.

22.5 Required Components

- a) All subcontracts, including Provider Agreements, entered into by the Contractor to provide program services under this Agreement shall contain provisions specifying:
 - i) the activities and report responsibilities delegated to the subcontractor; and provide for revoking delegation, in whole or in part, and imposing other sanctions if the subcontractor's performance does not satisfy standards set forth in this Agreement, and an obligation for the provider to take corrective action.
 - ii) that the work performed by the subcontractor must be in accordance with the terms of this Agreement; and
 - iii) that the subcontractor specifically agrees to be bound by the confidentiality provisions set forth in this Agreement.
- b) The Contractor shall impose obligations and duties on its subcontractors, including its Participating Providers, that are consistent with this Agreement, and that do not impair any rights accorded to LDSS, SDOH, or DHHS.
- c) No subcontract, including any Provider Agreement, shall limit or terminate the Contractor's duties and obligations under this Agreement.
- d) Nothing contained in this Agreement shall create any contractual relationship between any subcontractor of the Contractor, including its Participating Providers, and SDOH.
- e) Any subcontract entered into by the Contractor shall fulfill the requirements of 42 CFR Part 438 that are appropriate to the service or activity delegated under such subcontract.
- f) The Contractor shall also require that, in the event the Contractor fails to pay any subcontractor, including any Participating Provider in accordance with the subcontract or Provider Agreement, the subcontractor or Participating Provider will not seek payment from the SDOH, LDSS, the Enrollees, or persons acting on an Enrollee's behalf.
- g) The Contractor shall include in every Provider Agreement a procedure for the resolution of disputes between the Contractor and its Participating Providers.
- h) The Contractor shall ensure that all Provider Agreements entered into with Providers require acceptance of a woman's Enrollment in the Contractor's MMC product as sufficient to provide services to her newborn, unless the newborn is excluded from Enrollment in the MMC Program pursuant to

Section 6.1 of this Agreement, or the Contractor does not offer a MMC product in the mother's county of fiscal responsibility.

- i) The Contractor must monitor the subcontractor's performance on an ongoing basis and subject it to formal review according to time frames established by the State, consistent with State laws and regulations, and the terms of this Agreement. When deficiencies or areas for improvement are identified, the Contractor and subcontractor must take corrective action.

22.6 Timely Payment

Contractor shall make payments to Participating Providers and to Non-Participating Providers, as applicable, for items and services covered under this Agreement on a timely basis, consistent with the claims payment procedures described in NYS Insurance Law § 3224-a.

22.7 Recovery of Overpayments to Providers

Consistent with the exception language in § 3224-b of the Insurance Law, the Contractor shall have and retain the right to audit participating providers' claims for a six year period from the date the care, services or supplies were provided or billed, whichever is later, and to recoup any overpayments discovered as a result of the audit. This six year limitation does not apply to situations in which fraud may be involved or in which the provider or agent of the provider prevents or obstructs the Contractor's auditing.

22.8 Restrictions on Disclosure

- a) The Contractor shall not by contract or written policy or written procedure prohibit or restrict any health care provider from the following:
 - i) Disclosing to any subscriber, Enrollee, patient, designated representative or, where appropriate, Prospective Enrollee any information that such provider deems appropriate regarding:
 - A) a condition or a course of treatment with such subscriber, Enrollee, patient, designated representative or Prospective Enrollee, including the availability of other therapies, consultations, or tests; or
 - B) the provisions, terms, or requirements of the Contractor's MMC products as they relate to the Enrollee, where applicable.
 - ii) Filing a complaint, making a report or comment to an appropriate governmental body regarding the policies or practices of the Contractor when they believe that the policies or practices negatively impact upon the quality of, or access to, patient care.

- iii) Advocating to the Contractor on behalf of the Enrollee for approval or coverage of a particular treatment or for the provision of health care services.

22.9 Transfer of Liability

No contract or agreement between the Contractor and a Participating Provider shall contain any clause purporting to transfer to the Participating Provider, other than a medical group, by indemnification or otherwise, any liability relating to activities, actions or omissions of the Contractor as opposed to those of the Participating Provider.

22.10 Termination of Health Care Professional Agreements

a) General Requirements

- i) The Contractor shall not terminate a contract with a health care professional unless the Contractor provides to the health care professional a written explanation of the reasons for the proposed termination and an opportunity for a review or hearing as hereinafter provided. For purposes of this Section a health care professional is an individual licensed, registered or certified pursuant to Title 8 of the Education Law.
- ii) These requirements shall not apply in cases involving imminent harm to patient care, a determination of fraud, or a final disciplinary action by a state licensing board or other governmental agency that impairs the health care professional's ability to practice.

b) Notice of Health Care Professional Termination

- i) When the Contractor desires to terminate a contract with a health care professional, the notification of the proposed termination by the Contractor to the health care professional shall include:
 - A) the reasons for the proposed action;
 - B) notice that the health care professional has the right to request a hearing or review, at the provider's discretion, before a panel appointed by the Contractor;
 - C) a time limit of not less than thirty (30) days within which a health care professional may request a hearing; and
 - D) a time limit for a hearing date which must be held within thirty (30) days after the date of receipt of a request for a hearing.

- c) No contract or agreement between the Contractor and a health care professional shall contain any provision which shall supersede or impair a health care professional's right to notice of reasons for termination and the opportunity for a hearing or review concerning such termination.

22.11 Health Care Professional Hearings

- a) A health care professional that has been notified of his or her proposed termination must be allowed a hearing. The procedures for this hearing must meet the following standards:
 - i) The hearing panel shall be comprised of at least three persons appointed by the Contractor. At least one person on such panel shall be a clinical peer in the same discipline and the same or similar specialty as the health care professional under review. The hearing panel may consist of more than three persons, provided however that the number of clinical peers on such panel shall constitute one-third or more of the total membership of the panel.
 - ii) The hearing panel shall render a decision on the proposed action in a timely manner. Such decision shall include reinstatement of the health care professional by the Contractor, provisional reinstatement subject to conditions set forth by the Contractor or termination of the health care professional. Such decision shall be provided in writing to the health care professional.
 - iii) A decision by the hearing panel to terminate a health care professional shall be effective not less than thirty (30) days after the receipt by the health care professional of the hearing panel's decision. Notwithstanding the termination of a health care professional for cause or pursuant to a hearing, the Contractor shall permit an Enrollee to continue an on-going course of treatment for a transition period of up to ninety (90) days, and post-partum care, subject to the provider's agreement, pursuant to PHL § 4403(6)(e).
 - iv) In no event shall termination be effective earlier than sixty (60) days from the receipt of the notice of termination.

22.12 Non-Renewal of Provider Agreements

Either party to a Provider Agreement may exercise a right of non-renewal at the expiration of the Provider Agreement period set forth therein or, for a Provider Agreement without a specific expiration date, on each January first occurring after the Provider Agreement has been in effect for at least one year, upon sixty (60) days notice to the other party; provided, however, that any non-renewal shall not constitute a termination for the purposes of this Section.

22.13 Notice of Participating Provider Termination

- a) The Contractor shall notify SDOH of any notice of termination or non-renewal of an IPA, or medical group Provider Agreement that serves five percent or more of the enrolled population in a LDSS and/or when the termination or non-renewal of the medical group provider will leave fewer than two Participating Providers of that type within the LDSS, unless immediate termination of the Provider Agreement is justified. The notice shall include an impact analysis of the termination or non-renewal with regard to Enrollee access to care.
- b) The Contractor shall provide such notification to the SDOH ninety (90) days prior to the effective date of the termination of the Provider Agreement or immediately upon notice from such Participating Provider if less than ninety (90) days.
- c) The Contractor shall provide such notification to the SDOH if the Contractor and the Participating Providers have failed to re-execute a renewal Provider Agreement forty-five (45) days prior to the expiration of the current Provider Agreement.
- d) The Contractor shall submit a contingency plan to SDOH, at least forty-five (45) days prior to the termination or expiration of the Provider Agreement, identifying the number of Enrollees affected by the potential withdrawal and specifying how services previously furnished by the Participating Providers will be provided in the event of its withdrawal.
- e) The Contractor shall develop a transition plan for Enrollees who are patients of the departing Participating Provider subject to approval by SDOH. SDOH may direct the Contractor to provide notice to the Enrollees who are patients of PCPs, including available options for the patients, and availability of continuing care, consistent with Section 13.8 of this Agreement, not less than thirty (30) days prior to the termination of the Provider Agreement. In the event that Provider Agreements are terminated with less than the notice period required by this Section, the Contractor shall immediately notify SDOH, and develop a transition plan on an expedited basis and provide notice to affected Enrollees upon SDOH consent to the transition plan and Enrollee notice.
- f) Upon Contractor notice of failure to re-execute, or termination of, a Provider Agreement, the SDOH, in its sole discretion, may waive the requirement of submission of a contingency plan upon a determination by the SDOH that:
 - i) the impact upon Enrollees is not significant, and/or

- ii) the Contractor and Participating Provider are continuing to negotiate in good faith and consent to extend the Provider Agreement for a period of time necessary to provide not less than thirty (30) days notice to Enrollees.
- g) SDOH reserves the right to take any other action permitted by this Agreement and under regulatory or statutory authority, including but not limited to terminating this Agreement.

22.14 Physician Incentive Plan

- a) If Contractor elects to operate a Physician Incentive Plan, the Contractor agrees that no specific payment will be made directly or indirectly to a Participating Provider that is a physician or physician group as an inducement to reduce or limit medically necessary services furnished to an Enrollee. Contractor agrees to submit to SDOH annual reports containing the information on its Physician Incentive Plan in accordance with 42 CFR § 438.6(h). The contents of such reports shall comply with the requirements of 42 CFR §§ 422.208 and 210 and be in a format to be provided by SDOH.
- b) The Contractor must ensure that any Provider Agreements for services covered by this Agreement, such as agreements between the Contractor and other entities or between the Contractor's subcontracted entities and their contractors, at all levels including the physician level, include language requiring that the Physician Incentive Plan information be provided by the sub-contractor in an accurate and timely manner to the Contractor, in the format requested by SDOH.
- c) In the event that the incentive arrangements place the Participating physician or physician group at risk for services beyond those provided directly by the physician or physician group for an amount beyond the risk threshold of 25% of potential payments for covered services (substantial financial risk), the Contractor must comply with all additional requirements listed in regulation, such as: conduct Enrollee/disenrollee satisfaction surveys; disclose the requirements for the Physician Incentive Plans to its beneficiaries upon request; and ensure that all physicians and physician groups at substantial financial risk have adequate stop-loss protection. Any of these additional requirements that are passed on to the subcontractors must be clearly stated in their Provider Agreement.

23. FRAUD AND ABUSE

23.1 General Requirements

The Contractor shall comply with the Federal fraud and abuse requirements of 42 CFR §§ 455.1 and 455.17.

23.2 Prevention Plans and Special Investigation Units

If the Contractor has over 10,000 Enrollees in the aggregate in any given year, the Contractor must file a Fraud and Abuse Prevention Plan with the Commissioner of Health and develop a special investigation unit for the detection, investigation and prevention of fraudulent activities to the extent required by PHL § 4414 and SDOH regulations.

24. AMERICANS WITH DISABILITIES ACT COMPLIANCE PLAN

Contractor must comply with Title II of the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973 for program accessibility, and must develop an ADA Compliance Plan consistent with the SDOH Guidelines for MCO Compliance with the ADA which are set forth in Appendix J, which is hereby made a part of this Agreement as if set forth fully herein. Said plan must be approved by the SDOH, be filed with the SDOH, and be kept on file by the Contractor.

25. FAIR HEARINGS

25.1 Enrollee Access to Fair Hearing Process

Enrollees may access the fair hearing process in accordance with applicable federal and state laws and regulations. Contractors must abide by and participate in New York State's Fair Hearing Process and comply with determinations made by a fair hearing officer.

25.2 Enrollee Rights to a Fair Hearing

Enrollees may request a fair hearing regarding adverse LDSS determinations concerning enrollment, disenrollment and eligibility, and regarding a negative determination of the Contractor which upholds a decision by a PCP to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested. For issues related to disputed services, Enrollees must have received a negative Complaint determination from the Contractor confirming the decision of a Participating Provider to deny those services. An Enrollee may also seek a fair hearing for a failure by the Contractor to act with reasonable promptness with respect to Complaints about a PCP's decision to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested. Reasonable promptness shall mean compliance

with the timeframes established for review of Complaints in Appendix F of this Agreement and applicable Federal regulations.

25.3 Contractor Notice to Enrollees

- a) Contractor must issue a written notice of a negative Complaint determination, “Managed Care Action Taken”, and right to fair hearing within applicable time frames to any Enrollee when a negative determination is made regarding a Complaint about a PCP’s decision to deny a request for a referral, or to deny or reduce a benefit or service, to authorize the service for less than requested, as provided in Appendix F of this Agreement.
- b) Contractor agrees to serve notice of fair hearing rights on affected Enrollees by mail and must maintain documentation of such.

25.4 Aid Continuing

- a) Contractor shall be required to continue the provision of the Benefit Package services that are the subject of the fair hearing to an Enrollee (hereafter referred to as “aid continuing”) if so ordered by the NYS Office of Administrative Hearings (OAH) under the following circumstances:
 - i) Contractor has determined to uphold a decision of a PCP to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize the service for less than requested;
 - ii) Enrollee has filed a timely request for a fair hearing with OAH; and
 - iii) There is a valid order for the treatment or service from a Participating Provider.
- b) Contractor shall provide aid continuing until the matter has been resolved to the Enrollee’s satisfaction or until the administrative process is completed and there is a determination from OAH that Enrollee is not entitled to receive the service; the Enrollee withdraws the request for aid continuing and/or the fair hearing in writing; or the treatment or service originally ordered by the provider has been completed, whichever occurs first.
- c) If the services and/or benefits in dispute have been reduced and the Enrollee timely requests a fair hearing, Contractor shall, at the direction of either SDOH or LDSS, restore the disputed services and/or benefits consistent with the provisions of Section 25.4 (b) of this Agreement.

25.5 Responsibilities of SDOH

SDOH will make every reasonable effort to ensure that the Contractor receives timely notice in writing by fax, or e-mail, of all requests, schedules and directives regarding fair hearings.

25.6 Contractor's Obligations

- a) Contractor shall appear at all scheduled fair hearings concerning its clinical determinations to present evidence as justification for its determination or submit written evidence as justification for its determination regarding the disputed benefits and/or services. If Contractor will not be making a personal appearance at the fair hearing, the written material must be submitted to OAH and Enrollee or Enrollee's representative at least three (3) business days prior to the scheduled hearing. If the hearing is scheduled fewer than three (3) business days after the request, Contractor must deliver the evidence to the hearing site no later than one (1) business day prior to the hearing, otherwise Contractor must appear in person. Notwithstanding the above provisions, Contractor may be required to make a personal appearance at the discretion of the hearing officer and/or SDOH.
- b) Despite an Enrollee's request for a State fair hearing in any given dispute, Contractor is required to maintain and operate in good faith its own internal Complaint and Appeal processes as required under state and federal laws and by Section 14 and Appendix F of this Agreement. Enrollees may seek redress of a negative Complaint determination about a PCP's decision to deny a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested, simultaneously through Contractor's internal process and the State fair hearing process. If Contractor has reversed its initial determination and provided the service to the Enrollee, Contractor may request a waiver from appearing at the hearing and, in submitted papers, explain that it has withdrawn its initial determination and is providing the service or treatment formerly in dispute.
- c) Contractor shall comply with all determinations rendered by OAH at fair hearings. Contractor shall cooperate with SDOH efforts to ensure that Contractor is in compliance with fair hearing determinations. Failure by Contractor to maintain such compliance shall constitute breach of this Agreement. Nothing in this Section shall limit the remedies available to SDOH, LDSS or the federal government relating to any non-compliance by Contractor with a fair hearing determination or Contractor's refusal to provide disputed services.
- d) If SDOH investigates a Complaint that has as its basis the same dispute that is the subject of a pending fair hearing and, as a result of its investigation, concludes that the disputed services and/or benefits should be provided to the

Enrollee, Contractor shall comply with SDOH's directive to provide those services and/or benefits and provide notice to OAH and Enrollee as required by Section 25.6(b) of this Agreement.

- e) If SDOH, through its Complaint investigation process, or OAH, by a determination after a fair hearing, directs Contractor to provide or authorize a service that was initially denied by the PCP and the decision upheld by the Contractor, the Contractor may either directly provide the service, or arrange for the provision of that service. If the services were not furnished during the period the fair hearing was pending, the Contractor must authorize or furnish the disputed services promptly and as expeditiously as the Enrollee's health condition requires.
- f) Contractor agrees to abide by changes made to this Section of the Agreement with respect to the fair hearing, Complaint and Appeal processes by SDOH in order to comply with any amendments to applicable state or federal statutes or regulations.
- g) Contractor agrees to identify a contact person within its organization who will serve as a liaison to SDOH for the purpose of receiving fair hearing requests, scheduled fair hearing dates and adjourned fair hearing dates and compliance with State directives. Such individual: shall be accessible to the State by e-mail; shall monitor e-mail for correspondence from the State at least once every business day; and shall agree, on behalf of Contractor, to accept notices to Contractor transmitted via e-mail as legally valid.
- h) The information describing fair hearing rights, aid continuing, Complaint and Appeal procedures shall be included in all MMC member handbooks and shall comply with Section 14, Appendix F and Appendix E of this Agreement.
- i) Contractor shall bear the burden of proof at hearings regarding a Complaint determination to uphold a PCP's decision to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested. In the event that Contractor's initial negative determination is upheld as a result of a fair hearing, any aid continuing provided pursuant to that hearing request, may be recouped by Contractor or the State, as applicable.

26. Reserved

27. INTERMEDIATE SANCTIONS

27.1 General

The Contractor is subject to the imposition of sanctions as authorized by State and Federal law and regulation, including the SDOH's right to impose sanctions for

unacceptable practices as set forth in this section and 18 NYCRR Part 515 and civil and monetary penalties pursuant to 18 NYCRR Part 516 and 42 CFR § 438.700, and such other sanctions and penalties as are authorized by local laws and ordinances and resultant administrative codes, rules and regulations related to the Medical Assistance Program or to the delivery of the contracted for services.

27.2 Unacceptable Practices

- a) Unacceptable practices for which the Contractor may be sanctioned include but are not limited to:
 - i) Failing to provide medically necessary services that the Contractor is required to provide under its contract with the State.
 - ii) Imposing premiums or charges on Enrollees that are in excess of the premiums or charges permitted under the MMC Program
 - iii) Discriminating among Enrollees on the basis of their health status or need for health care services.
 - iv) Misrepresenting or falsifying information that it furnishes to an Enrollee, Potential Enrollee, health care provider, the State or to CMS.
 - v) Failing to comply with the requirements for Physician Incentive Plans, as set forth in 42 CFR §§ 422.208 and 422.210.
 - vi) Distributing directly or through any agent or independent contractor, Marketing materials that have not been approved by the State or that contain false or materially misleading information.
 - vii) Violating any other applicable requirements of SSA §§ 1903(m) or 1932 and any implementing regulations.
 - viii) Violating any other applicable requirements of 18 NYCRR or 10 NYCRR Part 98.
 - ix) Failing to comply with the terms of this Agreement.

27.3 Intermediate Sanctions

- a) Intermediate Sanctions may include but are not limited to:
 - i) Civil monetary penalties.
 - ii) Suspension of all new enrollment, including auto assignments, after the effective date of the sanction.

iii) Termination of the contract, pursuant to Section 2.7 of this Agreement.

27.4 Enrollment Limitations

The SDOH shall have the right, upon notice to the LDSS, to limit, suspend or terminate Enrollment activities by the Contractor and/or Enrollment into the Contractor's MMC product upon ten (10) days written notice to the Contractor. The written notice shall specify the action(s) contemplated and the reason(s) for such action(s) and shall provide the Contractor with an opportunity to submit additional information that would support the conclusion that limitation, suspension or termination of Enrollment activities or Enrollment in the Contractor's MMC product is unnecessary. Nothing in this paragraph limits other remedies available to the SDOH or the LDSS under this Agreement.

27.5 Due Process

The Contractor will be afforded due process pursuant to Federal and State Law and Regulations (42 CFR §438.710, 18 NYCRR Part 516, and Article 44 of the PHL).

28. ENVIRONMENTAL COMPLIANCE

The Contractor shall comply with all applicable standards, orders, or requirements issued under Section 306 of the Clean Air Act 42 U.S.C. Section 1857(h), Section 508 of the Federal Water Pollution Control Act as amended (33 U.S.C. Section 1368), Executive Order 11738, and the Environmental Protection Agency ("EPA") regulations (40 CFR Part 15) that prohibit the use of the facilities included on the EPA List of Violating Facilities. The Contractor shall report violations to SDOH and to the Assistant Administrator for Enforcement of the EPA.

29. ENERGY CONSERVATION

The Contractor shall comply with any applicable mandatory standards and policies relating to energy efficiency that are contained in the State Energy Conservation regulation issued in compliance with the Energy Policy and Conservation Act of 1975 (Pub. L. 94-165) and any amendment to the Act.

30. INDEPENDENT CAPACITY OF CONTRACTOR

The parties agree that the Contractor is an independent Contractor, and that the Contractor, its agents, officers, and employees act in an independent capacity and not as officers or employees of LDSS, SDOH or the DHHS.

31. NO THIRD PARTY BENEFICIARIES

Only the parties to this Agreement and their successors in interest and assigns have any rights or remedies under or by reason of this Agreement.

32. INDEMNIFICATION

32.1 Indemnification by Contractor

- a) The Contractor shall indemnify, defend, and hold harmless the SDOH and the LDSS, and their officers, agents, and employees, and the Enrollees and their eligible dependents from:
 - i) any and all claims and losses accruing or resulting to any and all Contractors, subcontractors, materialmen, laborers, and any other person, firm, or corporation furnishing or supplying work, services, materials, or supplies in connection with the performance of this Agreement;
 - ii) any and all claims and losses accruing or resulting to any person, firm, or corporation that may be injured or damaged by the Contractor, its officers, agents, employees, or subcontractors, including Participating Providers, in connection with the performance of this Agreement;
 - iii) any liability, including costs and expenses, for violation of proprietary rights, copyrights, or rights of privacy by the Contractor, its officers, agents, employees or subcontractors, arising out of the publication, translation, reproduction, delivery, performance, use, or disposition of any data furnished under this Agreement, or based on any libelous or otherwise unlawful matter contained in such data.
- b) The SDOH will provide the Contractor with prompt written notice of any claim made against the SDOH, and the Contractor, at its sole option, shall defend or settle said claim. The SDOH shall cooperate with the Contractor to the extent necessary for the Contractor to discharge its obligation under Section 32.1 (a).
- c) The Contractor shall have no obligation under this section with respect to any claim or cause of action for damages to persons or property solely caused by the negligence of SDOH, its employees, or agents.

32.2 Indemnification by SDOH

Subject to the availability of lawful appropriations as required by State Finance Law Section 41 and consistent with § 8 of the State Court of Claims Act, SDOH shall hold the Contractor harmless from and indemnify it for any final judgment of a court of competent jurisdiction to the extent attributable to the negligence of

SDOH or its officers or employees when acting within the course and scope of their employment. Provisions concerning the SDOH's responsibility for any claims for liability as may arise during the term of this Agreement are set forth in the New York State Court of Claims Act, and any damages arising for such liability shall issue from the New York State Court of Claims Fund or any applicable, annual appropriation of the Legislature of the State of New York.

33. PROHIBITION ON USE OF FEDERAL FUNDS FOR LOBBYING

33.1 Prohibition of Use of Federal Funds for Lobbying

The Contractor agrees, pursuant to 31 U.S.C. Section 1352 and 45 CFR Part 93, that no Federally appropriated funds have been paid or will be paid to any person by or on behalf of the Contractor for the purpose of influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the award of any Federal contract, the making of any federal grant, the making of any Federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. The Contractor agrees to complete and submit the "Certification Regarding Lobbying", Appendix B attached hereto and incorporated herein, if this Agreement exceeds \$100,000.

33.2 Disclosure Form to Report Lobbying

If any funds other than Federally appropriated funds have been paid or will be paid to any person for the purpose of influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the award of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement, and the Agreement exceeds \$100,000, the Contractor shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.

33.3 Requirements of Subcontractors

The Contractor shall include the provisions of this Section in its subcontracts, including its Provider Agreements. For all subcontracts, including Provider Agreements, that exceed \$100,000, the Contractor shall require the subcontractor, including any Participating Provider to certify and disclose accordingly to the Contractor.

34. NON-DISCRIMINATION

34.1 Equal Access to Benefit Package

Except as otherwise provided in applicable sections of this Agreement the Contractor shall provide the Medicaid Managed Care Benefit Package to MMC Enrollees, respectively, in the same manner, in accordance with the same standards, and with the same priority as members of the Contractor enrolled under any other contracts.

34.2 Non-Discrimination

The Contractor shall not discriminate against Eligible Persons or Enrollees for Medicaid Managed Care on the basis of age, sex, race, creed, physical or mental handicap/developmental disability, national origin, sexual orientation, type of illness or condition, need for health services, or Capitation Rate that the Contractor will receive for such Eligible Persons or Enrollees.

34.3 Equal Employment Opportunity

Contractor must comply with Executive Order 11246, entitled "Equal Employment Opportunity", as amended by Executive Order 11375, and as supplemented in Department of Labor regulations.

34.4 Native Americans Access to Services From Tribal or Urban Indian Health Facility

The Contractor shall not prohibit, restrict or discourage enrolled Native Americans from receiving care from or accessing Medicaid reimbursed health services from or through a tribal health or urban Indian health facility or center which is included in the Contractor's network.

35. COMPLIANCE WITH APPLICABLE LAWS

35.1 Contractor and SDOH Compliance With Applicable Laws

Notwithstanding any inconsistent provisions in this Agreement, the Contractor and SDOH shall comply with all applicable requirements of the State Public Health Law; the State Social Services Law; Title XIX of the Social Security Act; Title VI of the Civil Rights Act of 1964 and 45 CFR Part 80, as amended; Title IX of the Education Amendments of 1972; Section 504 of the Rehabilitation Act of 1973 and 45 CFR Part 84, as amended; Age Discrimination Act of 1975 and 45 CFR Part 91, as amended; the Americans with Disabilities Act; Title XIII of the Federal Public Health Services Act, 42 U.S.C Section 300e et seq., regulations promulgated thereunder; the Health Insurance Portability and Accountability Act of 1996 (P.L. 104-191) and related regulations; and all other applicable legal and regulatory requirements in effect at the time that this Agreement is signed and as

adopted or amended during the term of this Agreement. The parties agree that this Agreement shall be interpreted according to the laws of the State of New York.

35.2 Nullification of Illegal, Unenforceable, Ineffective or Void Contract Provisions

Should any provision of this Agreement be declared or found to be illegal or unenforceable, ineffective or void, then each party shall be relieved of any obligation arising from such provision; the balance of this Agreement, if capable of performance, shall remain in full force and effect.

35.3 Certificate of Authority Requirements

The Contractor must satisfy conditions for issuance of a certificate of authority, including proof of financial solvency, if applicable, as specified in 10 NYCRR § 98.6.

35.4 Notification of Changes in Certificate of Incorporation

The Contractor shall notify SDOH of any amendment to its Certificate of Incorporation or Articles of Organization pursuant to 10 NYCRR Section 98.4(a).

35.5 Informed Consent Procedures for Hysterectomy and Sterilization

The Contractor is required and shall require Participating Providers to comply with the informed consent procedures for Hysterectomy and Sterilization specified in 42 CFRPart 441, sub-part F, and 18 NYCRR Section 505.13.

35.6 Non-Liability of Enrollees for Contractor's Debts

Contractor agrees that in no event shall the Enrollee become liable for the Contractor's debts as set forth in SSA § 1932(b)(6).

35.7 SDOH Compliance With Conflict of Interest Laws

SDOH and its employees shall comply with General Municipal Law Article 18 and all other appropriate provisions of New York State law, local laws and ordinances and all resultant codes, rules and regulations pertaining to conflicts of interest.

36. NEW YORK STATE STANDARD CONTRACT CLAUSES

Appendix A (Standard Clauses as required by the Attorney General for all State contracts) is attached and incorporated as if set forth fully herein and any amendment thereto, and takes precedence over all other parts of this Agreement.

APPENDIX A

New York State Standard Clauses

APPENDIX B-1

Certification Regarding MacBride Fair Employment Principles

APPENDIX B-1

NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND: MacBRIDE FAIR EMPLOYMENT PRINCIPLES

Note: Failure to stipulate to these principles may result in the contract being awarded to another bidder. Governmental and non-profit organizations are exempted from this stipulation requirement.

In accordance with Chapter 807 of the Laws of 1992 (State Finance Law Section 174-b), the Contractor, by signing this Agreement, certifies that it or any individual or legal entity in which the Contractor holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the Contractor, either:

- has business operations in Northern Ireland: Y____ N____
- if yes to above, shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to non-discrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of their compliance with such Principles:

Y____ N____

APPENDIX B

Certification Regarding Lobbying

APPENDIX B
CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge, that:

1. No Federal appropriated funds have been paid or will be paid to any person by or on behalf of the Contractor for the purpose of influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of a Member of Congress in connection with the award of any Federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for the purpose of influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with the award of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement, and the Agreement exceeds \$100,000, the Contractor shall complete and submit Standard Form - LLL "Disclosure Form to Report Lobbying", in accordance with its instructions.
3. The Contractor shall include the provisions of this section in all provider Agreements under this Agreement and require all Participating providers whose Provider Agreements exceed \$100,000 to certify and disclose accordingly to the Contractor.

This certification is a material representation of fact upon which reliance was place when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction pursuant to U.S.C. Section 1352. The failure to file the required certification shall subject the violator to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

DATE: _____

SIGNATURE: _____

TITLE: _____

ORGANIZATION: _____

APPENDIX C
New York State Department of Health Requirements for the Provision of Family Planning
and Reproductive Health Services
Primary Care Partial Capitation Providers

**NEW YORK STATE DEPARTMENT OF HEALTH REQUIREMENTS
FOR THE PROVISION OF
FAMILY PLANNING AND REPRODUCTIVE HEALTH SERVICES**

1. Family Planning and Reproductive Health Services
 - a) Enrollees may obtain Family Planning and or Reproductive Health services and HIV blood testing and pre-and post-test counseling when performed as part of a Family Planning and Reproductive Health encounter from either the Contractor or from any appropriate Medicaid-enrolled health care provider of the Enrollee's choice. No referral from the PCP is required to access such services.
 - b) Family Planning and Reproductive Health services means the offering, arranging and furnishing of those health services which enable individuals, including minors who may be sexually active, to prevent or reduce the incidence of unwanted pregnancies.
 - c) Family Planning and Reproductive Health services include: the following medically-necessary services, related drugs and supplies which are furnished or administered under the supervision of a physician, licensed midwife or certified nurse practitioner during the course of a Family Planning and Reproductive Health visit for the purpose of:
 - i) contraception, including all FDA-approved birth control methods, devices such as insertion/removal of an intrauterine device (IUD), or insertion/removal of contraceptive implants, and injection procedures involving Pharmaceuticals such as Depo-Provera;
 - ii) emergency contraception and follow-up;
 - iii) sterilization;
 - iv) screening, related diagnosis, and referral to an appropriate provider for pregnancy;
 - v) medically-necessary induced abortions which are procedures, either medical or surgical, which result in the termination of pregnancy. The determination of medical necessity shall include positive evidence of pregnancy, with an estimate of its duration.
 - d) Family Planning and Reproductive Health services include those education and counseling services necessary to make the services effective.
 - e) When clinically indicated, the following services may be provided as a part of a Family Planning and Reproductive Health visit:
 - i) screening, related diagnosis, ambulatory treatment and referral as needed for dysmenorrhea, cervical cancer, or other pelvic abnormality/pathology.
 - ii) screening, related diagnosis and referral for anemia, cervical cancer, glycosuria, proteinuria, hypertension and breast disease.
 - iii) screening and treatment for sexually transmissible disease.
 - iv) HIV blood testing and pre and post counseling
 - f) Providers of Family Planning and Reproductive Health care shall comply with all of the requirements set forth in Sections 17 and 18 of the New York State Public Health Law, and 10 NYCRR Section 751.9 and Part 753 relating to informed consent and confidentiality.

- g) The above Family Planning and Reproductive Health services are the only services which are covered under the free access policy and do not require a referral from the PCP. Routine obstetric and/or gynecologic care, including hysterectomies, pre-natal, delivery and post-partum care are Referred services.

2. Contractor Responsibility

a) Enrollee Information

The Contractor is responsible for ensuring Enrollees are informed about the availability of and have access to Family Planning and Reproductive Health services. The Contractor must perform certain activities as part of this responsibility. The Contractor may delegate these responsibilities to the individual PCP.

- i) The Contractor will inform Prospective Enrollees, new Enrollees and current Enrollees that:
 - A) Family Planning and Reproductive Health services are available and may be obtained through fee-for-service Medicaid from any provider who offers these services and, who accepts Medicaid, including the Primary Care Practitioner.
 - B) No referral or prior approval is required for such services, and that there will be no cost to the Enrollee for such services.
 - C) A list of Family Planning and Reproductive Health services providers in the Enrollee's community.
 - D) Enrollees or Prospective Enrollees can call the New York State Growing-Up-Healthy-Hotline (1-800-522-5006) for information about how to obtain these services.
- ii) This information will be provided to Enrollees in the following manner:
 - A) Through the Contractor's written marketing materials, and through the member handbook.
 - B) Orally, at the time of enrollment, and any time an inquiry is made regarding Family Planning or Reproductive Health services. When an Enrollee or Prospective Enrollee requests the information, the Contractor will mail these materials within 48 hours of the contract.
- iii) SDOH will provide the Contractor with a letter, on SDOH letterhead, addressed to the Contractor' Enrollees, affirming the right of each Enrollee to receive Family Planning and Reproductive Health services under the Medicaid program. SDOH will also provide the Contractor with an SDOH or the county Department of Social Services ("county DSS") approved list of Family Planning and Reproductive Health providers for each service area within which the Contractor maintains operations. This same letter and list will be used should the state or county initiate a mailing of their own. With the advent of mandatory enrollment and auto-assignment, the Contractor will provide all new Enrollees with the SDOH letter and the SDOH-approved or county DSS-approved list of Family Planning and Reproductive Health providers.

b). Provider Information:

- i) The Contractor will inform its primary care providers that they must ensure that Enrollees are aware of the availability of, and how to access Family Planning and Reproductive Health services. Primary Care Practitioners (PCPs) must advise Enrollees that they may receive these services from any provider they choose. The Contractor will furnish each of the PCPs with a copy of the SDOH-approved or county DSS-approved list of Family Planning and Reproductive Health providers when the provider contracts to render services to the Contractor's Enrollees, and each time SDOH or the county DSS provides the Contractor with an updated list.
- ii) The Contractor will develop procedures for informing its primary care providers that the primary care providers may provide, make referrals or arrange for these services in accordance with MA fee-for-service billing policies.

c) Quality assurance initiatives to ensure compliance with this policy will include the following procedures:

- i) The Contractor will submit any materials to be furnished to Enrollees and Participating Providers relating to access to Family Planning and Reproductive Health and reproductive health services to the LDSS and to SDOH, Office of Managed Care, for its review and approval before issuance. Such materials will include member handbooks, provider manuals, and marketing materials.
- ii) To ensure that Enrollees are provided with information about the availability of Family Planning and Reproductive Health services, the Contractor is required to:
 - A) Maintain a log of all requests for such information, including the date of the call, the Enrollee's ID number, and the date the SDOH letter and SDOH-approved or county DSS-approved list was mailed. This log must be reviewed monthly and be made available upon request to SDOH, by county. (A copy of this log is attached.)
 - C) Monitor calls to ensure that enrollees who ask for information about the availability of Family Planning and Reproductive Health services receive the appropriate information.
 - D) Provide all new employees with a copy of this policy. Training/orientation programs will include a thorough discussion of all aspects of this policy and procedure. Annual retraining programs for **all** employees will also be conducted to ensure continuing compliance with this policy.

Appendix D

New York State Department of Health Marketing Guidelines

D.1 Marketing Plans

D.2 Marketing Materials

D.3 Marketing Activities

MARKETING GUIDELINES

1. General

- a) The purpose of these guidelines is to provide an operational framework for localities and managed care organizations (MCOs) offering MMC products in the development of MCO Marketing plans, materials, and activities and to describe SDOH's Marketing rules, MCO Marketing requirements, and prohibited practices.
- b) If the Contractor's Marketing activities do not comply with the Marketing Guidelines set forth in this Appendix or the Contractor's approved Marketing plan, the SDOH, in consultation with the LDSS, may take any action pursuant to Section 11.5 of this Agreement it, in its sole discretion, deems necessary to protect the interests of Prospective Enrollees, Potential Enrollees and Enrollees and the integrity of the MMC Programs.
- c) This Appendix contains the following sections:
 - i) D.1, Marketing Plans;
 - ii) D.2, Marketing Materials; and
 - iii) D.3, Marketing Activities.

D.1 Marketing Plans

1. The Contractor shall develop a Marketing plan that meets SDOH guidelines.
2. The SDOH is responsible for the review and approval of the Contractor's Marketing plan.
3. Approved Marketing plans set forth the allowable terms and conditions and the proposed activities that the Contractor intends to undertake during the contract period.
4. The Contractor must have on file with the SDOH and each LDSS in its contracted service area, an SDOH-approved Marketing plan, prior to the contract award date or before Marketing and enrollment begin, whichever is sooner. Subsequent changes to the Marketing plan must be submitted to SDOH for approval at least sixty (60) days before implementation.
5. The Marketing plan shall include: a stated Marketing goal and strategies; Marketing activities; a description of the information provided by marketers, including an overview of managed care; and staff training, development and responsibilities. The following must be included in the Contractor's description of materials to be used: distribution methods; primary Marketing locations, and a listing of the kinds of community service events the Contractor anticipates sponsoring and/or participating in for the purposes of providing information and/or distributing Marketing materials.
6. The Contractor must describe how it is able to meet the informational needs, related to Marketing, for the physical and cultural diversity of Prospective Enrollees. This may include, but not be limited to: a description of the Contractor's provisions for Non-English speaking Prospective Enrollees, interpreter services, alternate communication mechanisms, including sign language, Braille, audio tapes, and/or use of Telecommunications Device for the Deaf (TDD)/TTY services and how the Contractor will make oral interpretation services available to Potential Enrollees and Enrollees free of charge.
7. The Contractor shall describe measures for monitoring and enforcing compliance with these Guidelines by its Marketing Representatives and its Participating Providers including: the prohibition of door-to-door solicitation and cold-call telephoning; a description of the development of mailing lists of Prospective Enrollees that maintains client confidentiality and that honors the client's express request for direct contact by the Contractor; a description and planned means of distribution of pre-enrollment gifts and incentives to Prospective Enrollees; and a description of the training, compensation and supervision of its Marketing Representatives.

D.2 Marketing Materials

1. Definitions

- a) Marketing materials generally include the concepts of advertising, public service announcements, printed publications, and other broadcast or electronic messages designed to increase awareness and interest in the Medicaid Managed Care Program and/or the Contractor's MMC product. The target audience for MMC Marketing materials is MMC Eligible Persons who are not enrolled in a MCO offering a MMC product, and who are living in the Contractor's service area, if the Contractor offers a MMC product.
- b) Marketing materials include any information that references the MMC Program, is intended for general distribution, and is produced in a variety of print, broadcast, and direct Marketing mediums. These generally include: radio, television, billboards, newspapers, leaflets, informational brochures, videos, telephone book yellow page ads, letters, and posters. Additional materials requiring Marketing approval include a listing of items to be provided as nominal gifts or incentives.

2. Marketing Material Requirements

- a) Marketing materials must be written in prose that is understood at a fourth-to sixth-grade reading level and must be printed in at least ten (10) point type.
- b) Marketing materials must be made available throughout the Contractor's entire service area. Materials may be customized for specific counties and populations within the Contractor's service area. All Marketing activities should provide for equitable distribution of materials without bias toward or against any group.
- c) The Contractor must make available written Marketing and other informational materials (e.g., member handbooks) in a language other than English whenever at least five percent (5%) of the Prospective Enrollees of the Contractor in any county of the service area speak that particular language and do not speak English as a first language. SDOH will inform the Contractor when the 5% threshold has been reached. Marketing materials to be translated include those key materials, such as informational brochures, that are produced for routine distribution, and which are included within the Contractor's Marketing plan. SDOH will determine the need for other-than-English translations based on county-specific census data or other available measures.
- d) Alternate forms of communications must be provided for persons with visual, hearing, speech, physical, or developmental disabilities. These alternate forms include Braille or audiotapes for the visually impaired, TTY access for those with certified speech or hearing disabilities, and use of American Sign Language and/or integrative technologies.

- e) The Contractor's name, mailing address (and location, if different), and toll-free phone number must be prominently displayed on the cover of all multi-paged Marketing materials.
- f) Marketing materials must not contain false, misleading, or ambiguous information--such as "You have been pre-approved for the XYZ Health Plan," or "If you do not choose a plan you will lose your Medicaid coverage," or "You get free, unlimited visits." Materials must not use broad, sweeping statements.
- g) The material must accurately reflect general information, which is applicable to the average consumer of the MMC Program.
- h) The Contractor may not use logos or wording used by government agencies if such use could imply or cause confusion about a connection between a governmental agency and the Contractor.
- i) Marketing materials may not make reference to incentives that may be available to Enrollees after they enroll in the Contractor's MMC product, such as "If you join the XYZ Plan, you will receive a free baby carriage after you complete eight prenatal visits."
- j) Marketing materials that are prepared for distribution or presentation by the LDSS, Enrollment Broker, or SDOH-approved Enrollment Facilitators, must be provided in a manner that is easily understood and appropriate to the target audience. The material covered must include sufficient information to assist the individual in making an informed choice of MCO.
- k) The Contractor shall advise Prospective Enrollees, in written materials related to Enrollment, to verify with the medical services providers they prefer, or have an existing relationship with, that such medical services providers are Participating Providers of the selected MCO and are available to serve the Enrollee.
- l) Marketing materials shall not mention other MCOs offering MMC products by name except for materials approved by SDOH and developed to present available MCO choices in an unbiased manner or as part of a transition of Enrollees from an MCO that withdraws from the MMC Program.

3. Prior Approvals

- a) The SDOH will review and approve the Contractor's Marketing plan and all Marketing materials and advertising.
- b) The SDOH will coordinate its review and approval of materials that are specific to one local district with the affected LDSS.

- c) The SDOH will adhere to a sixty (60) day "file and use" policy, whereby materials submitted by the Contractor must be reviewed and commented on within sixty (60) days of submission or the Contractor may assume the materials have been approved if the reviewer has not submitted any written comment.

4. Dissemination of Outreach Materials

- a) Upon request, the Contractor shall provide to the LDSS, Enrollment Broker and/or SDOH-approved Enrollment Facilitators, sufficient quantities of approved Marketing materials or alternative informational materials that describe coverage in the LDSS jurisdiction.
- b) The Contractor shall, upon request, submit to the LDSS, Enrollment Broker, or SDOH-approved Enrollment Facilitators, current provider directories, as described in Section 13.2 of this Agreement, together with information that describes how to determine whether a provider is presently available.

D.3 Marketing Activities

1. Description and Requirements

- a) Marketing includes any occasion during which Marketing information and material regarding MMC Programs and information about the Contractor's MMC products are presented to Prospective Enrollees. Marketing activities include verbal presentations or distribution of written materials, which may or may not be accompanied by the giving away of nominal gifts.
- b) With prior LDSS approval, the Contractor may engage in Marketing activities that include community-sponsored social gatherings, provider-hosted informational sessions, or Contractor-sponsored events. Events may include such activities as health fairs, workshops on health promotion, holiday parties, after school programs, raffles, etc. These events must not be restricted to Potential Enrollees.
- c) The Contractor may conduct media campaigns (i.e., distribution of information/materials regarding the MMC Programs and/or its specific MMC products to encourage Prospective Enrollees to enroll in its MMC product). All media materials, including television, radio, billboards, subway and bus posters, and electronic messages, must be pre-approved by the SDOH at least thirty (30) days prior to the campaign.
- d) The Contractor will be forthright in its presentations to allow Prospective Enrollees to exercise an informed choice.
 - ii) The Contractor must advise Enrollees that Family Planning and Reproductive services may be obtained from any provider who accepts Medicaid including the Enrollee's PCP;
 - iii) no referral is needed for Family Planning and Reproductive Health services; and
 - iv) there will be no cost to the Enrollee for Family Planning and Reproductive Health services.

2. Marketing Sites

- a) With prior LDSS approval, the Contractor may distribute approved Marketing material in such places as: an income support maintenance center, community centers, markets, pharmacies, hospitals and other provider sites, schools, health fairs, a resource center established by the LDSS or the Enrollment Broker, and other areas where Prospective Enrollees are likely to gather. The LDSS may require the Contractor to provide a minimum of two weeks notice to the LDSS regarding marketing at approved locations so that the LDSS may fulfill its role in monitoring Contractor marketing activities.

- b) The Contractor shall comply with the restrictions on Marketing established in SSL § 364-j(4)(e) and SDOH Marketing Guidelines. The Contractor shall not engage in practices prohibited by law and regulation, including cold call Marketing or door-to-door solicitation. Cold Call Marketing means any unsolicited personal contact by the Contractor with a Prospective Enrollee for the purpose of Marketing. The Contractor shall not market to Prospective Enrollees at their homes without the permission of the Prospective Enrollee.
- c) The Contractor shall comply with LDSS written requirements regarding scheduling, staffing, and on-site procedures when marketing at LDSS sites.
- d) The Contractor shall neither conduct Marketing nor distribute Marketing materials in hospital emergency rooms including the emergency room waiting areas, patient rooms or treatment areas (except for waiting areas) or other sites as are prohibited by the Commissioner of Health pursuant to SSL § 364-j(4)(e).
- e) The Contractor may not require its Participating Providers to distribute Contractor-prepared communications to their patients.
- f) The Contractor shall instruct its Participating Providers regarding the following requirements applicable to communications with their patients about the MMC offered by the Contractor and other MCOs with which the Participating Providers may have contracts:
 - i) Participating Providers who wish to let their patients know of their affiliations with one or more MCOs must list each MCO with whom they have contracts.
 - ii) Participating Providers may display the Contractor's Marketing materials provided that appropriate notice is conspicuously posted for all other MCOs with whom the Provider has a contract.
 - iii) Upon termination of a Provider Agreement with the Contractor, a provider that has contracts with other MCOs that offer MMC product may notify their patients of the change in status and the impact of such change on the patient.

3. Marketing Representatives

- a) The Contractor shall require its Marketing Representatives, including employees assigned to market its MMC products, and employees of Marketing subcontractors, to successfully complete a training program about the basic concepts of managed care and the Enrollees' rights and responsibilities relating to Enrollment in an MCO's MMC product. The Contractor shall submit a copy of the training curriculum for its Marketing Representatives to SDOH as part of the Marketing plan. The Contractor shall be responsible for the activities of its Marketing Representatives and the Marketing activities of any subcontractor or management entity.

- b) The Contractor shall ensure that its Marketing Representatives engage in professional and courteous behavior in their interactions with LDSS staff, staff from other health plans, Eligible Persons and Prospective Enrollees. The Contractor shall neither participate nor encourage nor accept inappropriate behavior by its Marketing Representatives, including but not limited to interference with other MCO presentations, talking negatively about another MCO, or participating in a Medicaid client's verification interview with LDSS staff.
- c) The Contractor shall not offer compensation to Marketing Representatives, including salary increases or bonuses, based solely on the number of individuals they enroll. However, the Contractor may base compensation of Marketing Representatives on periodic performance evaluations which consider Enrollment productivity as one of several performance factors during a performance period, subject to the following requirements:
 - i) "Compensation" shall mean any remuneration required to be reported as income or compensation for federal tax purposes;
 - ii) The Contractor may not pay a "commission" or fixed amount per enrollment;
 - iii) The Contractor may not award bonuses more frequently than quarterly, or for an annual amount that exceeds 10% of a Marketing Representative's total annual compensation;
 - iv) Sign-on bonuses for Marketing Representatives are prohibited;
 - v) Where productivity is a factor in the bonus determination bonuses must be structured in such a way that productivity carries a weight no more than 30% of the total bonus and that application quality/accuracy must carry a weight equal to or greater than the productivity component;
 - vi) The Contractor must limit salary adjustments for Marketing Representatives to annual adjustments except where the adjustment occurs during the first year of employment after a traditional trainee/probationary period or in the event of a company-wide adjustment;
 - vii) The Contractor is prohibited from reducing base salaries for Marketing Representatives for failure to meet productivity targets;
 - viii) The Contractor is prohibited from offering non-monetary compensation such as gifts and trips to Marketing Representatives; and
 - ix) The Contractor shall have human resources policies and procedures for the earning and payment of overtime and must be able to provide documentation (such as time sheets) to support overtime compensation.

- d) The Contractor shall keep written documentation, including performance evaluation tools, of the basis it uses for awarding bonuses or increasing the salary of Marketing Representatives and employees involved in Marketing and make such documentation available for inspection by SDOH or the LDSS.

4. Restricted Marketing Activities

- a) The Contractor shall not engage in the following practices:
 - i) misrepresenting the Medicaid fee-for-service, MMC Program, or the program or policy requirements of the LDSS or the SDOH, in Marketing encounters or materials;
 - ii) purchasing or otherwise acquiring or using mailing lists of Eligible Persons from third party vendors, including providers and LDSS offices;
 - iii) using raffle tickets or event attendance or sign-in sheets to develop mailing lists of Prospective Enrollees;
 - iv) offering incentives (i.e., any type of inducement whose receipt is contingent upon the individual's Enrollment) of any kind to Prospective Enrollees to enroll in the Contractor's MMC product; or
 - v) marketing to enrollees of other health plans. If the Contractor becomes aware during a marketing encounter that an individual is enrolled in another health plan, the marketing encounter must be promptly terminated. If the individual voluntarily suggests dissatisfaction with the health plan in which he or she is enrolled, the individual should be referred to the enrollment broker or LDSS for assistance.
- b) The Contractor may not discriminate against Eligible Persons or Enrollees on the basis of age; sex; race; creed; physical or mental handicap/developmental disability; national origin; sexual orientation; type of illness or condition; need for health services; or the Capitation Rate the Contractor will receive for such Eligible Person. Health assessments may not be performed by the Contractor prior to Enrollment. The Contractor may inquire about existing primary care relationships of the applicant and explain whether and how such relationships may be maintained. Upon request, each Prospective Enrollee shall be provided with a listing of all the Contractor's Participating Providers including, PCPs, specialists and facilities in the Contractor's network. The Contractor may respond to a Prospective Enrollee's question about whether a particular PCP, specialist or facility is a Participating Provider of the Contractor in the network. However, the Contractor shall not inquire about the types of specialists utilized by the Prospective Enrollee.
- c) The Contractor may offer nominal gifts of not more than \$5.00 in fair-market value as part of a health fair or other Marketing activity to stimulate interest in the MMC

Program and/or the Contractor. Such gifts must be pre-approved by the SDOH, and offered without regard to Enrollment. The Contractor must submit a listing and description of intended items to be distributed at Marketing activities as nominal gifts, including a listing of item donors or co-sponsors for approval. The submission of actual samples or photographs of intended nominal gifts will not be routinely required, but must be made available upon request by the SDOH reviewer.

- d) The Contractor may offer its Enrollees rewards for completing a health goal, such as finishing all prenatal visits, participating in a smoking cessation session, attending initial orientation sessions upon enrollment, and timely completion of immunizations or other health related programs. Such rewards may not exceed \$50.00 in fair-market value per Enrollee over a twelve (12) month period, and must be related to a health goal. The Contractor may not make reference to these rewards in their pre-enrollment Marketing materials or discussions and all such rewards must be approved by the SDOH.

Appendix E

New York State Department of Health Member Handbook Guidelines

Member Handbook Guidelines

1. Purpose

- a) This document contains Member Handbook guidelines for use by the Contractor to develop handbooks for MMC Enrollees covered under this Agreement.
- b) These guidelines reflect the review criteria used by the SDOH Office of Managed Care in its review of all MMC Member Handbooks. Member Handbooks and addenda must be approved by SDOH prior to printing and distribution by the Contractor.

2. SDOH Model Member Handbook

- a) The SDOH Model Member Handbook includes all required information specified in this Appendix, written at an acceptable reading level. The Contractor may adapt the SDOH Model Member Handbook to reflect its specific policies and procedures for its MMC product.
- b) SDOH strongly recommends the Contractor use the SDOH Model Member Handbook language for the following required disclosure areas in the Contractor's Member Handbook:
 - i) access to Family Planning and Reproductive Health services;
 - ii) self referral policies;
 - iii) obtaining OB/GYN services;
 - iv) the definitions of medical necessity and Emergency Services;
 - v) protocols for Complaints, Complaint Appeals, and fair hearings;
 - vi) protocol for newborn Enrollment; and
 - vii) listing of Enrollee entitlements, including benefits, rights and responsibilities, and information available upon request.
- c) A copy of the SDOH Model Member Handbook is available from the SDOH Office of Managed Care, Bureau of Intergovernmental Affairs.

3. General Format

- a) The Contractor must include the required contents as per Section 4 of this Appendix, and list the information available upon request in accordance with Section 5 of this Appendix in their Member Handbooks.
- b) The Contractor must write Member Handbooks in a style and reading level that will accommodate the reading skills of many MMC Enrollees. In general the writing should be at no higher than a sixth-grade level, taking into consideration the need to incorporate and explain certain technical or unfamiliar terms to assure accuracy. The text must be printed in at least ten-point font, preferably twelve-point font. The SDOH reserves the right to require evidence that a handbook has been tested against the sixth-grade reading-level standard.
- c) The Contractor must make Member handbooks available in languages other than English whenever at least five (5) percent of the Prospective Enrollees of the Contractor in any county in the Contractor's service area speak a language other than English as a first language. Member handbooks must be made accessible to non-English speaking and visually and hearing impaired Enrollees.

4. Requirements for Handbook Contents

- a) General Overview (how the MMC product works)
 - i) Explanation of the Contractor's MMC product, including what happens when an Eligible Person enrolls.
 - ii) Explanation of the Contractor-issued Enrollee ID card, obtaining routine medical care, help by telephone, and general information pertaining to the Contractor's MMC product, i.e., location of the Contractor, providers, etc.
 - iii) Invitation to attend scheduled orientation sessions and other educational and outreach activities.
- b) Provider Listings
 - i) The Contractor may include provider listings in the handbook, as an insert to the handbook, or produce this information as a separate document and reference such document in the handbook.
 - ii) A current listing of providers, including location, phone number, and board certification status.
 - iii) The listing also must include a notice of how to determine if a Participating Provider is accepting new patients.

c) Voluntary or Mandatory Enrollment

- i) Must indicate whether Enrollment is voluntary or mandatory.
- ii) If the Contractor offers a MMC product in both mandatory and voluntary counties, an explanation of the difference, i.e., Disenrollment rules, etc.

d) Choice of Primary Care Provider

- i) Explanation of the role of PCP as a coordinator of care, giving some examples, and how to choose one for self and family.
- ii) How to make an appointment with the PCP, importance of base line physical, immunizations and well-child care.
- iii) Explanation of different types of PCPs, i.e., family practice, pediatricians, internists, etc.
- iv) Notification that the Contractor will assign the Enrollee to a PCP if one is not chosen in thirty (30) days.

e) Changing Primary Care Provider

Explanation of the Contractor's policy, timeframes, and process related to an Enrollee changing his or her PCP. (Enrollees may change PCPs thirty (30) days after the initial appointment with their PCP, and the Contractor may elect to limit the Enrollee to changing PCPs without cause once every six months.)

f) Referrals to Specialists (Participating or Non-Participating)

- i) Explanation of specialist care and how referrals are accomplished.
- ii) Explanation of how to access services, i.e., OB/GYN services, HIV counseling and testing, eye exams, etc.
- iii) Notice that an Enrollee with a condition that requires ongoing care from a specialist may request a standing referral to such a specialist; procedure for obtaining such referrals.
- iv) Notice that an Enrollee with a life-threatening condition or disease, or a degenerative and disabling condition or disease, either of which requires specialized medical care over a prolonged period of time, may request access to a specialty care center; and the procedure for obtaining such access.

g) Covered and Non-Covered Services

- i) Benefits and services covered by the Contractor's MMC product, including benefit maximums and limits.
- ii) Definition of medical necessity, as defined in this Agreement, and its use to determine whether benefits will be covered.
- iii) Medicaid covered services that do not require a referral from the Contractor, and how to access these services.
- iv) A description of services not covered by MMC or the Medicaid fee-for-service Programs.
- v) Process for obtaining treatments and services.
- vi) Access to Family Planning and Reproductive Health services pursuant to Appendix C of this Agreement.
- vii) HIV counseling and testing free access policy.
- viii) Direct access policy for dental services provided at Article 28 clinics operated by academic dental centers when dental is in the Benefit Package.
- ix) The Contractor's policy relating to emergent and non-emergent transportation, including who to call and what to do if the Contractor's MMC product does not cover emergent or non-emergent transportation.
- x) Contractor's toll-free number for Enrollee to call for more information.
- xi) Any cost-sharing (e.g. copays).

h) Out of Area Coverage

Explanation of what to do and who to call if medical care is required when Enrollee is out of their county of fiscal responsibility or the Contractor's service area.

i) Emergency and Post Stabilization Care Access

- i) Definition of Emergency Services, as defined in law and regulation including examples of situations that constitute an emergency and situations that do not.
- ii) What to do in an emergency, including notice that services in a true emergency are not subject to prior approval.
- iii) What to do if the PCP and the Contractor are not available.

- iv) Explanation of what to do in non-emergency situations (PCP, urgent care, etc.).
 - v) Locations where the Contractor provides Emergency Services and Post-stabilization Care Services.
 - vi) Notice to Enrollees that in a true emergency they may access services at any provider of Emergency Services.
 - vii) Definition of Post-Stabilization care services and how to access them.
- j) Enrollment and Disenrollment Procedures
- i) Where appropriate, explanation of Lock-In requirements and when an Enrollee may change to another MCO, or for MMC Enrollees if permitted, return to Medicaid fee-for-service, for Good Cause, as defined in Appendix H of this Agreement.
 - ii) Procedures for Disenrollment.
 - iii) LDSS, or Enrollment Broker as appropriate, phone number for information on Enrollment and Disenrollment.
- k) Rights and Responsibilities of Enrollees
- i) Explanation of what an Enrollee has the right to expect from the Contractor in the way of medical care and treatment of the Enrollee as specified in Section 13.7 of this Agreement.
 - ii) General responsibilities of the Enrollee.
 - iii) Enrollee's potential financial responsibility for payment when services are furnished by a Non-Participating Provider or are furnished by any provider without required authorization, or when a procedure, treatment, or service is not a covered benefit. Also note exceptions such as family planning and HIV counseling/testing.
 - iv) Enrollee's rights under State law to formulate advance directives.
 - v) The manner in which Enrollees may participate in the development of Contractor policies.

l) Language

Description of how the Contractor addresses the needs of non-English speaking Enrollees.

m) Complaint and Appeals Procedures

i) Right of the Enrollee to file a Complaint regarding any dispute between the Contractor and an Enrollee, including the decision of a PCP to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested (in accordance with Appendix F of the Agreement).

ii) Right to file a Complaint orally.

iii) The Contractor's toll-free number for filing oral Complaints.

iv) Timeframes and circumstances for expedited and standard Complaints.

v) Right to appeal a Complaint determination and the procedures for filing a Complaint Appeal.

vi) Timeframes and circumstances for expedited and standard Complaint Appeals.

vii) Right to designate a representative.

viii) A notice that all determinations involving clinical disputes will be made by qualified clinical personnel and that all notices will include information about the basis of the determination, and further appeal rights (if any).

ix) SDOH's toll-free number for medically related Complaints.

x) New York State Insurance Department number for certain complaints relating to billing.

n) Fair Hearing

i) Explanation that the Enrollee has a right to a State fair hearing and aid to continue in some situations and that the Enrollee may be required to repay the Contractor for services received if the fair hearing decision is adverse to the Enrollee.

ii) Describe situations when the Enrollee may ask for a fair hearing as described in Section 25 of this Agreement including: SDOH or LDSS decision about the Enrollee staying in or leaving the Contractor's MMC product; and Contractor's Complaint determination that upholds a provider's decision not to order Enrollee-requested services.

iii) Describe how to request a fair hearing (assistance through member services, LDSS, State fair hearing contact).

o) Payment Methodologies

Description prepared annually of the types of methodologies the Contractor uses to reimburse providers, specifying the type of methodology used to reimburse particular types of providers or for the provision of particular types of services.

p) Physician Incentive Plan Arrangements

The Member Handbook must contain a statement indicating the Enrollees and Prospective Enrollees are entitled to ask if the Contractor has special financial arrangements with physicians that can affect the use of referrals and other services that they might need and how to obtain this information.

q) How and Where to Get More Information

i) How to access a member services representative through a toll-free number.

ii) How and when to contact LDSS for assistance.

5. Other Information Available Upon Enrollee's Request

a) Information on the structure and operation of the Contractor's organization. List of the names, business addresses, and official positions of the membership of the board of directors, officers, controlling persons, owners or partners of the Contractor.

b) Copy of the most recent annual certified financial statement of the Contractor, including a balance sheet and summary of receipts and disbursements prepared by a CPA.

c) Copy of the most recent individual, direct pay subscriber contracts.

d) Information relating to consumer complaints compiled pursuant to Section 210 of the Insurance Law.

e) Procedures for protecting the confidentiality of medical records and other Enrollee information.

f) Written description of the organizational arrangements and ongoing procedures of the Contractor's quality assurance program.

g) Description of the procedures followed by the Contractor in making determinations about the experimental or investigational nature of medical devices, or treatments in clinical trials.

- h) Individual health practitioner affiliations with Participating hospitals.
- i) Specific written clinical review criteria relating to a particular condition or disease and, where appropriate, other clinical information which the Contractor might consider in its Service Authorization or utilization review process.
- j) Written application procedures and minimum qualification requirements for health care providers to be considered by the Contractor.
- k) Upon request, the Contractor is required to provide the following information on the incentive arrangements affecting Participating Providers to Enrollees, previous Enrollees and Prospective Enrollees:
 - i) Whether the Contractor's Provider Agreements or subcontracts include Physician Incentive Plans (PIP) that affect the use of referral services.
 - ii) Information on the type of incentive arrangements used.
 - iii) Whether stop-loss protection is provided for physicians and physicians groups.
 - iv) If the Contractor is at substantial financial risk, as defined in the PIP regulations, a summary of the required customer satisfaction survey results.

APPENDIX F

**New York State Department of Health
Complaint System Requirements
for PCPCP Programs**

1. Definitions

- a) The Complaint Process is a process for the receipt and resolution of Enrollee Complaints pursuant to Section 4408-a of PHL and applicable Federal regulations. PCPCPs do not have formal utilization review or service authorization processes. Decisions about access to services are made by the PCP based on his/her medical expertise. The Complaint Process serves as the mechanism through which an Enrollee makes a formal request to the Contractor to review a decision of a PCP to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested.
- b) Complaint means an Enrollee's expression of dissatisfaction with any aspect of his or her care including the decision of a PCP to deny a request for a referral, or to deny or reduce a benefit or service.
- c) A Complaint Appeal means a request for a review of a Complaint determination.
- d) An Inquiry means a written or verbal question or request for information posed to the Contractor with regard to such issues as benefits, contracts, and organization rules. Neither Enrollee Complaints nor disagreements with Contractor determinations are Inquiries.

2. General Requirements

- a) The Enrollee, or his or her designee, may file a Complaint, orally or in writing, regarding any dispute with the Contractor. The Contractor may have requirements for accepting written Complaints either by letter or Contractor supplied form. The Contractor cannot require an Enrollee to file a Complaint in writing.
- b) The Contractor will provide Enrollees with any reasonable assistance in completing forms and other procedural steps for filing a Complaint or Complaint Appeal including, but not limited to, providing interpreter services and toll-free numbers with TTY/TDD and interpreter capability.
- c) The Enrollee may designate a representative to file Complaints and Complaint Appeals on his/her behalf.
- d) The Contractor will not retaliate or take any discriminatory action against the Enrollee because he/she filed a Complaint or Complaint Appeal.
- e) The Contractor's procedures for accepting Complaints and Complaint Appeals shall include:
 - i) a toll-free telephone number;

- ii) designated staff to receive calls;
 - iii) “live” phone coverage at least 40 hours a week during normal business hours;
 - iv) a mechanism to receive after hours calls, including either: a telephone system available to take calls and a plan to respond to all such calls no later than the next business day after the calls were recorded; or
 - v) a mechanism to have available on a twenty-four (24) hour, seven (7) day a week basis designated staff to accept telephone Complaints, whenever a delay would significantly increase the risk to an Enrollee’s health.
- f) Complaints shall be reviewed by one or more qualified personnel.
 - g) The Contractor must ensure that personnel making Complaint Appeal determinations were not involved in the initial review of the Complaint.
 - h) Complaints pertaining to clinical matters, including Complaints about a PCP’s decision to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested, shall be reviewed by one or more licensed, certified or registered health care professionals in addition to whichever non-clinical personnel the Contractor designates.
 - i) The Contractor must provide written acknowledgment of any Complaint not immediately resolved, including the name, address and telephone number of the individual or department handling the Complaint, within fifteen (15) business days of receipt of the Complaint. The acknowledgement must identify any additional information required by the Contractor from any source to make a determination. If a Complaint determination is made before the written acknowledgement is sent, the Contractor may include the acknowledgement with the notice of the determination (one notice).

3. Timeframes for Complaint Resolution by the Contractor

- a) For Complaints about the decision of a PCP to deny a request for a referral or to deny or reduce a benefit or service, or to authorize a service for less than requested, the Contractor shall make a determination about the Complaint in the following timeframes:
 - i) When the Contractor determines, or the provider indicates, that a delay would seriously jeopardize the Enrollee’s life or health or ability to attain, maintain, or regain maximum function, the Contractor will make a determination about the Complaint within forty-eight (48) hours after receipt of all necessary information and no more than three (3) business days from the receipt of the Complaint. This timeframe may be extended by 14 days as provided in (iv) below.

- ii) The Enrollee may request an expedited review of a Complaint about a PCP's decision to deny a referral or to deny or reduce a benefit or service, or to authorize a service for less than requested. If the Contractor denies the Enrollee's request for an expedited review the Contractor must handle the Complaint under standard review timeframes.
 - iii) For non-Expedited Complaints, the Contractor will make a determination about a Complaint about a PCP's decision to deny a request for a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested, within fourteen (14) days after the receipt of the Complaint. This timeframe may be extended by 14 days as provided in (iv) below.
 - iv) Fourteen (14) day extensions may be requested by an Enrollee or provider on the Enrollee's behalf (written or verbal). The Contractor may also initiate an extension if it can justify the need for additional information and if the extension is in the Enrollee's interest. In all cases, the Contractor must maintain sufficient documentation of extension determinations to demonstrate, upon SDOH request, that the extension was justified. If the extension is initiated by the Enrollee or provider, the Contractor must provide written acknowledgement. If the extension is initiated by the Contractor, the Contractor must notify the Enrollee in writing as specified in 4(c)(iv) below.
- b) For all other Complaints, the Contractor shall make a determination about the Complaint in accordance with the following timeframes:
- i) Whenever a delay would significantly increase the risk to an Enrollee's health, the Contractor will make a determination regarding the Complaint within forty-eight (48) hours after receipt of all necessary information but no later than seven (7) days from receipt of the Complaint.
 - ii) The Contractor will make determinations about Complaints that are not expedited within forty-five (45) days after the receipt of all necessary information and no more than sixty (60) days from receipt of the Complaint. The Contractor shall maintain reports of Complaints unresolved after forty-five (45) days in accordance with Section 18 of this Agreement.

4. Complaint Determination Notices

- a) If the Contractor immediately resolves an oral Complaint to the Enrollee's satisfaction, that Complaint may be considered resolved without any additional written notification to the Enrollee. Such Complaints must be logged by the Contractor and included in the Contractor's quarterly HPN Complaint report submitted to SDOH in accordance with Section 18 of this Agreement.

- b) In cases where delay would significantly increase the risk to an Enrollee's health, the Contractor shall provide notice of a determination by telephone directly to the Enrollee or to the Enrollee's designee, or when no phone is available, some other method of communication, with written notice to follow within three (3) business days of the contact with the Enrollee or Enrollee's designee.
 - c) For Complaints about a denial of a request for a referral, or a denial or reduction of a benefit or service, or to authorize a service for less than requested.
 - i) the MCO Complaint Determination notice shall include:
 - A) the detailed reason for the determination including clinical rationale, if any;
 - B) the procedures for filing a Complaint Appeal of the determination, including a form for the filing of such an Appeal;
 - C) the right of an Enrollee to designate a representative to file an Appeal on behalf of the Enrollee;
 - D) the notice of the right of the Enrollee to contact the New York State Department of Health (800 206-8125); and
 - E) the notice entitled "Managed Care Action Taken", containing the Enrollee's fair hearing rights.
 - ii) The Complaint Determination notice shall go to the Enrollee and the provider.
 - iii) If the Contractor was unable to make a determination about a Complaint about a denial of access to a referral, or to deny or reduce a benefit or service, or to authorize a service for less than requested, within the required timeframes in Section 3(a)(ii) & (iii) of this Appendix, it is considered a negative determination and a Complaint Determination notice pursuant to Section 4(c)(ii) above and the "Managed Care Action Taken" notice and notice of fair hearing and aid continuing rights must be sent on the date the allowable timeframe to resolve the Complaint expires.
 - iv) Notice to the Enrollee regarding a Contractor-initiated extension shall include:
 - A) the reason for the extension;
 - B) an explanation of how the delay is in the best interest of the Enrollee;
 - C) any additional information the Contractor requires from any source to make the determination;
 - D) the right of the Enrollee to file a Complaint as defined in this Appendix;
 - E) the process for filing a Complaint with the Contractor and the timeframes within which the determination must be made;
 - F) the right of the Enrollee to designate a representative to file a Complaint on behalf of the Enrollee; and
 - G) the right of the Enrollee to contact the New York State Department of Health regarding his or her Complaint, including the SDOH's toll-free number for Complaints.

- d) For all other Complaints:
 - i) the Notice of Determination shall include all the information in 4(c)(i) above.
 - ii) If the Contractor was unable to make a Complaint determination because insufficient information was presented or available to reach a determination, the Contractor will send a written statement that a determination could not be made to the Enrollee on the date the allowable time to resolve the Complaint has expired.

5. Complaint Appeals

- a) The Contractor's procedures regarding Enrollee Complaint Appeals shall include the following:
 - i) The Enrollee or designee has no less than sixty (60) business days after receipt of the notice of the Complaint determination to file a written Complaint Appeal. Complaint Appeals may be submitted by letter or by a form provided by the Contractor.
 - ii) Within fifteen (15) business days of receipt of the Complaint Appeal, the Contractor shall provide written acknowledgment of the Complaint Appeal, including the name, address and telephone number of the individual designated to respond to the Appeal. The Contractor shall indicate what additional information, if any, must be provided for the Contractor to render a determination.
 - iii) Complaint Appeals of clinical matters must be decided by personnel qualified to review the Appeal, including licensed, certified or registered health care professionals who did not make the initial determination, at least one of whom must be a clinical peer reviewer, as defined by PHL §4900(2)(a).
 - iv) Complaint Appeals of non-clinical matters shall be determined by qualified personnel at a higher level than the personnel who made the original Complaint determination.
 - v) Complaint Appeals shall be decided and notification provided to the Enrollee no more than:
 - A) two (2) business days after the receipt of all necessary information when a delay would significantly increase the risk to an Enrollee's health; or
 - B) thirty (30) business days after the receipt of all necessary information in all other instances.
 - vi) The notice of the Contractor's Complaint Appeal determination shall include:
 - A) the detailed reasons for the determination;
 - B) the clinical rationale for the determination in cases where the determination has a clinical basis;
 - C) the notice shall also inform the Enrollee of his/her option to also contact the State Department of Health with his/her Complaint, including the SDOH's toll-free number for Complaints;

D) instructions for any further Appeal, if applicable.

6. Records

- a) The Contractor shall maintain a file on each Complaint and Complaint Appeal. These records shall be readily available for review by the SDOH, upon request. The file shall include:
 - i) date the Complaint was filed;
 - ii) copy of the Complaint, if written;
 - iii) date of receipt of and copy of the Enrollee's written confirmation, if any;
 - iv) log of Complaint determinations including the date of the determination and the titles of the personnel and credentials of clinical personnel who reviewed the Complaint;
 - v) date and copy of the Enrollee's Complaint Appeal;
 - vi) Enrollee or provider requests for expedited Complaint Appeals and the Contractor's determination;
 - vii) necessary documentation to support any extensions;
 - viii) determination and date of determination of the Complaint Appeals;
 - ix) the titles and credentials of clinical staff who reviewed the Complaint Appeals; and
 - x) Complaints unresolved for greater than forty-five (45) days.

APPENDIX G

SDOH Requirements For The Provision Of Emergency Care and Services

SDOH Requirements for the Provision of Emergency Care and Services

1. Definitions

- a) **"Emergency Medical Condition"** means a medical or behavioral condition, the onset of which is sudden, that manifests itself by symptoms of sufficient severity, including severe pain, that a prudent layperson, possessing an average knowledge of medicine and health, could reasonably expect the absence of immediate medical attention to result in:
 - i) placing the health of the person afflicted with such condition in serious jeopardy or, in the case of a pregnant woman, the health of the woman or her unborn child or, in the case of a behavioral condition, placing the health of the person or others in serious jeopardy; or
 - ii) serious impairment to such person's bodily functions; or
 - iii) serious dysfunction of any bodily organ or part of such person; or
 - iv) serious disfigurement of such person.
- b) **"Emergency Services"** means covered inpatient and outpatient health care procedures, treatments or services that are furnished by a provider qualified to furnish these services and that are needed to evaluate or stabilize an Emergency Medical Condition including psychiatric stabilization and medical detoxification from drugs or alcohol.
- c) **"Post-stabilization Care Services"** means covered services, related to an emergency medical condition, that are provided after an Enrollee is stabilized in order to maintain the stabilized condition.

2. Coverage and Payment of Emergency Services

- a) The Contractor must authorize payment for Emergency Services regardless of whether the provider that furnishes the services has a contract with the Contractor.
- b) The Contractor must advise Enrollees that they may access Emergency Services at any Emergency Services provider.
- c) Prior authorization for treatment of an Emergency Medical Condition is never required.
- d) The Contractor may not deny payment for treatment obtained in either of the following circumstances:

- i) An Enrollee had an Emergency Medical Condition, including cases in which the absence of immediate medical attention would not have had the outcomes specified in the definition of Emergency Medical Condition above.
 - ii) A representative of the Contractor instructs the Enrollee to seek Emergency Services.
- e) A Contractor may not:
- i) limit what constitutes an Emergency Medical Condition based on lists of diagnoses or symptoms; or
 - ii) refuse to cover emergency room services based on the failure of the provider or the Enrollee to give the Contractor notice of the emergency room visit.
- f) An Enrollee who has an Emergency Medical Condition may not be held liable for payment of subsequent screening and treatment needed to diagnose the specific condition or stabilize the patient.
- g) The attending emergency physician, or the provider actually treating the Enrollee, is responsible for determining when the Enrollee is sufficiently stabilized for transfer or discharge, and that determination is binding on the Contractor for payment.

3. Coverage and Payment of Post-Stabilization Care Services

The Contractor is responsible for authorizing payment for Post-Stabilization Care Services furnished by a provider within or outside the Contractor's network.

4. Protocol for Acceptable Transfer

- a) All relevant COBRA requirements must be met.
- b) The Contractor must authorize an appropriate (as determined by the emergency department physician) transfer method/level with personnel as needed.
- c) The Contractor must coordinate with the accepting physician and hospital as needed.

5. Emergency Transportation

Emergency transportation is not a Referred Service in the Contractor's Benefit Package; Enrollees may access transportation services through Medicaid fee-for-service.

APPENDIX H

New York State Department of Health Requirements for the Processing of Enrollments and Disenrollments in the MMC Programs

**SDOH Requirements
for the Processing of Enrollments and Disenrollments
in the MMC Program**

1. General

The Contractor's Enrollment and Disenrollment procedures shall be consistent with these requirements, except that to allow LDSS and the Contractor flexibility in developing processes that will meet the needs of both parties, SDOH may allow modifications to timeframes and some procedures. Where an Enrollment Broker exists, the Enrollment Broker may be responsible for some or all of the LDSS responsibilities.

2. Enrollment

a) SDOH Responsibilities:

- i) The SDOH is responsible for monitoring LDSS program activities and providing technical assistance to the LDSS and the Contractor to ensure compliance with the State's policies and procedures.
- ii) SDOH reviews and approves proposed Enrollment materials prior to the Contractor publishing and disseminating or otherwise using the materials.

b) LDSS Responsibilities:

- i) The LDSS has the primary responsibility for the Enrollment process.
- ii) Each LDSS determines Medicaid eligibility. To the extent practicable, the LDSS will follow up with Enrollees when the Contractor provides documentation of any change in status which may affect the Enrollee's Medicaid, or MMC eligibility.
- iii) The LDSS is responsible for coordinating the Medicaid application and Enrollment processes.
- iv) The LDSS is responsible for providing pre-enrollment information to Eligible Persons, consistent with Sections 364-j (4) (e) (iv) of the SSL, and the training of persons providing Enrollment counseling to Eligible Persons.
- v) The LDSS is responsible for informing Eligible Persons of the availability of MCOs and HIV SNPs offering MMC products and the scope of services covered by each.
- vi) The LDSS is responsible for informing Eligible Persons of the right to confidential face-to-face Enrollment counseling and will make confidential face-to-face sessions available upon request.

- vii) The LDSS is responsible for instructing Eligible Persons to verify with the medical services providers they prefer, or have an existing relationship with, that such medical services providers are Participating Providers of the selected MCO and are available to serve the Enrollee. The LDSS includes such instructions to Eligible Persons in its written materials related to Enrollment.
- viii) For Enrollments made during face-to-face counseling, if the Prospective Enrollee has a preference for particular medical services providers, Enrollment counselors shall verify with the medical services providers that such medical services providers whom the Prospective Enrollee prefers are Participating Providers of the selected MCO and are available to serve the Prospective Enrollee.
- ix) The LDSS is responsible for the timely processing of managed care Enrollment applications, Exemptions, and Exclusions.
- x) The LDSS is responsible for determining the status of Enrollment applications. Applications will be enrolled, pended or denied. The LDSS will notify the Contractor of the denial of any Enrollment applications that the Contractor assisted in completing and submitting to the LDSS under the circumstances described in 2(c) (i) of this Appendix.
- xi) The LDSS is responsible for determining the Exemption and Exclusion status of individuals determined to be eligible for Medicaid under Title 11 of the SSL.
 - A) Exempt means an individual eligible for Medicaid under Title 11 of the SSL determined by the LDSS or the SDOH to be in a category of persons, as specified in Section 364-j of the SSL and/or New York State's Operational Protocol for the Partnership Plan, that are not required to participate in the MMC Program; however, individuals designated as Exempt may elect to voluntarily enroll.
 - B) Excluded means an individual eligible for Medicaid under Title 11 of the SSL determined by the LDSS or the SDOH to be in a category of persons, as specified in Section 364-j of the SSL and/or New York State's Operational Protocol for the Partnership Plan, that are precluded from participating in the MMC Program.
- xii) Individuals eligible for Medicaid under Title 11 of the SSL in the following categories will be eligible for Enrollment in the Contractor's MMC product at the LDSS's option, as indicated in Schedule 2 of Appendix M.
 - A) Foster care children in the direct care of LDSS;
 - B) Homeless persons living in shelters outside of New York City.

- xiii) The LDSS is responsible for entering individual Enrollment form data and transmitting that data to the State's Prepaid Capitation Plan (PCP) Subsystem. The transfer of Enrollment information may be accomplished by any of the following:
- A) LDSS directly enters data into PCP Subsystem; or
 - B) LDSS or Contractor submits a tape to the State, to be edited and entered into PCP Subsystem; or
 - C) LDSS electronically transfers data, via a dedicated line or Medicaid Eligibility Verification System (MEVS) to the PCP Subsystem.
- xiv) The LDSS is responsible for sending the following required notices to Eligible Persons:
- A) For mandatory MMC program only - Initial Notification Letter: This letter informs Eligible Persons about the mandatory MMC program and the timeframes for choosing a MCO offering a MMC product. Included with the letter are managed care brochures, an Enrollment form, and information on their rights and responsibilities under this program, including the option for HIV/AIDS infected individuals who are categorically exempt from the mainstream MMC program to enroll in an HIV SNP on a voluntary basis in LDSS jurisdictions where HIV SNPs exist.
 - B) For mandatory MMC program only - Reminder Letter: A letter to all Eligible Persons in a mandatory category who have not responded by submitting a completed Enrollment form within thirty (30) days of being sent or given an Enrollment packet.
 - C) Enrollment Confirmation Notice for MMC Enrollees: This notice indicates the Effective Date of Enrollment, the name of the MCO and all individuals who are being enrolled. This notice should also be used for case additions and re-enrollments into the same MCO.
 - D) Notice of Denial of Enrollment: This notice is used when an individual has been determined by LDSS to be ineligible for Enrollment into the MMC program. This notice must include fair hearing rights. This notice is not required when Medicaid eligibility is being denied (or closed).
 - E) Exemption Request Forms: Exemption forms are provided to MMC Eligible Persons upon request if they wish to apply for an Exemption. Individuals precoded on the system as meeting Exemption or Exclusion criteria do not need to complete an Exemption request form. This notice is required for mandatory MMC Eligible Persons.
 - F) Exemption and Exclusion Request Approval or Denial: This notice is designed to inform a recipient who applied for an exemption or who failed

to provide documentation of exclusion criteria when requested by the LDSS of the LDSS's disposition of the request, including the right to a fair hearing if the request for exemption or exclusion is denied. This notice is required for voluntary and mandatory MMC Eligible Persons.

c) Contractor Responsibilities:

- i) To the extent permitted by law and regulation, the Contractor may accept Enrollment forms from Potential Enrollees for the MMC program, provided that the appropriate education has been provided to the Potential Enrollee by the LDSS pursuant to Section 2(b) of this Appendix. In those instances, the Contractor will submit resulting Enrollments to the LDSS, within a maximum of five (5) business days from the day the Enrollment is received by the Contractor (unless otherwise agreed to by SDOH and LDSS).
- ii) The Contractor must notify new MMC Enrollees of their Effective Date of Enrollment. In the event that the actual Effective Date of Enrollment is different from that previously given to the Enrollee, the Contractor must notify the Enrollee of the actual date of Enrollment. This may be accomplished through a Welcome Letter. To the extent practicable, such notification must precede the Effective Date of Enrollment.
- iii) The Contractor must report any changes in status for its enrolled members to the LDSS within five (5) business days of such information becoming known to the Contractor. This includes, but is not limited to, factors that may impact Medicaid eligibility such as address changes, verification of pregnancy, incarceration, third party insurance, etc.
- iv) The Contractor shall advise Prospective Enrollees, in written materials related to Enrollment, to verify with the medical services providers they prefer, or have an existing relationship with, that such medical services providers are Participating Providers of the selected MCO and are available to serve the Prospective Enrollee.
- v) The Contractor shall accept all Enrollments as ordered by the Office of Temporary and Disability Assistance's Office of Administrative Hearings due to fair hearing requests or decisions.

3. Newborn Enrollments

- a) The Contractor agrees to enroll and provide coverage for eligible newborn children from the Effective Date of Enrollment.
- b) SDOH Responsibilities:

- i) The SDOH will update WMS with information on the newborn received from hospitals, consistent with the requirements of Section 366-g of the SSL as amended by Chapter 412 of the Laws of 1999.
 - ii) Upon notification of the birth by the hospital or birthing center, the SDOH will update WMS with the demographic data for the newborn and send the LDSS a list of newborns..
- c) LDSS Responsibilities:
- i) Grant Medicaid eligibility for newborns for one (1) year if born to a woman eligible for and receiving Medicaid on the date of the newborn's birth.
 - ii) The LDSS is responsible for adding eligible unborns to all WMS cases that include a pregnant woman as soon as the pregnancy is medically verified.
 - iii) Upon receipt of the list of newborns from SDOH, the LDSS will send the newborn's mother a letter informing her that the newborn is eligible for enrollment and advising her of which MCOs are available to choose from. If an MCO is not chosen by the mother, the newborn will be eligible for Medicaid fee-for-service coverage, and such information will be entered on the WMS.
 - iv) The LDSS is responsible for processing the newborn Enrollment and sending the mother the Enrollment Confirmation Notice as required by this Appendix.
 - v) Enrollment of newborns shall be prospective.
- d) Contractor Responsibilities:
- i) The Contractor must notify the LDSS in writing of any Enrollee that is pregnant within thirty (30) days of knowledge of the pregnancy. Notifications should be transmitted to the LDSS at least monthly. The notifications should contain the pregnant woman's name, Client ID Number (CIN), and the expected date of confinement (EDC).
 - ii) The Contractor must send verifications of infant's demographic data to the LDSS, within five (5) days after knowledge of the birth. The demographic data must include: the mother's name and CIN, the newborn's name and CIN (if newborn has a CIN), sex and the date of birth.
 - iii) In districts that use an Enrollment Broker, the Contractor shall not submit electronic Enrollments of newborns to the Enrollment Broker, as this will interfere with the retroactive Enrollment of the newborn back to the first (1st) day of the month of birth. For newborns whose mothers are not enrolled in the Contractor's MMC product and who were not pre-enrolled into the Contractor's MMC product as unborns, the Contractor may submit electronic Enrollment of the

newborns to the Enrollment Broker. In such cases, the Effective Date of Enrollment will be prospective.

- iv) In voluntary MMC counties, the Contractor will accept Enrollment applications for unborns if that is the mothers' intent, even if the mothers are not and/or will not be enrolled in the Contractor's MMC product. In all counties, when a mother is ineligible for Enrollment or chooses not to enroll, the Contractor will accept Enrollment applications for pre-enrollment of unborns who are eligible.
- v) The Contractor is responsible for provision of services to a newborn and payment of the hospital or birthing center bill if the mother is an Enrollee at the time of the newborn's birth, even if the newborn is not yet on the Roster, unless the Contractor does not offer a MMC product in the mother's county of fiscal responsibility or the newborn is Excluded from the MMC Program pursuant to Section 2(b)(xi) of this Appendix.
- vi) Within fourteen (14) days of the date on which the Contractor becomes aware of the birth, the Contractor will issue a letter, informing parent(s) about the newborn's Enrollment and how to access care, or a member identification card.
- vii) In those cases in which the Contractor is aware of the pregnancy, the Contractor will ensure that enrolled pregnant women select a PCP for their infants prior to birth.
- viii) The Contractor will ensure that the newborn is linked with a PCP prior to discharge from the hospital or birthing center, in those instances in which the Contractor has received appropriate notification of birth prior to discharge.

4. Auto-Assignment Process (Applies to Mandatory MMC Program Only):

- a) This section only applies to a LDSS where CMS has given approval and the LDSS has begun mandatory Enrollment into the Medicaid Managed Care Program. The details of the auto-assignment process are contained in Section 12 of New York State's Operational Protocol for the Partnership Plan.
- b) SDOH Responsibilities:
 - i) The SDOH, LDSS or Enrollment Broker will assign MMC Eligible Persons not pre-coded in WMS as Exempt or Excluded, who have not chosen a MCO offering a MMC product in the required time period, to a MCO offering a MMC product using an algorithm as specified in §364-j(4)(d) of the SSL.
 - ii) SDOH will ensure the auto-assignment process automatically updates the PCP Subsystem, and will notify MCOs offering MMC products of auto-assigned individuals electronically.

- iii) SDOH will notify the LDSS electronically on a daily basis of those individuals for whom SDOH has selected a MCO offering a MMC product through the Automated PCP Update Report. Note: This does not apply in Local Districts that utilize an Enrollment Broker.
- c) LDSS Responsibilities:
 - i) The LDSS is responsible for tracking an individual's choice period.
 - ii) As with Eligible Persons who voluntarily choose a MCO's MMC product, the LDSS is responsible for providing notification to assigned individuals regarding their Enrollment status as specified in Section 2 of this Appendix.
- d) Contractor Responsibilities:
 - i) The Contractor is responsible for providing notification to assigned individuals regarding their Enrollment status as specified in Section 2 of this Appendix.

5. Roster Reconciliation:

- a) All Enrollments are effective the first of the month.
- b) SDOH Responsibilities:
 - i) The SDOH maintains both the PCP subsystem Enrollment files and the WMS eligibility files, using data entered by the LDSS. SDOH uses data contained in both these files to generate the Roster.
 - A) SDOH shall send the Contractor and LDSS monthly (according to a schedule established by SDOH), a complete list of all Enrollees for which the Contractor is expected to assume medical risk beginning on the 1st of the following month (First Monthly Roster). Notification to the Contractor and LDSS will be accomplished via paper transmission, magnetic media, or the HPN.
 - B) SDOH shall send the Contractor and LDSS monthly, at the time of the first monthly roster production, a Disenrollment Report listing those Enrollees from the previous month's roster who were disenrolled, transferred to another MCO, or whose Enrollments were deleted from the file. Notification to the Contractor and LDSS will be accomplished via paper transmission, magnetic media, or the HPN.
 - C) The SDOH shall also forward an error report as necessary to the Contractor and LDSS.

D) On the first (1st) weekend after the first (1st) day of the month following the generation of the first (1st) Roster, SDOH shall send the Contractor and LDSS a second Roster which contains any additional Enrollees that the LDSS has added for Enrollment for the current month. The SDOH will also include any additions to the error report that have occurred since the initial error report was generated.

c) LDSS Responsibilities:

- i) The LDSS is responsible for notifying the Contractor electronically or in writing of changes in the Roster and error report, no later than the end of the month. (Note: To the extent practicable the date specified must allow for timely notice to Enrollees regarding their Enrollment status. The Contractor and the LDSS may develop protocols for the purpose of resolving Roster discrepancies that remain unresolved beyond the end of the month.)
- ii) Enrollment and eligibility issues are reconciled by the LDSS to the extent possible, through manual adjustments to the PCP subsystem Enrollment and WMS eligibility files, if appropriate.

d) Contractor Responsibilities:

- i) The Contractor is at risk for providing Benefit Package services for those Enrollees listed on the 1st and 2nd Rosters for the month in which the 2nd Roster is generated. Contractor is not at risk for providing services to Enrollees who appear on the monthly Disenrollment report.
- ii) The Contractor must submit claims to the State's Fiscal Agent for all Eligible Persons that are on the 1st and 2nd Rosters, adjusted to add Eligible Persons enrolled by the LDSS after Roster production and to remove individuals disenrolled by LDSS after Roster production (as notified to the Contractor). In the cases of retroactive Disenrollments, the Contractor is responsible for submitting an adjustment to void any previously paid premiums for the period of retroactive Disenrollment, where the Contractor was not at risk for the provision of Benefit Package services. Payment of subcapitation does not constitute "provision of Benefit Package services."

6. Disenrollment:

a) LDSS Responsibilities:

- i) **The LDSS is responsible for accepting requests for Disenrollment directly from Enrollees and may not require Enrollees to approach the Contractor for a Disenrollment form. Where an LDSS is authorized to mandate Enrollment, all requests for Disenrollment must be directed to the LDSS or**

the Enrollment Broker. The LDSS and the Enrollment Broker must utilize the State-approved Disenrollment forms.

- ii) Enrollees may initiate a request for an expedited Disenrollment to the LDSS. The LDSS will expedite the Disenrollment process in those cases where an Enrollee's request for Disenrollment involves an urgent medical need, a complaint of non-consensual Enrollment or, in local districts where homeless individuals are exempt, homeless individuals in the shelter system. If approved, the LDSS will manually process the Disenrollment through the PCP Subsystem. MMC Enrollees who request to be disenrolled from managed care based on their documented HIV, ESRD, or SPMI/SED status are categorically eligible for an expedited Disenrollment on the basis of urgent medical need.
- iii) The LDSS is responsible for processing routine Disenrollment requests to take effect on the first (1st) day of the following month if the request is made **before** the fifteenth (15th) day of the month. In no event shall the Effective Date of Disenrollment be later than the first (1st) day of the second month after the month in which an Enrollee requests a Disenrollment.
- iv) The LDSS is responsible for disenrolling Enrollees automatically upon death or loss of Medicaid eligibility. All such Disenrollments will be effective at the end of the month in which the death or loss of eligibility occurs or at the end of the last month of Guaranteed Eligibility, where applicable.
- v) The LDSS is responsible for informing Enrollees of their right to change MCOs including any applicable Lock-In restrictions. Enrollees subject to Lock-In may disenroll after the grace period for Good Cause as defined below. The LDSS is responsible for determining if the Enrollee has Good Cause and processing the Disenrollment request in accordance with the procedures outlined in this Appendix. The LDSS is responsible for providing Enrollees with notice of their right to request a fair hearing if their Disenrollment request is denied. Such notice must include the reason(s) for the denial. An Enrollee has Good Cause to disenroll if:
 - A) The Contractor has failed to furnish accessible and appropriate medical care services or supplies to which the Enrollee is entitled under the terms of the contract under which the Contractor has agreed to provide services. This includes, but is not limited to the failure to:
 - I) provide primary care services;
 - II) arrange for in-patient care, consultation with specialists, or laboratory and radiological services when reasonably necessary;
 - III) arrange for consultation appointments;
 - IV) coordinate and interpret any consultation findings with emphasis on continuity of medical care;
 - V) arrange for services with qualified licensed or certified providers;

- VI) coordinate the Enrollee's overall medical care such as periodic immunizations and diagnosis and treatment of any illness or injury; or
- B) The Contractor cannot make a Primary Care Provider available to the Enrollee within the time and distance standards prescribed by SDOH; or
 - C) The Contractor fails to adhere to the standards prescribed by SDOH and such failure negatively and specifically impacts the Enrollee; or
 - D) The Enrollee moves his/her residence out of the Contractor's service area or to a county where the Contractor does not offer the product the Enrollee is eligible for; or
 - E) The Enrollee meets the criteria for an Exemption or Exclusion as set forth in 2(b)(xi) of this Appendix; or
 - F) It is determined by the LDSS, the SDOH, or its agent that the Enrollment was not consensual; or
 - G) The Enrollee, the Contractor and the LDSS agree that a change of MCOs would be in the best interest of the Enrollee; or
 - H) The Contractor is a primary care partial capitation provider that does not have a utilization review process in accordance with Title I of Article 49 of the PHL and the Enrollee requests Enrollment in an MCO that has such a utilization review process; or
 - I) The Contractor has elected not to cover the Benefit Package service that an Enrollee seeks and the service is offered by one or more other MCOs in the Enrollee's county of fiscal responsibility; or
 - J) The Enrollee's medical condition requires related services to be performed at the same time but all such related services cannot be arranged by the Contractor because the Contractor has elected not to cover one of the services the Enrollee seeks, and the Enrollee's Primary Care Provider or another provider determines that receiving the services separately would subject the Enrollee to unnecessary risk; or
 - K) The Contractor does not contract with an FQHC and one or more MCOs in the Enrollee's county of fiscal responsibility provides the service.
- vi) An Enrollee subject to Lock-In may initiate Disenrollment for Good Cause by filing an oral or written request with the LDSS .
- vii) The LDSS is responsible for promptly disenrolling an MMC Enrollee whose MMC eligibility or health status changes such that he/she is deemed by the LDSS

to meet the Exclusion criteria. The LDSS will provide the MMC Enrollee with a notice of his or her right to request a fair hearing.

- viii) In instances where an MMC Enrollee requests Disenrollment due to MMC Exclusion, the LDSS must notify the MMC Enrollee of the approval or denial of exclusion/Disenrollment status, including fair hearing rights if Disenrollment is denied.
- ix) The LDSS is responsible for ensuring that retroactive Disenrollments are used only when absolutely necessary. Circumstances warranting a retroactive Disenrollment are rare and include when an individual is non-consensually enrolled in a MCO; he or she enters or resides in a residential institution under circumstances which render the individual Excluded from the MMC program; is incarcerated; is an SSI infant less than six (6) months of age; is simultaneously in receipt of comprehensive health care coverage from a MCO and is Enrolled in either the MMC product of the same MCO; it is determined that an Enrollee with more than one Client Identification Number (CIN) is enrolled in a MCO's MMC product under more than one of the CINs; or dies - as long as the Contractor was not at risk for provision of Benefit Package services for any portion of the retroactive period. Payment of subcapitation does not constitute "provision of Benefit Package services." The LDSS is responsible for notifying the Contractor of the retroactive Disenrollment prior to the action. The LDSS is responsible for finding out if the Contractor has made payments to providers on behalf of the Enrollee prior to Disenrollment. After this information is obtained, the LDSS and Contractor will agree on a retroactive Disenrollment or prospective Disenrollment date. In all cases of retroactive Disenrollment, including Disenrollments effective the first day of the current month, the LDSS is responsible for sending notice to the Contractor at the time of Disenrollment, of the Contractor's responsibility to submit to the SDOH's Fiscal Agent voided premium claims for any full months of retroactive Disenrollment where the Contractor was not at risk for the provision of Benefit Package services during the month. However, failure by the LDSS to so notify the Contractor does not affect the right of the SDOH to recover the premium payment as authorized by Section 3.6 of this Agreement.
- x) Generally the effective dates of Disenrollment are prospective. Effective dates for other than routine Disenrollments are described below:

Reason for Disenrollment	Effective Date of Disenrollment
A) Infants weighing less than 1200 grams at birth and other infants under six (6) months of age who meet the criteria for the SSI or SSI related category	First Day of the month of birth or the month of onset of disability, whichever is later
B) Death of Enrollee	First day of the month after death
C) Incarceration	First day of the month of incarceration (note- Contractor is at risk for covered services only to the date of incarceration and is entitled to the capitation payment for the month of incarceration)

Reason for Disenrollment	Effective Date of Disenrollment
D) Medicaid Managed Care Enrollee entered or stayed in a residential institution under circumstances which rendered the individual excluded from managed care, or is in receipt of waived services through the Long Term Home Health Care Program (LTHHCP), including when an Enrollee is admitted to a hospital that 1) is certified by Medicare as a long-term care hospital and 2) has an average length of stay for all patients greater than ninety-five (95) days as reported in the Statewide Planning and Research Cooperative System (SPARCS) Annual Report 2002.	First day of the month of entry or first day of the month of classification of the stay as permanent subsequent to entry (note- Contractor is at risk for covered services only to the date of entry or classification of the stay as permanent subsequent to entry, and is entitled to the capitation payment for the month of entry or classification of the stay as permanent subsequent to entry)
E) Individual's effective date of Enrollment or autoassignment into a MMC product <u>occurred</u> while meeting institutional criteria in (D) above	Effective Date of Enrollment in the Contractor's Plan
F) Non-consensual Enrollment	Retroactive to the first day of the month of Enrollment
G) Enrollee moved outside of the District/County of Fiscal Responsibility	First day of the month after the update of the system with the new address ¹
H) Urgent medical need	First day of the next month after determination except where medical need requires an earlier Disenrollment
I) Homeless Enrollees in Medicaid Managed Care residing in the shelter system in NYC or in other districts where homeless individuals are exempt	Retroactive to the first day of the month of the request
J) Individual is simultaneously in receipt of comprehensive health care coverage from a MCO and is Enrolled in either the MMC product of the same MCO	First day of the month after simultaneous coverage began
K) An Enrollee with more than one Client Identification Number (CIN) is enrolled in a MCO's MMC product under more than one of the CINs	First day of the month the duplicate Enrollment began

¹ In counties outside of New York City, LDSSs should work together to ensure continuity of care through the Contractor if the Contractor's service area includes the county to which the Enrollee has moved and the Enrollee, with continuous eligibility, wishes to stay enrolled in the Contractor's MMC product. In New York City, Enrollees, not in guaranteed status, who move out of the Contractor's Service Area but not outside of the City of New York (e.g., move from one borough to another), will not be involuntarily disenrolled, but must request a Disenrollment or transfer. These Disenrollments will be performed on a routine basis unless there is an urgent medical need to expedite the Disenrollment.

- xi) The LDSS is responsible for rendering a determination and responding within thirty (30) days of the receipt of a fully documented request for Disenrollment, except for Contractor-initiated Disenrollments where the LDSS decision must be made within fifteen (15) days. The LDSS, to the extent possible, is responsible for processing an expedited Disenrollment within two business days of its determination that an expedited Disenrollment is warranted.

- xii) The Contractor must respond timely to LDSS inquiries regarding Good Cause Disenrollment requests to enable the LDSS to make a determination within 30 days of the receipt of the request from the Enrollee.
- xiii) The LDSS is responsible for sending the following notices to Enrollees regarding their Disenrollment status. Where practicable, the process will allow for timely notification to Enrollees unless there is Good Cause to disenroll more expeditiously.
 - A) Notice of Disenrollment: This notice will advise the Enrollee of the LDSS's determination regarding an Enrollee-initiated, LDSS-initiated or Contractor-initiated Disenrollment and will include the Effective Date of Disenrollment. In cases where the Enrollee is being involuntarily disenrolled, the notice must contain fair hearing rights.
 - B) When the LDSS denies any Enrollee's request for Disenrollment pursuant to Section 8 of this Agreement, the LDSS is responsible for informing the Enrollee in writing, explaining the reason for the denial, stating the facts upon which the denial is based, citing the statutory and regulatory authority and advising the Enrollee of his/her right to a fair hearing pursuant to 18NYCRR Part 358.
 - C) End of Lock-In Notice: Where Lock-In provisions are applicable, Enrollees must be notified sixty (60) days before the end of their Lock-In Period. The SDOH or its designee is responsible for notifying Enrollees of this provision in applicable LDSS jurisdictions.
 - D) Notice of Change to Guarantee Coverage: This notice will advise the Enrollee that his or her Medicaid eligibility is ending and how this affects his or her Enrollment in a MCO's MMC product. This notice contains pertinent information regarding Guaranteed Eligibility benefits and dates of coverage. If an Enrollee is not eligible for Guarantee, this notice is not necessary.
- xiv) **The LDSS may require that a MMC Enrollee that has been disenrolled at the request of the Contractor be returned to the Medicaid fee-for-service program.**
- xv) **In those instances where the LDSS approves the Contractor's request to disenroll an Enrollee, and the Enrollee requests a fair hearing, the Enrollee will remain enrolled in the Contractor's MMC product until the disposition of the fair hearing if Aid to Continue is ordered by the New York State Office of Administrative Hearings.**
- xvi) **The LDSS is responsible for reviewing each Contractor-requested Disenrollment in accordance with the provisions of Section 8.7 of this**

Agreement and this Appendix. Where applicable, the LDSS may consult with local mental health and substance abuse authorities in the district when making the determination to approve or disapprove the request.

- xvii) The LDSS is responsible for establishing procedures whereby the Contractor refers cases which are appropriate for an LDSS-initiated Disenrollment and submits supporting documentation to the LDSS.**
 - xviii) After the LDSS receives and, if appropriate, approves the request for Disenrollment either from the Enrollee or the Contractor, the LDSS is responsible for updating the PCP subsystem file with an end date. The Enrollee is removed from the Contractor's Roster.**
- b) Contractor Responsibilities:
- i) In those instances where the Contractor directly receives Disenrollment forms, the Contractor will forward these Disenrollments to the LDSS for processing within five (5) business days (or according to Section 6 of this Appendix). During pulldown week, these forms may be faxed to the LDSS with the hard copy to follow.
 - ii) The Contractor must accept and transmit all requests for voluntary Disenrollments from its Enrollees to the LDSS, and shall not impose any barriers to Disenrollment requests. The Contractor may require that a Disenrollment request be in writing, contain the signature of the Enrollee, and state the Enrollee's correct Contractor or Medicaid identification number.
 - iii) Following LDSS procedures, the Contractor will refer cases which are appropriate for an LDSS-initiated Disenrollment and will submit supporting documentation to the LDSS. This includes, but is not limited to, changes in status for its Enrollees that may impact eligibility for Enrollment such as address changes, incarceration, death, Exclusion from the MMC program, etc.
 - iv) Pursuant to Section 8.7 of this Agreement, the Contractor may initiate an involuntary Disenrollment if the Enrollee engages in conduct or behavior that seriously impairs the Contractor's ability to furnish services to either the Enrollee or other Enrollees, provided that the Contractor has made and documented reasonable efforts to resolve the problems presented by the Enrollee.
 - v) The Contractor may not request Disenrollment because of an adverse change in the Enrollee's health status, or because of the Enrollee's utilization of medical services, diminished mental capacity, or uncooperative or disruptive behavior resulting from the Enrollee's special needs (except where continued Enrollment in the Contractor's MMC product seriously impairs the Contractor's ability to furnish services to either the Enrollee or other Enrollees).

- vi) The Contractor must make a reasonable effort to identify for the Enrollee, both verbally and in writing, those actions of the Enrollee that have interfered with the effective provision of covered services as well as explain what actions or procedures are acceptable.
- vii) The Contractor shall give prior verbal and written notice to the Enrollee, with a copy to the LDSS, of its intent to request Disenrollment. The written notice shall advise the Enrollee that the request has been forwarded to the LDSS for review and approval. The written notice must include the mailing address and telephone number of the LDSS.
- viii) The Contractor shall keep the LDSS informed of decisions related to all complaints filed by an Enrollee as a result of, or subsequent to, the notice of intent to disenroll.
- ix) The Contractor will not consider an Enrollee disenrolled without confirmation from the LDSS or the Roster (as described in Section 5 of this Appendix).

APPENDIX I

New York State Department of Health Guidelines for Use of Medical Residents and Fellows

Medical Residents and Fellows

1. Medical Residents and Fellows for Primary Care.

- a) The Contractor may utilize medical residents and fellows as participants (but not designated as 'primary care providers') in the care of Enrollees as long as all of the following conditions are met:
- i) Residents/fellows are a part of patient care teams headed by fully licensed and Contractor credentialed attending physicians serving patients in one or more training sites in an "up weighted" or "designated priority" residency program. Residents/fellows in a training program which was disapproved as a designated priority program solely due to the outcome measurement requirement for graduates may be eligible to participate in such patient care teams.
 - ii) Only the attending physicians and certified nurse practitioners on the training team, not residents/fellows, may be credentialed to the Contractor and may be empanelled with Enrollees. Enrollees must be assigned an attending physician or certified nurse practitioner to act as their PCP, though residents/fellows on the team may provide care during all or many of the visits to the Enrollee as long as the majority of these visits are under the direct supervision of the Enrollee's designated PCP. Enrollees have the right to request and receive care by their PCP in addition or instead of being seen by a resident or fellow.
 - iii) Residents/fellows may work with attending physicians and certified nurse practitioners to provide continuity of care to patients under the supervision of the patient's PCP. Patients must be made aware of the resident/fellow and attending PCP relationship and be informed of their rights to be cared for directly by their PCP.
 - iv) Residents/fellows eligible to be involved in a continuity relationship with patients must be available at least 20% of the total training time in the continuity of care setting and no less than 10% of training time in any training year must be in the continuity of care setting and no fewer than nine (9) months a year must be spent in the continuity of care setting.
 - v) Residents/fellows meeting these criteria provide increased capacity for Enrollment to their team according to the formula below. Only hours spent routinely scheduled for patient care in the continuity of care training site may count as providing capacity and are based on 1.0 FTE=40 hours.

PGY-1	300 per FTE
PGY-2	750 per FTE
PGY-3	1125 per FTE
PGY-4 and above	1500 per FTE

- vi) In order for a resident/fellow to provide continuity of care to an Enrollee, both the resident/fellow and the attending PCP must have regular hours in the continuity site and must be scheduled to be in the site together the majority of the time.
- vii) A preceptor/attending is required to be present a minimum of sixteen (16) hours of combined precepting and direct patient care in the primary care setting to be counted as a team supervising PCP and accept an increased number of Enrollees based upon the residents/fellows working on his/her team. Time spent in patient care activities at other clinical sites or in other activities off-site is not counted towards this requirement.
- viii) A sixteen (16) hour per week attending may have no more than four (4) residents/fellows on their team. Attendings spending twenty-four (24) hours per week in patient care/supervisory activity at the continuity site may have six (6) residents/fellows per team. Attendings spending thirty-two (32) hours per week may have eight (8) residents/fellows on their team. Two (2) or more attendings may join together to form a larger team as long as the ratio of attending to residents/fellows does not exceed 1:4 and all attendings comply with the sixteen (16) hour minimum.
- ix) Responsibility for the care of the Enrollee remains with the attending physician. All attending and resident/fellow teams must provide adequate continuity of care, twenty-four (24) hour a day, seven (7) day a week coverage, and appointment and availability access. Enrollees must be given the name of the responsible primary care physician (attending) in writing and be told how he or she may contact the attending physician or covering physician, if needed.
- x) Residents/fellows who do not qualify to act as continuity providers as part of an attending and resident/fellow team may still participate in the episodic care of Enrollees as long as that care is under the supervision of an attending physician credentialed to the Contractor. Such residents/fellows do not add to the capacity of that attending to empanel Enrollees.
- xi) Certified nurse practitioners and registered physician's assistants may not act as attending preceptors for resident physicians or fellows.

2. Medical Residents and Fellows as Specialty Care Providers

- a) Residents/fellows may participate in the specialty care of Enrollees in all settings supervised by fully licensed and Contractor credentialed specialty attending physicians.
- b) Only the attending physicians, not residents or fellows, may be credentialed by the Contractor. Each attending must be credentialed by each MCO with which he or she

will participate. Residents/fellows may perform all or many of the clinical services for the Enrollee as long as these clinical services are under the supervision of an appropriately credentialed specialty physician. Even when residents/fellows are credentialed by their program in particular procedures, certifying their competence to perform and teach those procedures, the overall care of each Enrollee remains the responsibility of the supervising Contractor credentialed attending.

- c) The Contractor agrees that although many Enrollees will identify a resident or fellow as their specialty provider, the responsibility for all clinical decision-making remains ultimately with the attending physician of record.
- d) Enrollees must be given the name of the responsible attending physician in writing and be told how they may contact their attending physician or covering physician, if needed. This allows Enrollees to assist in the communication between their primary care provider and specialty attending and enables them to reach the specialty attending if an emergency arises in the course of their care. Enrollees must be made aware of the resident/fellow and attending relationship and must have a right to be cared for directly by the responsible attending physician, if requested.
- e) Enrollees requiring ongoing specialty care must be cared for in a continuity of care setting. This requires the ability to make follow-up appointments with a particular resident/fellow and attending physician team, or if that provider team is not available, with a member of the provider's coverage group in order to insure ongoing responsibility for the patient by his/her Contractor credentialed specialist. The responsible specialist and his/her specialty coverage group must be identifiable to the patient as well as to the referring primary care provider.
- f) Attending specialists must be available for emergency consultation and care during non-clinic hours. Emergency coverage may be provided by residents/fellows under adequate supervision. The attending or a member of the attending's coverage group must be available for telephone and/or in-person consultation when necessary.
- g) All training programs participating in the MMC Program must be accredited by the appropriate academic accrediting agency.
- h) All sites in which residents/fellows train must produce legible (preferably typewritten) consultation reports. Reports must be transmitted such that they are received in a time frame consistent with the clinical condition of the patient, the urgency of the problem and the need for follow-up by the primary care physician. At a minimum, reports should be transmitted so that they are received no later than two (2) weeks from the date of the specialty visit.
- i) Written reports are required at the time of initial consultation and again with the receipt of all major significant diagnostic information or changes in therapy. In addition, specialists must promptly report to the referring primary care physician any

significant findings or urgent changes in therapy which result from the specialty consultation.

3. Training Sites

All training sites must deliver the same standard of care to all patients irrespective of payor. Training sites must integrate the care of Medicaid, uninsured and private patients in the same settings.

APPENDIX J

New York State Department of Health Guidelines for Contractor Compliance with the Federal Americans with Disabilities Act

I. OBJECTIVES

Title II of the Americans With Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973 (Section 504) provides that no qualified individual with a disability shall, by reason of such disability, be excluded from participation in or denied access to the benefits of services, programs or activities of a public entity, or be subject to discrimination by such an entity. Public entities include State and local government and ADA and Section 504 requirements extend to all programs and services provided by State and local government. Since MMC are government programs, health services provided through MMC Programs must be accessible to all that qualify for them.

Contractor responsibilities for compliance with the ADA are imposed under Title II and Section 504 when, as a Contractor in a MMC Program, a Contractor is providing a government service. If an individual provider under contract with the Contractor is not accessible, it is the responsibility of the Contractor to make arrangements to assure that alternative services are provided. The Contractor may determine it is expedient to make arrangements with other providers, or to describe reasonable alternative means and methods to make these services accessible through its existing Participating Providers. The goals of compliance with ADA Title II requirements are to offer a level of services that allows people with disabilities access to the program in its entirety, and the ability to achieve the same health care results as any Enrollee.

Contractor responsibilities for compliance with the ADA are also imposed under Title III when the Contractor functions as a public accommodation providing services to individuals (e.g. program areas and sites such as Marketing, education, member services, orientation, Complaints and Appeals). The goals of compliance with ADA Title III requirements are to offer a level of services that allows people with disabilities full and equal enjoyment of the goods, services, facilities or accommodations that the entity provides for its customers or clients. New and altered areas and facilities must be as accessible as possible. Whenever Contractors engage in new construction or renovation, compliance is also required with accessible design and construction standards promulgated pursuant to the ADA as well as State and local laws. Title III also requires that public accommodations undertake "readily achievable barrier removal" in existing facilities where architectural and communications barriers can be removed easily and without much difficulty or expense.

The State uses MCO Qualification Standards to qualify MCOs for participation in the MMC Programs. Pursuant to the State's responsibility to assure program access to all Enrollees, the Plan Qualification Standards require each MCO to submit an ADA Compliance Plan that describes in detail how the MCO will make services, programs and activities readily accessible and useable by individuals with disabilities. In the event that certain program sites are not readily accessible, the MCO must describe reasonable alternative methods for making the services or activities accessible and usable.

The objectives of these guidelines are threefold:

- To ensure that Contractors take appropriate steps to measure access and assure program accessibility for persons with disabilities;
- To provide a framework for Contractors as they develop a plan to assure compliance with the Americans with Disabilities Act (ADA); and
- To provide standards for the review of the Contractor Compliance Plans.

These guidelines include a general standard followed by a discussion of specific considerations and suggestions of methods for assuring compliance. Please be advised that, although these guidelines and any subsequent reviews by State and local governments can give the Contractor guidance, it is ultimately the Contractor's obligation to ensure that it complies with its Contractual obligations, as well as with the requirements of the ADA, Section 504, and other federal, state and local laws. Other federal, state and local statutes and regulations also prohibit discrimination on the basis of disability and may impose requirements in addition to those established under ADA. For example, while the ADA covers those impairments that "substantially" limit one or more of the major life activities of an individual, New York City Human Rights Law deletes the modifier "substantially".

II. DEFINITIONS

a. "Auxiliary aids and services" may include qualified interpreters, note takers, computer-aided transcription services, written materials, telephone handset amplifiers, assistive listening systems, telephones compatible with hearing aids, closed caption decoders, open and closed captioning, telecommunications devices for Enrollees who are deaf or hard of hearing (TTY/TDD), video test displays, and other effective methods of making aurally delivered materials available to individuals with hearing impairments; qualified readers, taped texts, audio recordings, Braille materials, large print materials, or other effective methods of making visually delivered materials available to individuals with visual impairments.

b. "Disability" means a mental or physical impairment that substantially limits one or more of the major life activities of an individual; a record of such impairment; or being regarded as having such an impairment.

III. SCOPE OF CONTRACTOR COMPLIANCE PLAN

The Contractor Compliance Plan must address accessibility to services at Contractor's program sites, including both Participating Provider sites and Contractor facilities intended for use by Enrollees.

IV. PROGRAM ACCESSIBILITY

Public programs and services, when viewed in their entirety must be readily accessible to and useable by individuals with disabilities. This standard includes physical access, non-discrimination in policies and procedures and communication. Communications with individuals

with disabilities are required to be as effective as communications with others. The Contractor Compliance Plan must include a detailed description of how Contractor services, programs, and activities are readily accessible and usable by individuals with disabilities. In the event that full physical accessibility is not readily available for people with disabilities, the Contractor Compliance Plan will describe the steps or actions the Contractor will take to assure accessibility to services equivalent to those offered at the inaccessible facilities.

A. PRE-ENROLLMENT MARKETING AND EDUCATION

STANDARD FOR COMPLIANCE

Marketing staff, activities and materials will be made available to persons with disabilities. Marketing materials will be made available in alternative formats (such as Braille, large print, and audiotapes) so that they are readily usable by people with disabilities.

SUGGESTED METHODS FOR COMPLIANCE

1. Activities held in physically accessible location, or staff at activities available to meet with person in an accessible location as necessary
2. Materials available in alternative formats, such as Braille, large print, audio tapes
3. Staff training which includes training and information regarding attitudinal barriers related to disability
 4. Activities and fairs that include sign language interpreters or the distribution of a written summary of the marketing script used by Contractor marketing representatives
5. Enrollee health promotion material/activities targeted specifically to persons with disabilities (e.g. secondary infection prevention, decubitus prevention, special exercise programs, etc.)
6. Policy statement that Marketing Representatives will offer to read or summarize to blind or vision impaired individuals any written material that is typically distributed to all Enrollees
7. Staff/resources available to assist individuals with cognitive impairments in understanding materials

COMPLIANCE PLAN SUBMISSION

1. A description of methods to ensure that the Contractor's Marketing presentations (materials and communications) are accessible to persons with auditory, visual and cognitive impairments
2. A description of the Contractor's policies and procedures, including Marketing training, to ensure that Marketing Representatives neither screen health status nor ask questions about health status or prior health care services

B. MEMBER SERVICES DEPARTMENT

Member services functions include the provision to Enrollees of information necessary to make informed choices about treatment options, to effectively utilize the health care resources, to assist Enrollees in making appointments, and to field questions and Complaints, to assist Enrollees with the Complaint process.

B1. ACCESSIBILITY

STANDARD FOR COMPLIANCE

Member Services sites and functions will be made accessible to and usable by, people with disabilities.

SUGGESTED METHODS FOR COMPLIANCE (include, but are not limited to those identified below):

1. Exterior routes of travel, at least 36" wide, from parking areas or public transportation stops into the Contractor's facility
2. If parking is provided, spaces reserved for people with disabilities, pedestrian ramps at sidewalks, and drop-offs
3. Routes of travel into the facility are stable, slip-resistant, with all steps > 1/2" ramped, doorways with minimum 32" opening
4. Interior halls and passageways providing a clear and unobstructed path or travel at least 36" wide to bathrooms and other rooms commonly used by Enrollees
5. Waiting rooms, restrooms, and other rooms used by Enrollees are accessible to people with disabilities
6. Sign language interpreters and other auxiliary aids and services provided in appropriate circumstances
7. Materials available in alternative formats, such as Braille, large print, audio tapes
8. Staff training which includes sensitivity training related to disability issues [Resources and technical assistance are available through the NYS Office of Advocate for Persons with Disabilities - V/TTY (800) 522-4369; and the NYC Mayor's Office for People with Disabilities - (212) 788-2830 or TTY (212)788-2838]
9. Availability of activities and educational materials tailored to specific conditions/illnesses and secondary conditions that affect these populations (e.g. secondary infection prevention, decubitus prevention, special exercise programs, etc.)
10. Contractor staff trained in the use of telecommunication devices for Enrollees who are deaf or hard of hearing (TTY/TDD) as well as in the use of NY Relay for phone communication
11. New Enrollee orientation available in audio or by interpreter services
12. Policy that when member services staff receive calls through the NY Relay, they will offer to return the call utilizing a direct TTY/TDD connection

COMPLIANCE PLAN SUBMISSION

1. A description of accessibility to the Contractor's member services department or reasonable alternative means to access member services for Enrollees using wheelchairs (or other mobility aids)
2. A description of the methods the Contractor's member services department will use to communicate with Enrollees who have visual or hearing impairments, including any necessary auxiliary aid/services for Enrollees who are deaf or hard of hearing, and TTY/TDD technology or NY Relay service available through a toll-free telephone number
3. A description of the training provided to the Contractor's member services staff to assure that staff adequately understands how to implement the requirements of the program, and of these guidelines, and are sensitive to the needs of persons with disabilities

B2.IDENTIFICATION OF ENROLLEES WITH DISABILITIES

STANDARD FOR COMPLIANCE

The Contractor must have in place satisfactory methods/guidelines for identifying persons at risk of, or having, chronic diseases and disabilities and determining their specific needs in terms of specialist physician referrals, durable medical equipment, medical supplies, home health services etc. The Contractor may not discriminate against a Prospective Enrollee based on his/her current health status or anticipated need for future health care. The Contractor may not discriminate on the basis of disability, or perceived disability of an Enrollee or their family member. Health assessment forms may not be used by the Contractor prior to Enrollment. Once a MCO has been chosen, a health assessment form may be used to assess the person's health care needs.

SUGGESTED METHODS FOR COMPLIANCE

1. Appropriate post Enrollment health screening for each Enrollee, using an appropriate health screening tool
2. Patient profiles by condition/disease for comparative analysis to national norms, with appropriate outreach and education
3. Process for follow-up of needs identified by initial screening; e.g. referrals, assignment of case manager, assistance with scheduling/keeping appointments
4. Enrolled population disability assessment survey
5. Process for Enrollees who acquire a disability subsequent to Enrollment to access appropriate services

COMPLIANCE PLAN SUBMISSION

A description of how the Contractor will identify special health care, physical access or communication needs of Enrollees on a timely basis, including but not limited to the health care needs of Enrollees who:

- are blind or have visual impairments, including the type of auxiliary aids and services required by the Enrollee

- are deaf or hard of hearing, including the type of auxiliary aids and services required by the Enrollee
- have mobility impairments, including the extent, if any, to which they can ambulate
- have other physical or mental impairments or disabilities, including cognitive impairments
- have conditions which may require more intensive case management

B3. NEW ENROLLEE ORIENTATION

STANDARD FOR COMPLIANCE

Enrollees will be given information sufficient to ensure that they understand how to access medical care through the Contractor. This information will be made accessible to and usable by people with disabilities.

SUGGESTED METHODS FOR COMPLIANCE

1. Activities held in physically accessible location, or staff at activities available to meet with person in an accessible location as necessary
2. Materials available in alternative formats, such as Braille, large print, audio tapes
3. Staff training which includes sensitivity training related to disability issues [Resources and technical assistance are available through the NYS Office of Advocate for Persons with Disabilities - V/TTY (800) 522-4369; and the NYC Mayor's Office for People with Disabilities - (212) 788-2830 or TTY (212)788-2838]
 4. Activities and fairs that include sign language interpreters or the distribution of a written summary of the Marketing script used by Contractor marketing representatives
5. Include in written/audio materials available to all Enrollees information regarding how and where people with disabilities can access help in getting services, for example help with making appointments or for arranging special transportation, an interpreter or assistive communication devices
6. Staff/resources available to assist individuals with cognitive impairments in understanding materials

COMPLIANCE PLAN SUBMISSION

1. A description of how the Contractor will advise Enrollees with disabilities, during the new Enrollee orientation on how to access care
 2. A description of how the Contractor will assist new Enrollees with disabilities (as well as current Enrollees who acquire a disability) in selecting or arranging an appointment with a Primary Care Practitioner (PCP)
- This should include a description of how the Contractor will assure and provide notice to Enrollees who are deaf or hard of hearing, blind or who have visual impairments, of their right to obtain necessary auxiliary aids and services during appointments and in scheduling appointments and follow-up treatment with Participating Providers

- In the event that certain provider sites are not physically accessible to Enrollees with mobility impairments, the Contractor will assure that reasonable alternative site and services are available
3. A description of how the Contractor will determine the specific needs of an Enrollee with or at risk of having a disability/chronic disease, in terms of specialist physician referrals, durable medical equipment (including assistive technology and adaptive equipment), medical supplies and home health services and will assure that such contractual services are provided
 4. A description of how the Contractor will identify if an Enrollee with a disability requires on-going mental health services and how the Contractor will encourage early entry into treatment
 5. A description of how the Contractor will notify Enrollees with disabilities as to how to access transportation, where applicable

B4. COMPLAINTS, COMPLAINT APPEALS AND ACTION APPEALS

STANDARD FOR COMPLIANCE

The Contractor will establish and maintain a procedure to protect the rights and interests of both Enrollees and the Contractor by receiving, processing, and resolving Complaints, Complaint Appeals and Action Appeals in an expeditious manner, with the goal of ensuring resolution of Complaints, Complaint Appeals, and Action Appeals and access to appropriate services as rapidly as possible.

All Enrollees must be informed about the Grievance System within their Contractor and the procedure for filing Complaints, Complaint Appeals and Action Appeals. This information will be made available through the Member Handbook, SDOH toll-free Complaint line [1-(800) 206-8125] and the Contractor's Complaint process annually, as well as when the Contractor denies a benefit or referral. The Contractor will inform Enrollees of the Contractor's Grievance System; Enrollees' right to contact the LDSS or SDOH with a Complaint, and to file a Complaint Appeal, Action Appeal or request a fair hearing; the right to appoint a designee to handle a Complaint, Complaint Appeal or Action Appeal; and the toll free Complaint line. The Contractor will maintain designated staff to take and process Complaints, Complaint Appeals and Action Appeals, and be responsible for assisting Enrollees in Complaint, Complaint Appeal or Action Appeal resolution.

The Contractor will make all information regarding the Grievance System available to and usable by people with disabilities, and will assure that people with disabilities have access to sites where Enrollees typically file Complaints and requests for Complaint Appeals and Action Appeals.

SUGGESTED METHODS FOR COMPLIANCE

1. Toll-free Complaint phone line with TDD/TTY capability
2. Staff trained in Complaint process, and able to provide interpretive or assistive support to Enrollee during the Complaint process

3. Notification materials and Complaint forms in alternative formats for Enrollees with visual or hearing impairments
4. Availability of physically accessible sites, e.g. member services department sites
5. Assistance for individuals with cognitive impairments

COMPLIANCE PLAN SUBMISSION

1. A description of how the Contractor's Complaint, Complaint Appeals and Action Appeal procedures shall be accessible for persons with disabilities, including:
 - procedures for Complaints, Complaint Appeals and Action Appeals to be made in person at sites accessible to persons with mobility impairments
 - procedures accessible to persons with sensory or other impairments who wish to make verbal Complaints, Complaint Appeals or Action Appeals, and to communicate with such persons on an ongoing basis as to the status or their Complaints and rights to further appeals
 - description of methods to ensure notification material is available in alternative formats for Enrollees with vision and hearing impairments
2. A description of how the Contractor monitors Complaints, Complaint Appeals and Action Appeals related to people with disabilities. Also, as part of the Compliance Plan, the Contractor must submit a summary report based on the Contractor's most recent year's Complaint, Complaint Appeals and Action Appeals data.

C. CASE MANAGEMENT

STANDARD FOR COMPLIANCE

The Contractor must have in place adequate case management systems to identify the service needs of all Enrollees, including Enrollees with chronic illness and Enrollees with disabilities, and ensure that medically necessary covered benefits are delivered on a timely basis. These systems must include procedures for standing referrals, specialists as PCPs, and referrals to specialty centers for Enrollees who require specialized medical care over a prolonged period of time (as determined by a treatment plan approved by the Contractor in consultation with the primary care provider, the designated specialist and the Enrollee or his/her designee), out-of-network referrals and continuation of existing treatment relationships with out-of-network providers (during transitional period).

SUGGESTED METHODS FOR COMPLIANCE

1. Procedures for requesting specialist physicians to function as PCP
2. Procedures for requesting standing referrals to specialists and/or specialty centers, out-of-network referrals, and continuation of existing treatment relationships
3. Procedures to meet Enrollee needs for, durable medical equipment, medical supplies, home visits as appropriate
4. Appropriately trained Contractor staff to function as case managers for special needs populations, or sub-contract arrangements for case management
5. Procedures for informing Enrollees about the availability of case management services

COMPLIANCE PLAN SUBMISSION

1. A description of the Contractor case management program for people with disabilities, including case management functions, procedures for qualifying for and being assigned a case manager, and description of case management staff qualifications
2. A description of the Contractor's model protocol to enable Participating Providers, at their point of service, to identify Enrollees who require a case manager
3. A description of the Contractor's protocol for assignment of specialists as PCP, and for standing referrals to specialists and specialty centers, out-of-network referrals and continuing treatment relationships
4. A description of the Contractor's notice procedures to Enrollees regarding the availability of case management services, specialists as PCPs, standing referrals to specialists and specialty centers, out-of-network referrals and continuing treatment relationships

D. PARTICIPATING PROVIDERS

STANDARD FOR COMPLIANCE

The Contractor's network will include all the provider types necessary to furnish the Benefit Package, to assure appropriate and timely health care to all Enrollees, including those with chronic illness and/or disabilities. Physical accessibility is not limited to entry to a provider site, but also includes access to services within the site, e.g. exam tables and medical equipment.

SUGGESTED METHODS FOR COMPLIANCE

1. Process for the Contractor to evaluate provider network to ascertain the degree of provider accessibility to persons with disabilities, to identify barriers to access and required modifications to policies/procedures
2. Model protocol to assist Participating Providers, at their point of service, to identify Enrollees who require case manager, audio, visual, mobility aids, or other accommodations
3. Model protocol for determining needs of Enrollees with mental disabilities
4. Use of Wheelchair Accessibility Certification Form (see attached)
5. Submission of map of physically accessible sites
6. Training for providers re: compliance with Title III of ADA, e.g. site access requirements for door widths, wheelchair ramps, accessible diagnostic/treatment rooms and equipment; communication issues; attitudinal barriers related to disability, etc. [Resources and technical assistance are available through the NYS Office of Advocate for Persons with Disabilities -V/TTY (800) 522-4369; and the NYC Mayor's Office for People with Disabilities - (212) 788-2830 or TTY (212) 788-2838].
7. Use of NYS Office of Persons with Disabilities (OAPD) ADA Accessibility Checklist for Existing Facilities and NYC Addendum to OAPD ADA Accessibility Checklist as guides for evaluating existing facilities and for new construction and/or alteration.

COMPLIANCE PLAN SUBMISSION

1. A description of how the Contractor will ensure that its Participating Provider network is accessible to persons with disabilities. This includes the following:
 - Policies and procedures to prevent discrimination on the basis of disability or type of illness or condition
 - Identification of Participating Provider sites which are accessible by people with mobility impairments, including people using mobility devices. If certain provider sites are not physically accessible to persons with disabilities, the Contractor shall describe reasonable, alternative means that result in making the provider services readily accessible.
 - Identification of Participating Provider sites which do not have access to sign language interpreters or reasonable alternative means to communicate with Enrollees who are deaf or hard of hearing; and for those sites describe reasonable alternative methods to ensure that services will be made accessible
 - Identification of Participating Providers which do not have adequate communication systems for Enrollees who are blind or have vision impairments (e.g. raised symbol and lettering or visual signal appliances), and for those sites describe reasonable alternative methods to ensure that services will be made accessible
2. A description of how the Contractor's specialty network is sufficient to meet the needs of Enrollees with disabilities
3. A description of methods to ensure the coordination of out-of-network providers to meet the needs of the Enrollees with disabilities
 - This may include the implementation of a referral system to ensure that the health care needs of Enrollees with disabilities are met appropriately
 - The Contractor shall describe policies and procedures to allow for the continuation of existing relationships with out-of-network providers, when in the best interest of the Enrollee with a disability
4. Submission of the ADA Compliance Summary Report or Contractor statement that data submitted to SDOH on the Health Provider Network (HPN) files is an accurate reflection of each network's physical accessibility

E. POPULATIONS WITH SPECIAL HEALTH CARE NEEDS

STANDARD FOR COMPLIANCE

The Contractor will have satisfactory methods for identifying persons at risk of, or having, chronic disabilities and determining their specific needs in terms of specialist physician referrals, durable medical equipment, medical supplies, home health services, etc. The Contractor will have satisfactory systems for coordinating service delivery and, if necessary, procedures to allow continuation of existing relationships with out-of-network provider for course of treatment.

SUGGESTED METHODS FOR COMPLIANCE

1. Procedures for requesting standing referrals to specialists and/or specialty centers, specialist physicians to function as PCP, out-of-network referrals, and continuation of existing relationships with out-of-network providers for course of treatment

2. Linkages with behavioral health agencies, disability and advocacy organizations, etc.
3. Adequate network of providers and sub-specialists (including pediatric providers and sub-specialists) and contractual relationships with tertiary institutions
4. Procedures for assuring that these populations receive appropriate diagnostic work-ups on a timely basis
5. Procedures for assuring that these populations receive appropriate access to durable medical equipment on a timely basis
6. Procedures for assuring that these populations receive appropriate allied health professionals (Physical, Occupational and Speech Therapists, Audiologists) on a timely basis
7. State designation as a Well Qualified Plan to serve the OMRDD population and look-alikes

COMPLIANCE PLAN SUBMISSION

1. A description of arrangements to ensure access to specialty care providers and centers in and out of New York State, standing referrals, specialist physicians to function as PCP, out-of-network referrals, and continuation of existing relationships (out-of-network) for diagnosis and treatment of rare disorders
2. A description of appropriate service delivery for children with disabilities. This may include a description of methods for interacting with school districts, child protective service agencies, early intervention officials, behavioral health, and disability and advocacy organizations.
3. A description of the sub-specialist network, including contractual relationships with tertiary institutions to meet the health care needs of people with disabilities

F. ADDITIONAL ADA RESPONSIBILITIES FOR PUBLIC ACCOMMODATIONS

Please note that Title III of the ADA applies to all non-governmental providers of health care. Title III of the Americans with Disabilities Act prohibits discrimination on the basis of disability in the full and equal enjoyment of goods, services, facilities, privileges, advantages or accommodations of any place of public accommodation. A public accommodation is a private entity that owns, leases or leases to, or operates a place of public accommodation. Places of public accommodation identified by the ADA include, but are not limited to, stores (including pharmacies) offices (including doctors' offices), hospitals, health care providers, and social service centers.

New and altered areas and facilities must be as accessible as possible. Barriers must be removed from existing facilities when it is readily achievable, defined by the ADA as easily accomplishable without much difficulty or expense. Factors to be considered when determining if barrier removal is readily achievable include the cost of the action, the financial resources of the site involved, and, if applicable, the overall financial resources of any parent corporation or entity. If barrier removal is not readily achievable, the ADA requires alternate methods of making goods and services available. New facilities must be accessible unless structurally impracticable.

Title III also requires places of public accommodation to provide any auxiliary aids and services that are needed to ensure equal access to the services it offers, unless a fundamental alteration in

the nature of services or an undue burden would result. Auxiliary aids include but are not limited to qualified sign interpreters, assistive listening systems, readers, large print materials, etc. Undue burden is defined as “significant difficulty or expense”. The factors to be considered in determining “undue burden” include, but are not limited to, the nature and cost of the action required and the overall financial resources of the provider. “Undue burden” is a higher standard than “readily achievable” in that it requires a greater level of effort on the part of the public accommodation.

Please note also that the ADA is not the only law applicable for people with disabilities. In some cases, State or local laws require more than the ADA. For example, New York City’s Human Rights Law, which also prohibits discrimination against people with disabilities, includes people whose impairments are not as “substantial” as the narrower ADA and uses the higher “undue burden” (“reasonable”) standard where the ADA requires only that which is “readily achievable”. New York City’s Building Code does not permit access waivers for newly constructed facilities and requires incorporation of access features as existing facilities are renovated. Finally, the State Hospital code sets a higher standard than the ADA for provision of communication (such as sign language interpreters) for services provided at most hospitals, even on an outpatient basis.

APPENDIX K

**BENEFIT PACKAGE
PRIMARY CARE PARTIAL CAPITATION PROVIDER
DEFINITIONS OF COVERED AND
NON-COVERED SERVICES**

APPENDIX K.1
PRIMARY CARE PARTIAL CAPITATION PROVIDER (PCPCP) BENEFIT PACKAGE AND
DEFINITIONS OF COVERED AND NON-COVERED SERVICES

BENEFIT PACKAGE The This Appendix identifies Covered Services and Non-Covered Services. **Covered Services** include: Capitated Services (Primary and Preventive care and Medical Case Management), and Referred services.

COVERED SERVICES		Medicaid Fee-For-Service No Referral Required
<p>PRIMARY AND PREVENTIVE SERVICES - (Included in the capitation payment) Capitated services are provided directly by, or arranged for by the PCP.</p>	<p>REFERRED SERVICES Paid by Medicaid fee-for-service with a Referral from the PCP. Referred services are services that are not included in the capitation payment. The PCP is responsible for coordinating, locating and monitoring these services. These services are paid fee-for-service through eMedNY.</p>	<p>Paid by Medicaid fee-for-service no Referral required The following Medicaid services are not covered by the Contractor. Enrollees may obtain such services directly from Medicaid providers who, in turn, shall bill eMedNY directly for payment. The person remains enrolled in Contractor's plan.</p>
<ul style="list-style-type: none"> • Primary Care Physician Services_(See Schedule 1 for a list of Primary Care medical services.) • Early Periodic Screening Diagnosis and Treatment (EPSDT) Services Through the Child Teen Health Program (C/THP) and Adolescent Preventive Services • Medical Case Management • Primary Care Nurse Practitioner Services 	<ul style="list-style-type: none"> • Physician Specialty Services • Specialty Nurse Practitioner Care • Midwifery • Radiology Services • Inpatient services in any Licensed General Hospital: Including Inpatient Stay Pending Alternate Level of Medical Care. Excluding inpatient services associated with mental health, mental retardation, alcoholism, and other substance abuse services • Post-Stabilization Care and Services • Audiology, Hearing Aid Services and Products • Professional Ambulatory Services • Laboratory services • Home Health Services • Services of Other Practitioners • Private Duty Nursing services • Foot Care Services • Rehabilitation services (Occupational Therapists, Physical Therapists, and Speech-Language Pathologists) in non-residential setting. If provided in a residential setting Enrollee must be disenrolled. • Durable Medical Equipment (DME), Prosthetic Appliance, Orthotic Footwear • Renal Dialysis • Experimental or Investigational Treatment • Emergency Services – the Emergency Services provider must have the Referring ID in order to be paid, but Emergency Services do not require prior authorization. 	<p>A. Medical Non-Covered Services</p> <ul style="list-style-type: none"> • Family Planning and Reproductive Health Care • Dental Services • Eye Care: Optical/ Ophthalmic Services • Personal Care Agency Services • Residential Health Care Facilities (RHCF) • Hospice Program • Prescription and Non Prescription (OTC) Drugs, Medical Supplies, and Enteral Formula <p>•</p> <p>B. Behavioral Health Services</p> <ul style="list-style-type: none"> • Chemical Dependence Services • Mental Health Services • Rehabilitation Services Provided to Residents of OMH Licensed Community Residences (CRS) and Family Based Treatment Programs • Office of Mental Retardation and Developmental Disabilities (OMRDD) Services <p>C. Other Non Covered Services</p> <ul style="list-style-type: none"> • Comprehensive Medicaid Case Management (CMCM) • The Early Intervention Program(EIP) • Preschool Supportive Health Services • School Supportive Health Services • Directly Observed Therapy for Tuberculosis Disease • AIDS Adult Day Health Care • HIV COBRA Case Management • Adult Day Health Care • Transportation

K.2 DEFINITIONS

The full description and scope of each Medicaid covered service as established by the New York Medical Assistance Program are set forth in the applicable eMedNY Provider Manual.

All covered services must be provided by, arranged for, or authorized by the Contractor or its Participating Providers. Covered services include Capitated and Referred Services.

BENEFIT PACKAGE DEFINITIONS OF COVERED SERVICES

Capitated Services (Primary and Preventive Care and Medical Case Management)

1. Primary Care Physician Services are physicians' services, furnished in the office, the Enrollee's home, a hospital, a skilled nursing facility, or elsewhere. Services furnished by a physician:

- a) within the scope of practice of medicine or osteopathy as defined in law by the New York State Education Department; and
- b) by or under the personal supervision of an individual licensed and currently registered by the New York State Education Department to practice medicine.
- c) The following are also included without limitations:
 - i) pharmaceuticals and medical supplies routinely furnished or administered as part of an office visit identified on Schedule 1;
 - ii) physical examinations, including those which are necessary for employment, school, and camp;
 - iii) physical and/or mental health, or alcohol and substance abuse examinations of children and their parents as requested by the LDSS to fulfill its statutory responsibilities for the protection of children and adults and for children in foster care;
 - iv) health and mental health assessments for the purpose of making recommendations regarding an Enrollee's disability status for Federal SSI applications;
 - v) health assessments for the Infant /Child Assessment Program (ICHAP);
 - vi) annual preventive health visits for adolescents;
 - vii) new admission exams for school children if required by the LDSS;
 - viii) health screening, assessment and treatment of refugees, including completing SDOH/LDSS required forms;
 - ix) Child/Teen Health Program (C/THP) services which are comprehensive primary health care services provided to children under twenty-one (21) years of age (see Section 10 of this Agreement) and item 3 of this section;
 - x) services listed on Schedule 1.

2. Certified Nurse Practitioner Services – Primary Care

- a) Certified nurse practitioner services include preventive services, the diagnosis of illness and physical conditions, and the performance of therapeutic and corrective measures, within the scope of the certified nurse practitioner's licensure and collaborative practice agreement with a licensed physician in accordance with the requirements of the NYS Education Department.

- b) The following services are also included in the nurse practitioner's scope of services, without limitation:
 - i) Child/Teen Health Program(C/THP) services which are comprehensive primary health care services provided to children under twenty-one (21) (see page 19 of this Appendix and Section 10.5 of this Agreement);
 - ii) Physical examinations including those which are necessary for employment, school and camp.

3. Early Periodic Screening Diagnosis and Treatment (EPSDT) Services through the Child Teen Health Program (C/THP) and Adolescent Preventive Services 18 NYCRR §508.8

Child/Teen Health Program (C/THP) is a package of early and periodic screening, including inter-periodic screens and, diagnostic and treatment services that New York State offers all Medicaid eligible children under twenty-one (21) years of age. Care and services shall be provided in accordance with the periodicity schedule and guidelines developed by the New York State Department of Health. The care includes necessary health care, diagnostic services, treatment and other measures (described in §1905(a) of the Social Security Act) to correct or ameliorate defects, and physical and mental illnesses and conditions discovered by the screening services (regardless of whether the service is otherwise included in the New York State Medicaid Plan). The package of services includes administrative services designed to assist families to obtain services for children that include outreach, education, appointment scheduling, administrative case management and transportation assistance.

4. Preventive Care

- a) Preventive care means care and services to avert disease/illness and/or its consequences. There are three (3) levels of preventive care: 1) primary, such as immunizations, aimed at preventing disease; 2) secondary, such as disease screening programs aimed at early detection of disease; and 3) tertiary, such as physical therapy, aimed at restoring function after the disease has occurred. Commonly, the term "preventive care" is used to designate prevention and early detection programs rather than restorative programs.
- b) The following preventive services are also included in the managed care Benefit Package. These preventive services are essential for promoting wellness and preventing illness. MCOs must offer the following:
 - i) General health education classes.
 - ii) Pneumonia and influenza immunizations for at risk populations.
 - iii) Smoking cessation classes, with targeted outreach for adolescents and pregnant women.
 - iv) Childbirth education classes.
 - v) Parenting classes covering topics such as bathing, feeding, injury prevention, sleeping, illness prevention, steps to follow in an emergency, growth and development, discipline, signs of illness, etc.
 - vi) Nutrition counseling, with targeted outreach for diabetics and pregnant women.
 - vii) Extended care coordination, as needed, for pregnant women.

viii) HIV counseling and testing.

5. Medical Case Management:

Case management is a health care method in which medical, social, and other services are coordinated by one entity. The objective of case management is to provide medically necessary quality care and to assure access and continuity of care for a patient. In medical case management, this responsibility includes diagnosis of health risk, identification of disease, development of a treatment plan, referred services, locating, coordinating and monitoring all plan-covered and Medicaid covered medical care on behalf of a Medicaid Enrollee. It may also entail coordinating social services which the patient may be eligible for or require. Medical case management services, include:

- a) management of the medical and health care of Enrollees to assure that necessary services are made available in a timely manner
- b) referrals to all medically necessary and appropriate care
- c) assistance to Enrollees in obtaining and scheduling referral care, including inpatient hospitalization, coordinating with referral providers, and participating in inpatient hospital discharge planning
- d) monitoring and follow-up on an Enrollee's plan of care, including all referrals, consultations, and laboratory and radiological findings, and interpreting such findings to the Enrollee and the Enrollee's family
- e) obtaining information and maintaining involvement in all medical and health care treatment and outcomes, with an emphasis on continuity of care
- f) maintenance of a comprehensive medical record for each Enrollee
- g) provision of access to 24 hour/day, 7day/week primary care

Referred Services

Referred services as listed in K.1 of this Appendix are accessed through Medicaid fee-for-service providers. Consequently, Medicaid fee-for-service payment guidelines apply. For example, if a service requires prior authorization in the Medicaid fee-for-service program, then the service would require a prior approval from Medicaid, as well as a referral from the PCP. Definitions for Referred services may be found in the appropriate eMedNY Provider Manual for the service.

Non-Covered Services

Non-Covered services as listed in K.1 of this Appendix are excluded from the Contractor's Benefit Package, (they do not require an authorization from the PCP, but are available in Medicaid fee-for-service). Because these services are fee-for-service, Medicaid payment guidelines apply, (i.e. prior approval, etc). The definitions of the services these services can be found in the appropriate eMedNY Provider Manual for the service. To ensure payment, providers should check the Provider Manual for instructions.

Appendix K - Schedule 1

Primary Care Partial Capitation Providers Benefit Package		
CPT CODE NUMBER	TITLE	DESCRIPTION
10060	Incision and Drainage	Incision and drainage of Abscess-Multiple and/or complicated
10061	Incision and Drainage	Incision and drainage of Abscess-Multiple and/or complicated
12020	Repair—Simple	Treatment of superficial wound dehiscence; simple closure
16000	Burns, Local Treatment	Initial treatment, first degree burn, when no more than local treatment is required
16020	Burns, Local Treatment	Without anesthesia, office or hospital, small
20550	Introduction or Removal	Injection, tendon sheath, ligament, trigger points, or ganglion cyst
26010	Hand and Fingers-Incision	Drainage of finger abscess; simple
46221	Excision	Hemorrhoidectomy, by simple ligature (e.g. rubber band)
46230	Excision	Excision of external hemorrhoid tags and/or multiple papillae
81000	Urinalysis	Urinalysis Stick/Reagent For Etc; Non-Auto Wo Mic
81002	Urinalysis	Urinalysis Stick Or Tab Any Constituents W/Micro
81015	Urinalysis	Urine; Microscopic Only
81025	Urinalysis	Urine Pregnancy Test Visual Color Compare
85007	Hematology and Coagulation	Blood Count; Manual Diff Wbc Etc
85013	Hematology and Coagulation	Blood Count; Spun Microhematocrit
85018	Hematology and Coagulation	Blood Count; Hemoglobin
85021	Hematology and Coagulation	Blood Count; Hemogram, Auto Etc.
85022	Hematology and Coagulation	Blood Count; Auto And Manual Dif Wbc Etc
85041	Hematology and Coagulation	Blood Count; Rbc Only
85048	Hematology and Coagulation	Blood Count; Wbc
85651		Sed Rate Erythrocyte; Non - Automated
85652		85651; Automated
86485	Immunology	Skin Test; Candida
86490	Immunology	Skin Test; Coccidioidomycosis
86510	Immunology	Skin Test; Histoplasmosis
86580	Immunology	Skin Test; Tuberculosis, Intradermal
86585	Immunology	Skin Test; Tuberculosis, Tine Test
86586	Immunology	Skin Test; Unlisted Antigen, Each
87082		Cult, Presump, Path Org, S/O, Comm Kit;1 Organism
90700 – 90745	Immunization Injections	
90748 – 90749	Immunization Injections	
90799	Therapeutic or Diagnostic Injections	Unlisted therapeutic or diagnostic injections
92551 – 92568	Audiologic Function Test with medical diagnostic evaluation	
94010	Pulmonary	Spirometry, including graphic record, total and timed vital capacity, expiratory flow rate measurements
94060	Pulmonary	Thoracic gas volume
94150	Pulmonary	Vital Capacity Test
94640	Pulmonary	Nonpressurized inhalation treatment for acute airway obstruction
		Aerosol or vapor inhalation for sputum mobilization,

Appendix K - Schedule 1

CPT CODE NUMBER	TITLE	DESCRIPTION
94664	Pulmonary	bronchodilation, or sputum induction for diagnostic purposes; initial demonstration and/or evaluation
94665	Pulmonary	Aerosol or vapor inhalation - subsequent
95000 – 95078	Allergy and Clinical Immunology—Allergy Testing	
95079 – 95180	Allergy and Clinical Immunology—Allergen Immunotherapy	
99201 – 99210	New Patient	Office Visits or other outpatient visits
99211 – 99215	Established Patient	Office Visits or other outpatient visits.
99218 – 99220	Initial Observation Care—New or Established Patient	Initial observation care
99221 – 99239	Initial Hospital Care	Initial hospital care
99240 – 99275	Consultations	Office or Outpatient Consultations; Initial Inpatient Consultations; Follow-up Consultations; Confirmatory Consultations
99281 – 99285	Emergency Department Services	New or Established Patients emergency department visits.
99291 – 99292	Critical Care Services	Critical Care, evaluation of management.
99381 – 99385	Child Teen/Health Program	Periodic prevention, evaluation, etc Established patient
99391 – 99395	Child Teen/Health Program	Periodic prevention, reevaluation, etc Established patient
99396 – 99397	Preventative Medicine Services	Periodic preventative medicine reevaluation and management of an individual including comprehensive history, comprehensive examination, counseling/anticipatory guidance/risk factor reduction interventions, and the ordering of appropriate laboratory/ diagnostic procedures, established patient; 40-64 years; 65years and over.
99398 – 99430	Preventative Medicine Services	Counseling and/ or Risk Factor Reduction Intervention.
99431	Newborn Care	History and examination of the normal newborn infant, initiation of diagnostic and treatment programs and preparation of hospital records. (This code should also be used for birthing room deliveries.)
99433	Newborn Care	Subsequent hospital care, for the evaluation and management of a normal newborn, per day.
99440	Newborn Care	Newborn resuscitation: provision of positive pressure ventilation and/or chest compressions in the presence of acute inadequate ventilation and/or cardiac output.
J0120-J7675	Injections	
W5001	PPAC Physician/Nurse Prac Office Visit	Well child examinations and developmental checks - Healthy newborns and children under 18 years old
W5002	PPAC Physician/Nurse Prac Office Visit	Well child examinations and developmental checks - Healthy newborns and children under 18 years old
W5004	PPAC Physician/Nurse Prac Office Visit	Children under 18 with problems in the following areas: muscle, skeletal, nutritional, ear, nasopharynx, respiratory, gastrointestinal, skin infections and injuries
W5005	PPAC Physician/Nurse Prac Office Visit	Visits where sole purpose is to administer a drug, i.e. vaccinations, inhalants, allergy shots, etc. (except chemotherapy) or renew a prescription with concomitant brief encounter assessment.
W5006	PPAC Physician/Nurse Prac Office Visit	Well adult examinations and health education visits - Healthy adults over 17 years old
W5008	PPAC Physician/Nurse Prac Office	Patients over 18 with problems in the following areas:

Appendix K - Schedule 1

CPT CODE NUMBER	TITLE	DESCRIPTION
	Visit	muscle, skeletal, nutritional, ear, nasopharynx, respiratory, gastrointestinal, skin infections and injuries
W5012	PPAC Physician/Nurse Prac Office Visit	Visits by women under 21 for annual GYN examination
W5500	PPAC	Hospital Visit
W5501	PPAC	Residential Health Facility Visit
W5502	PPAC	Adult Home Visit
W5503	PPAC	Home Visit
W5504	PPAC	Emergency Room Visit
W7200	Managed Care	Hospital Visit
W7201	Managed Care	Residential Health Facility Visit
W7202	Managed Care	Adult Home Visit
W7203	Managed Care	<i>Home Visit</i>
W7204	Managed Care	Emergency Room Visit

APPENDIX L

Approved Capitation Payment Rates

APPENDIX M

Service Area, and Enrollment Elections

Schedule 1 of Appendix M

1. Service Area

The Contractor's service area is comprised of the counties listed below in their entirety.

2. Effective Date

The effective date of this Schedule is October 1, 2005.

County

Schedule 2 of Appendix M

LDSS Election of Enrollment in Medicaid Managed Care For Foster Care Children and Homeless Persons

1. Effective October 1, 2005, in the Contractor's service area, Medicaid Eligible Persons in the following categories will be eligible for Enrollment in the Contractor's Medicaid Managed Care product at LDSS's option as described in (a) and (b) as follows, and indicated by an "X" in the chart below:

a) Options for foster care children in the direct care of LDSS:

- i) Children in LDSS direct care are mandatorily enrolled in MMC (mandatory counties only);
- ii) Children in LDSS direct care are enrolled in on a case by case basis in MMC (mandatory or voluntary counties);
- iii) All foster care children are Excluded from Enrollment in MMC (mandatory or voluntary counties).

b) Options for homeless persons living in shelters outside of New York City:

- i) Homeless persons are mandatorily enrolled in MMC (mandatory counties only);
- ii) Homeless persons are enrolled in on a case by case basis in MMC (mandatory or voluntary counties);
- iii) All homeless persons are Excluded from Enrollment in MMC (mandatory or voluntary counties).

County	Foster Care Children			Homeless Persons		
	Mandatorily Enrolled	Enrolled on Case by Case Basis	Excluded from Enrollment	Mandatorily Enrolled	Enrolled on Case by Case Basis	Excluded from Enrollment

Appendix O

Requirements for Proof of Workers' Compensation and Disability Benefits Coverage

Requirements for Proof of Coverage

Unless the Contractor is a political sub-division of New York State, the Contractor shall provide proof, completed by the Contractor's insurance carrier and/or the Workers' Compensation Board, of coverage for:

1. **Workers' Compensation**, for which one of the following is incorporated into this Agreement herein as an attachment to Appendix O:
 - a) Certificate of Workers' Compensation Insurance, on the Workers' Compensation Board form C-105.2 (naming the NYS Department of Health, Corning Tower, Rm. 1325, Albany, 12237-0016), or Certificate of Workers' Compensation Insurance, on the State Insurance Fund form U-26.3 (naming the NYS Department of Health, Corning Tower, Rm. 1325, Albany, 12237-0016); or
 - b) Certificate of Workers Compensation Self-Insurance, form SI-12, **or** Certificate of Group Workers' Compensation Self-Insurance, form GSI-105.2; **or**
 - c) Affidavit for New York Entities And Any Out Of State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Coverage Is Not Required, form WC/DB-100, completed for Workers' Compensation; **or** Affidavit That An OUT-OF-STATE OR FOREIGN EMPLOYER Working In New York State Does Not Require Specific New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage, form WC/DB-101, completed for Workers' Compensation; [Affidavits must be notarized and stamped as received by the NYS Workers' Compensation Board]; and

NOTE: ACORD forms are NOT acceptable proof of coverage.

2. **Disability Benefits Coverage**, for which one of the following is incorporated into this Agreement herein as an attachment to Appendix O:
 - a) Certificate of Disability Benefits Insurance, form DB-120.1; **or** Certificate/Cancellation of Insurance, form DB-820/829; **or**
 - b) Certificate of Disability Benefits Self-Insurance, form DB-155; **or**
 - c) Affidavit for New York Entities And Any Out Of State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Coverage Is Not Required, form WC/DB-100, completed for Disability Benefits; **or** Affidavit That An OUT-OF-STATE OR FOREIGN EMPLOYER Working In New York State Does Not Require Specific New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage, form WC/DB-101, completed for Disability Benefits; [Affidavits must be notarized and stamped as received by the NYS Workers' Compensation Board].

APPENDIX R

Additional Specifications for the PCPCP Agreement

Additional Specifications for the MMC Agreement

1. Contractor will give continuous attention to performance of its obligations herein for the duration of this Agreement and with the intent that the contracted services shall be provided and reports submitted in a timely manner as SDOH may prescribe.
2. Contractor will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this Agreement will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
3. Work for Hire Contract

If pursuant to this Agreement the Contractor will provide the SDOH with software or other copyrightable materials, this Agreement shall be considered a "Work for Hire Contract." The SDOH will be the sole owner of all source code and any software which is developed or included in the application software provided to the SDOH as a part of this Agreement.

4. Technology Purchases Notification -- The following provisions apply if this Agreement procures only "Technology"
 - a) For the purposes of this policy, "technology" applies to all services and commodities, voice/data/video and/or any related requirement, major software acquisitions, systems modifications or upgrades, etc., that result in a technical method of achieving a practical purpose or in improvements of productivity. The purchase can be as simple as an order for new or replacement personal computers, or for a consultant to design a new system, or as complex as a major systems improvement or innovation that changes how an agency conducts its business practices.
 - b) If this Agreement is for procurement of software over \$20,000, or other technology over \$50,000, or where the SDOH determines that the potential exists for coordinating purchases among State agencies and/or the purchase may be of interest to one or more other State agencies, PRIOR TO APPROVAL by OSC, this Agreement is subject to review by the Governor's Task Force on Information Resource Management.
 - c) The terms and conditions of this Agreement may be extended to any other State agency in New York.

5. Subcontracting

The Contractor agrees not to enter into any agreements with third party organizations for the performance of its obligations, in whole or in part, under this Agreement without the State's prior written approval of such third parties and the scope of the work to be performed by them. The State's approval of the scope of work and the subcontractor does not relieve the Contractor of its obligation to perform fully under this Agreement.

6. Sufficiency of Personnel and Equipment

If SDOH is of the opinion that the services required by the specifications cannot satisfactorily be performed because of insufficiency of personnel, SDOH shall have the authority to require the Contractor to use such additional personnel to take such steps necessary to perform the services satisfactorily at no additional cost to the State.

7. Provisions Upon Default

a) The services to be performed by the Contractor shall be at all times subject to the direction and control of the SDOH as to all matters arising in connection with or relating to this Agreement.

b) In the event that the Contractor, through any cause, fails to perform any of the terms, covenants or promises of this Agreement, the SDOH acting for and on behalf of the State, shall thereupon have the right to terminate this Agreement by giving notice in writing of the fact and date of such termination to the Contractor, pursuant to Section 2 of this Agreement.

c) If, in the judgment of the SDOH, the Contractor acts in such a way which is likely to or does impair or prejudice the interests of the State, the SDOH acting for and on behalf of the State, shall thereupon have the right to terminate this Agreement by giving notice in writing of the fact and date of such termination to the Contractor, pursuant to Section 2 of this Agreement.

8. Minority And Women Owned Business Policy Statement

The SDOH recognizes the need to take affirmative action to ensure that Minority and Women Owned Business Enterprises are given the opportunity to participate in the performance of the SDOH's contracting program. This opportunity for full participation in our free enterprise system by traditionally socially and economically disadvantaged persons is essential to obtain social and economic equality and improve the functioning of the State economy.

It is the intention of the SDOH to provide Minority and Women Owned Business Enterprises with equal opportunity to bid on contracts awarded by this agency in accordance with the State Finance Law.

9. Insurance Requirements

a) The Contractor must without expense to the State procure and maintain, until final acceptance by the SDOH of the work covered by this Agreement, insurance of the kinds and in the amounts hereinafter provided, by insurance companies authorized to do such business in the State of New York covering all operations under this Agreement, whether performed by it or by subcontractors. Before commencing the work, the Contractor shall furnish to the SDOH a certificate or certificates, in a form satisfactory to SDOH, showing that it has complied with the requirements of this

section, which certificate or certificates shall state that the policies shall not be changed or cancelled until thirty days written notice has been given to SDOH. The kinds and amounts of required insurance are:

- i) A policy covering the obligations of the Contractor in accordance with the provisions of Chapter 41, Laws of 1914, as amended, known as the Workers' Compensation Law, and the Agreement shall be void and of no effect unless the Contractor procures such policy and maintains it until acceptance of the work.
- ii) Policies of Bodily Injury Liability and Property Damage Liability Insurance of the types hereinafter specified, each within limits of not less than \$500,000 for all damages arising out of bodily injury, including death at any time resulting therefrom sustained by one person in any one occurrence, and subject to that limit for that person, not less than \$1,000,000 for all damages arising out of bodily injury, including death at any time resulting therefrom sustained by two or more persons in any one occurrence, and not less than \$500,000 for damages arising out of damage to or destruction of property during any single occurrence and not less than \$1,000,000 aggregate for damages arising out of damage to or destruction of property during the policy period.
 - A) Contractor's Liability Insurance issued to and covering the liability of the Contractor with respect to all work performed by it under this Agreement.
 - B) Automobile Liability Insurance issued to and covering the liability of the People of the State of New York with respect to all operations under this Agreement, by the Contractor or by its subcontractors, including omissions and supervisory acts of the State.

10. Certification Regarding Debarment and Suspension

- a) Regulations of the U.S. Department of Health and Human Services, located at Part 76 of Title 45 of the Code of Federal Regulations (CFR), implement Executive Orders 12549 and 12689 concerning debarment and suspension of participants in Federal program and activities. Executive Order 12549 provides that, to the extent permitted by law, Executive departments and agencies shall participate in a government wide system for non-procurement debarment and suspension. Executive Order 12689 extends the debarment and suspension policy to procurement activities of the Federal Government. A person who is debarred or suspended by a Federal agency is excluded from Federal financial and non-financial assistance and benefits under Federal programs and activities, both directly (primary covered transaction) and indirectly (lower tier covered transactions). Debarment or suspension by one Federal agency has government wide effect.
- b) Pursuant to the above cited regulations, the SDOH (as a participant in a primary covered transaction) may not knowingly do business with a person who is debarred, suspended, proposed for debarment, or subject to other government wide exclusion (including an exclusion from Medicare and State health care program participation on or after August 25, 1995), and the SDOH must require its contractors, as lower tier

participants, to provide the certification in Appendix B to Part 76 of Title 45 CFR, as set forth below:

i) **APPENDIX B TO 45 CFR PART 76-CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS**

Instructions for Certification

- A) By signing this Agreement, the Contractor, as a lower tier participant, is providing the certification set out below.
- B) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- C) The lower tier participant shall provide immediate written notice to the SDOH if at any time the lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- D) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. The Contractor may contact the SDOH for assistance in obtaining a copy of those regulations.
- E) The lower tier participant agrees that it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- F) The lower tier participant further agrees that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions.
- G) A participant in a covered transaction may rely upon a certification of a participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal

Procurement and Non-procurement Programs.

- H) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- I) Except for transactions authorized under paragraph E of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

ii) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

- A) The lower tier participant certifies, by signing this Agreement, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department agency.
- B) Where the lower tier participant is unable to certify to any of the statements in this certification, such participant shall attach an explanation to this Agreement.

11. Reports and Publications

- a) Any materials, articles, papers, etc., developed by the Contractor pertaining to the MMC Program must be reviewed and approved by the SDOH for conformity with the policies and guidelines of the SDOH prior to dissemination and/or publication. It is agreed that such review will be conducted in an expeditious manner. Should the review result in any unresolved disagreements regarding content, the Contractor shall be free to publish in scholarly journals along with a disclaimer that the views within the Article or the policies reflected are not necessarily those of the New York State Department of Health.
- b) Any publishable or otherwise reproducible material developed under or in the course of performing this Agreement, dealing with any aspect of performance under this Agreement, or of the results and accomplishments attained in such performance, shall be the sole and exclusive property of the State, and shall not be published or otherwise disseminated by the Contractor to any other party unless prior written approval is secured from the SDOH or under circumstances as indicated in paragraph (a) above. Any and all net proceeds obtained by the Contractor resulting from any such publication shall belong to and be paid over to the State. The State shall have a

perpetual royalty-free, non-exclusive and irrevocable right to reproduce, publish or otherwise use, and to authorize others to use, any such material for governmental purposes.

- c) No report, document or other data produced in whole or in part with the funds provided under this Agreement may be copyrighted by the Contractor or any of its employees, nor shall any notice of copyright be registered by the Contractor or any of its employees in connection with any report, document or other data developed pursuant to this Agreement.
- d) All reports, data sheets, documents, etc. generated under this Agreement shall be the sole and exclusive property of the SDOH. Upon completion or termination of this Agreement the Contractor shall deliver to the SDOH upon its demand all copies of materials relating to or pertaining to this Agreement. The Contractor shall have no right to disclose or use any of such material and documentation for any purpose whatsoever, without the prior written approval of the SDOH or its authorized agents.
- e) The Contractor, its officers, agents and employees and subcontractors shall treat all information, which is obtained by it through its performance under this Agreement, as confidential information to the extent required by the laws and regulations of the United States and laws and regulations of the State of New York.

12. Provisions Related to New York State Executive Order Number 127

- a) If applicable, the Contractor certifies that all information provided to the State with respect to New York State Executive Order Number 127, signed by Governor Pataki on June 16, 2003, is complete, true, and accurate.
- b) The State reserves the right to terminate this Agreement in the event it is found that the certification filed by the Contractor, in accordance with New York State Executive Order Number 127, was intentionally false or intentionally incomplete. Upon such finding, the State may exercise its termination right by providing written notification to the Contractor in accordance with the written notification terms of this Agreement.

13. Provisions Related to New York State Procurement Lobbying Law

The State reserves the right to terminate this Agreement in the event it is found that the certification filed by the Contractor in accordance with New York State Finance Law § 139-k was intentionally false or intentionally incomplete. Upon such finding, the State may exercise its termination right by providing written notice to the Contractor in accordance with the written notification terms of this Agreement.

14. Provisions Related to New York State Information Security Breach and Notification Act

Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208). Contractor shall be liable for the costs associated with such breach if caused by the Contractor's negligent or willful acts or omissions, or the negligent or willful acts or omissions of Contractor's agents, officers, employees or subcontractors.

15. Accessibility of State Agency Web-based Intranet and Internet Information and Applications

Any web-based intranet and internet information and applications development, or programming delivered pursuant to the contract will comply with NYS Office for Technology Policy PO4-002, "Accessibility of New York State Web-based Intranet and Internet Information and Applications", and NYS Mandatory Technology Standard SO4-001, as such policy or standard may be amended, modified or superseded, which requires that state agency web-based intranet and internet information and applications are accessible to persons with disabilities. Web content must conform to NYS Mandatory Technology Standard SO4-001, as determined by quality assurance testing. Such quality assurance testing will be conducted by Department of Health, contractor or other, and the results of such testing must be satisfactory to the Department of Health before web content will be considered a qualified deliverable under the contract.

16. New York State Tax Law Section 5-a

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain contractors awarded state contracts for commodities, services and technology valued at more than \$100,000 to certify to the New York State Department of Taxation and Finance (DTF) that they are registered to collect New York State and local sales and compensating use taxes. The law applies to contracts where the total amount of such contractors' sales delivered into New York State are in excess of \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made, and with respect to any affiliates and subcontractors whose sales delivered into New York State exceeded \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made.

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect sales and compensating use tax and contractors must certify to DTF that each affiliate and subcontractor exceeding such sales threshold is registered with DTF to collect New York State and local sales and compensating use taxes. The law prohibits the State Comptroller, or other approving agencies, from approving a contract awarded to an offerer meeting the registration requirements but who is not so registered in accordance with the law.

Contractor must complete and submit directly to the New York State DTF, Contractor Certification Form ST-220-TD. Unless the information upon which the ST-220-TD is based changes, this form only needs to be filed once with DTF. If the information changes for the contractor, its affiliate(s), or its subcontractor(s), a new form (ST-220-TD) must be filed with DTF.

Contractor must complete and submit to the Department of Health the form ST-220-CA certifying that the contractor filed the ST-220-TD with DTF. Failure to make either of these filings may render an offerer non-responsive and non-responsible. Offerers shall take the necessary steps to provide properly certified forms within a timely manner to ensure compliance with the law.

APPENDIX X

Modification Agreement Form

APPENDIX X

Agency Code 12000 Contract No.
Period 10/1/2005 to 9/30/2008 Funding Amount for Period

This is an AGREEMENT between THE STATE OF NEW YORK, acting by and through New York State Department of Health, Office of Managed Care, having its principal office at Empire State Plaza, Corning Tower, Room 2074, Albany, NY 12237, (hereinafter referred to as the STATE), and _____, (hereinafter referred to as the CONTRACTOR), for modification of Contract Number _____ as amended in attached Appendix(ices).

All other provisions of said AGREEMENT shall remain in full force and effect.

IN WITNESS WHEREOF, the parties hereto have executed this AGREEMENT as of the dates appearing under their signatures.

CONTRACTOR SIGNATURE

STATE AGENCY SIGNATURE

By: _____

By: _____

Printed Name

Printed Name

Title: _____

Title: _____

Date: _____

Date: _____

State Agency Certification:
In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract.

STATE OF NEW YORK)
)
County of _____)

SS.:

On the _____ day of _____ 20____, before me personally appeared _____, to me known, who being by me duly sworn, did depose and say that he/she resides at _____, that he/she is the _____ of _____, the corporation described herein which executed the foregoing instrument; and that he/she signed his/her name thereto by order of the board of directors of said corporation.

(Notary)

STATE COMPTROLLER'S SIGNATURE

Title: _____

Date: _____

