Instructions

Regulations at 42 C.F.R. § 438.207(a) - (c) require Medicaid managed care organizations (MCOs), prepaid inpatient health plans (PIHPs), and prepaid ambulatory health plans (PAHPs)—collectively referred to as "managed care plans"—to submit documentation to the state demonstrating their capacity to serve the expected enrollment of their service areas in accordance with the state's standards for access to care, including the state's network adequacy and availability of services standards under 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. Managed care plans are required to submit this information to the state no less frequently than:

Scenario 1: At the time the plan enters into a contract with the state;
Scenario 2: On an annual basis;
Scenario 3: At any time there has been a significant change (as defined by the state) in the plan's operations that would affect the adequacy of capacity and services, including (1) changes in the plan's services, benefits, geographic service area, composition of or payments to its provider network, or (2) enrollment of a new population in the plan.

After the state reviews the documentation submitted by a plan, 42 C.F.R. § 438.207(d) requires the state to submit to the Centers for Medicare & Medicaid Services (CMS) an assurance that the plan complies with the state's network adequacy and availability of services standards under 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. The submission must include documentation of an analysis that the state conducted to support its assurance of compliance for the plan.

This document provides instructions and a template for states to use when submitting this information to CMS under any of the three scenarios described above. States should complete one (1) form with information for applicable managed care plans and their applicable managed care programs. For example, if the state submits this form under scenario 1 above, the state should submit this form only for the managed care plan that entered into a new contract with the state. The state should not report on any other plans or programs. As another example, if the state submits this form under scenario 2, the state should submit this form for all managed care plans. If the state's analysis methods and results are contained in separate documents, please also submit those documents with this form.

Consistent with the Managed Care Program Annual Report (MCPAR) required by 42 C.F.R. § 438.66(e), this report defines a program as having a specified set of benefits, eligibility criteria, and capitation rates that are articulated in a contract between the state and managed care plans.

MMPs are considered both Medicaid and Medicare managed care plans and are not exempt from 42 CFR 438.207. Therefore, states must submit the tool for integrated plans; however, to reduce duplication, states can complete network adequacy sections of the tool (II.A.1-II.A.5) for Medicaid-only covered services.

States do not need to submit the tool for Program of All-Inclusive Care for the Elderly (PACE) programs/plans as states are not required to do so under 42 CFR 438.207.

Please submit the completed form through an online portal that will be made available. Questions about this form may be directed to

ManagedCareTA@mathematica-mpr.com.

Organization

This template includes two sections (Section I and Section II). Section I covers descriptive information about the state and all of the managed care programs operating in the state; information for this section is contained in one tab. Section II includes detail on program-level access standards, monitoring methods, and plan-level compliance data. For Section II, states should use **one tab for each program** the state is reporting on and leave unused tabs blank.

Tab topic:	Tab name:	Number of tabs available:
I. State and program-level information	I_State&Prog_Info	1
II. Program-level standards, monitoring methods, and plan-level compliance	II_Prog_X	15

Inputting information

Each tab provides instructions in the "Item Instructions" column. Response types are provided in the "Data Format" columns. Only input values in BEIGE CELLS. Program names and program summary information (i.e., plan types included in a program, services covered under a program) in Section II autopopulates from Section I to reduce burden on states.

After reporting information on each applicable program in the Section II tabs, leave any unused tabs blank. For example, if the state is reporting on plans in five managed care programs, it should enter information in tabs "II_Prog_1" through "II_Prog_5", and leave the remaining tabs blank.

I. State and program information

A. State information and reporting scenario

Update / review this section of the lab to report basic state information, date of report submission, and reporting scenario.

Item No.	Item	Item Instructions	Data Element	Value
IA.1	Contact name	Enter the name of the individual who is filling out this document	Free text	
IA.2	Contact email address	Enter the email address for the individual who is filling out this document	Free text	
IA.3	State or territory	Enter the state or territory name that is filling out this report	Select one: (select/none)	
IA.4	Date of report submission	Enter the date on which you are planning to submit this form to CMS	Date (MM/DD/YYYY)	
IA.5	Reporting scenario	Select one of the following three scenarios that applies to the state submitting this form to CMS. Under 42 C.F.R. §438.2010(c)(5), the state must submit an accompanying description of compliance when reviewing documentation submitted by a plan under the following three scenarios: - Scenario 1: No new managed care entities into a contract with the state. - Scenario 2: No new benefit plans. - Scenario 3: Anytime there has been a significant change (as defined by the state) in the plan's operations that would affect the adequacy of capacity and services, including (1) changes in the plan's services, scope, geographic service area, composition of or payments to its provider network, or (2) enrollment of a new population in the plan. As described in the instructions tab, states should complete one (1) form with information for managed care programs that meet scenario 1 above, and one (1) form for managed care programs that meet scenario 1 above. the state should submit this form only for the managed care plan (and the applicable managed care program) that entered into a new contract with the state. The state should not report on managed care programs that meet scenario 2 or scenario 3 above, or managed care programs that fall under scenarios 2, the state should submit this form for all managed care plans and managed care programs.	Select one: (select/none)	
IA.6	Reporting scenario - other	If the state is submitting this form to CMS for any reason other than those specified in IA.5, explain the reason.	Free text	

B. Program information

Input information for each managed care program under the scenario selected in IA.5, including reporting periods and providers covered under the programs.

Input programs level data in beige cells in columns for Program 1 through Program 10<<

Item No.	Item	Item Instructions	Data Element	Measurement_01	Measurement_02	Measurement_03	Measurement_04	Measurement_05	Measurement_06	Measurement_07	Measurement_08	Measurement_09	Measurement_10A	Measurement_10B	Measurement_10C	Measurement_10D	Measurement_10E
IB.1	Program name	Enter the name of each managed care program in the state in columns B - E. After entering each managed care program name, leave any unused columns in B - E blank. If program is defined by a specific benefit package (for example, a managed care program that only covers dental benefits) enter the state and managed care plans. Ensure that one program is included in a single contract, enter one program per column, starting with column B. Each program entered into these fields will auto populate in certain fields in the remaining tabs of this document.	Free text														
IB.2	Statutory authority	Enter the statutory authority(ies) (e.g. Section 1115, 1915(b), etc.) for each managed care program in columns B - E. After entering the authority(ies) for each program, leave any unused columns blank.	Free text														
IB.3	Plan type included in program	Indicate the managed care plan type (MCO, PIHP, PAHP, or MAP) that contracts with the state in each program.	Select one: (select/none) (an also text box for "other" resources														
	Reporting Period *Per Items IB.4 and IB.5, indicate the reporting period for the analysis and compliance information entered into this report. CMS expects states to enter a reporting period and date that is no more than one year prior to the submission of this report.* Under scenario 1 (new contract) and 2 (significant change in plan operations), the reporting period may cover less than one year. Under scenario 3 (annual report), the reporting period should cover one year.		[none]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]
IB.4	Reporting period start date	For each program, enter the start date of the reporting period for the analysis and compliance information entered into this report	Date (MM/DD/YYYY)														
IB.5	Reporting period end date	For each program, enter the end date of the reporting period for the analysis and compliance information entered into this report	Date (MM/DD/YYYY)														
	Providers *Per Items IB.6.a - k, indicate whether the program covers each 42 C.F.R. § 438.68 provider type specified.* *Per MMPs, only enter providers of Medicaid only covered services. Do not enter providers of Medicaid and Medicare or Medicare only covered services.*		[none]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]
IB.6.a	Adult primary care	Indicate whether the program covers adult primary care providers	Select one: (select/none)														
IB.6.b	Pediatric primary care	Indicate whether the program covers pediatric primary care providers	Select one: (select/none)														
IB.6.c	OB/GYN	Indicate whether the program covers OB/GYN providers	Select one: (select/none)														
IB.6.d	Adult physical care hospital	Indicate whether the program covers adult physical health providers	Select one: (select/none)														
IB.6.e	Pediatric physical care hospital	Indicate whether the program covers pediatric physical health providers	Select one: (select/none)														
IB.6.f	Adult behavioral health	Indicate whether the program covers adult behavioral health providers	Select one: (select/none)														
IB.6.g	Pediatric behavioral health	Indicate whether the program covers pediatric behavioral health providers	Select one: (select/none)														
IB.6.h	Pharmacy	Indicate whether the program covers pharmacy providers	Select one: (select/none)														
IB.6.i	Transportation	Indicate whether the program covers transportation providers	Select one: (select/none)														
IB.6.j	LTSS	Indicate whether the program covers long-term services and supports (LTSS) providers	Select one: (select/none)														
IB.6.k	Other (optional field for the state)	Indicate (1) any codes for items I.B.6.a - k and/or (2) other provider types released by the state's network adequacy standards (42 C.F.R. § 438.68) or availability standards (42 C.F.R. § 438.206) covered under the program	Free text (optional field for the state)														

C. Separate analysis and results documents

States should use this section of the lab to report on separate documents submitted with this form that contains the state's analysis and results

Input programs level data in beige cells in columns for Program 1 through Program 10<<

Item No.	Item	Item Instructions	Data Element	Measurement_01	Measurement_02	Measurement_03	Measurement_04	Measurement_05	Measurement_06	Measurement_07	Measurement_08	Measurement_09	Measurement_10A	Measurement_10B	Measurement_10C	Measurement_10D	Measurement_10E
		For items I.C.1, indicate for each program in columns B-E whether the state's analysis methods and results regarding plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards are contained in a separate document(s). Before indicating "yes", ensure that the document(s) contains the information requested in table "C_Prog_C". If the state reports "yes" in C.1., indicate in items I.C.2 - I.C.4 the name and date of the document(s) as well as the page/section numbers for where the program is addressed in the document(s). Submit the document(s) with this form. For any program for which the state reports "no" in C.1, answering that the state does not report analysis methods and results in a separate document(s), the state must enter data in Sections B and C in table "C_Prog_B".	[none]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]	[header/blank cell]
I.C.1	Analysis and results in separate documents	For each program in columns B-E, indicate whether the state's analysis methods and results regarding plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards are contained in a separate document(s). If yes, submit the document(s) with this form.	Select one: (select/none)														
I.C.2	Name of analysis and results documents	If the state indicated that analysis methods and results are contained in a separate document(s) for any program in columns B-E, indicate the name of the document(s). If analysis methods and results are not contained in a separate document(s), write "N/A."	Free text														
I.C.3	Date of analysis and results documents	If the state indicated that analysis methods and results are contained in a separate document(s) for any program in columns B-E, indicate the date of the document(s). If analysis methods and results are not contained in a separate document(s), write "N/A."	Free text														
I.C.4	Page/section references in analysis and results documents	If the state indicated that analysis methods and results are contained in a separate document(s) for any program in columns B-E, indicate the page/section references for where the program is addressed in the document(s). If analysis methods and results are not contained in a separate document(s), write "N/A."	Free text														

S. Program-level standards, monitoring methods, and plan compliance

Section S covers the overall program-level standards, monitoring methods, and plan compliance for the program.

Program authority	Program S
Program authority name and abbreviation	Placeholder for plan name
Provider types covered by program standards	Placeholder for provider types
Program-wide inventory of approved exceptions	Placeholder for statewide exception and waiver description
Name of analysis and trends dashboard	Placeholder for statewide analysis and trends description
Name of analysis and trends dashboard	Placeholder for statewide analysis and trends description

Context: Regulations at 42 C.F.R. § 438.68(c)(4) require states that contract with MCOs, PIHPs, and PAHPs to submit an assessment of the adequacy of the standards in the network adequacy standards and access standards at 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. The assessment must include stakeholder input on all areas the state has determined to be in need of improvement. The assessment must also include a description of any exceptions granted to the standards, and how a managed care plan can request and 42 C.F.R. § 438.68(c)(2) and described in the instructions tab. The State Agency has the discretion to determine the information that the reviewer looks at to meet this rule.

A. Access and network adequacy standards required for plans participating in the program

Instructions: Use the section of the state's report card created to monitor plan compliance with the state's access standards in rule.

Data navigation tips: Use a column's ⋮ to navigate, hide, or filter the data. Use the ⋮ to navigate plan compliance with the state's standards in rule.

#	Item	Item instructions	Entry Format	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35	Standard 36
A.1	Standard no.	Enter the standard's up-to-last-used standard count for this program.	Text values (select one or more from list "Standard 1 through Standard 500")																																				
A.2	Standard description	Enter the standard's plain-text description. Be sure to include a number in each standard description.	Text values																																				
A.3	Standard numerical value	Enter the numerical value that the standard applies to.	Text values (select one or more from list "Value")																																				
A.4	Standard numerical value	Enter the numerical value that the standard applies to.	Text values (select one or more from list "Value")																																				
A.5	Standard value	Enter the region that the standard applies to.	Text values (select one or more from list "Value")																																				

B. Analyses that the state used to monitor compliance with access and network adequacy standards reported in Section A

Instructions: Use the section of the state's report card to enter the state-level to monitor plan compliance with the state's access standards in rule at 42 C.F.R. § 438.68(c)(4) and 42 C.F.R. § 438.206(c)(4).

Data navigation tips: Use a column's ⋮ to navigate, hide, or filter the data. Use the ⋮ to navigate plan compliance with the state's standards in rule.

#	Item	Item instructions	Entry Format	Geolocating	Area Focused Monitoring Activities	Secret Shopper Methods Performed	Secret Shopper Methods Effectiveness	ATM Rate Analysis	Review of Grievances, Appeals, or Denials	Accessibility Rate Analysis	Other - Reporting
B.1	Frequency of analysis	Indicate how frequently the state analyzes plan compliance with 42 C.F.R. § 438.68(c)(4) and 42 C.F.R. § 438.206(c)(4). Be sure to include a number in each standard description. If "Other" is selected, use the comment column to describe how often the state analyzes plan compliance with these standards.	Text values (select one or more from list "Value")								
B.2	Analysis methods	For each analysis method in Column B.1, indicate whether the state uses the method to monitor plan compliance with 42 C.F.R. § 438.68(c)(4) and 42 C.F.R. § 438.206(c)(4). Be sure to include a number in each standard description. If "Other" is selected in this row, in the state's data dictionary, please explain how it is used to monitor plan compliance with these standards. If "Other" is selected, use the state's standard's data dictionary to do so.	Text values (select one or more from list "Value")								
B.3	Time-specific analysis	If the state indicated in Item 1.B.2 that it uses an analysis method for "Time-specific analysis," indicate whether the state uses the method to assess: While the state will be analyzing plan compliance with these standards in each month, the state will only be assessing plan compliance with these standards in the months that it has chosen to conduct a full analysis. For example, the state may only conduct a full analysis of plan compliance with these standards in January and July.	Free text								

C. Plan-level compliance data

Instructions: Use the section of the state's report on plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards reported in Section A.

Data navigation tips: Use a column's ⋮ to navigate, hide, or filter the data. Use the ⋮ to navigate plan compliance with the state's standards in rule.

#	Item	Item instructions	Entry Format	Value 1	Value 2	Value 3	Value 4	Value 5	Value 6	Value 7	Value 8	Value 9	Value 10	Value 11	Value 12	Value 13	Value 14	Value 15	Value 16	Value 17	Value 18	Value 19	Value 20	Value 21	Value 22	Value 23	Value 24	Value 25	Value 26	Value 27	Value 28	Value 29	Value 30	Value 31	Value 32	Value 33	Value 34	Value 35	Value 36
C.1	Plan name	Enter the name of the plan that the section of the report card relates to.	Free text																																				
C.2	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accurate that the plan complies with the state's standards in 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards in all of areas as the state assesses for the plan during the reporting period indicated in 1.B.3 and 1.B.4. For example, if the state assessed plan compliance using two quarterly secret shopping and two annual plan provider views as the assessments, and the plan passed each of the four assessments, the state would enter "Yes" for the plan. If the plan passed both of the secret shopping assessments but failed one of the two provider views, the state would enter "No." As another example, if the state assessed plan compliance using two open network monitoring processes, and all surveyed provider network data for the plan was accurate, the state would enter "Yes" for the plan. If the plan failed one of the two open network checks, the state would enter "No." If the state uses a different method to assess plan compliance with these standards, such as a mystery shopper survey, the state should enter "Yes" if the plan passed the survey and "No" if the plan failed the survey.	Text values (select one)																																				
C.3	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (checking done at the state) that support the assessments of the plan's compliance with the standards in 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 in the areas that the state defines the accessible. Net state, in the plan accessible in the analyses the state used to assess plan compliance with these standards.	Free text																																				
C.4	Plan deficiencies - 42 C.F.R. § 438.68 (Row 1)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards in all of areas as the state assesses for the plan during the reporting period indicated in 1.B.3 and 1.B.4, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state assessed "Yes," the plan remains based on all using cell "<". If the state selected "Yes," the plan remains based on all using cell "<".	Free text																																				
C.5	Plan deficiencies - 42 C.F.R. § 438.68 (Row 2)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards in all of areas as the state assesses for the plan during the reporting period indicated in 1.B.3 and 1.B.4, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state selected "Yes," the plan remains based on all using cell "<". If the state selected "Yes," the plan remains based on all using cell "<".	Free text																																				
C.6	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state identified any plan deficiencies in C.5.C.4.C, indicate when the state will reassess the plan's accessibility of services to assess whether the plan has remedied those deficiencies.	Time (MM/DD/YYYY)																																				
C.7	Completion guidance when all in 42 C.F.R. § 438.68(c)	Describe any network adequacy standard exceptions that the state has granted to the plan under 42 C.F.R. § 438.68(c) or 42 C.F.R. § 438.206(c)(3).	Free text																																				
C.8	Exceptions to standards granted - 42 C.F.R. § 438.68(d)	If the state identified any network adequacy standard exceptions granted to the plan in C.7, indicate whether the state will require the plan to submit documentation demonstrating its accessibility, if it does not meet the geographic access standards listed there.	Free text																																				
C.9	Description of compliance with 42 C.F.R. § 438.68	Indicate whether the state accurate that the plan complies with the state's standards in 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards in all of areas as the state assesses for the plan during the reporting period indicated in 1.B.3 and 1.B.4. For example, if the state assessed plan compliance using two quarterly secret shopping and two annual plan provider views as the assessments, and the plan passed each of the four assessments, the state would enter "Yes" for the plan. If the plan passed both of the secret shopping assessments but failed one of the two provider views, the state would enter "No." As another example, if the state assessed plan compliance using two open annual participating provider, and all surveyed provider network data for the plan was accurate, the state would enter "Yes" for the plan. If the plan failed one of the two open network checks, the state would enter "No." If the state uses a different method to assess plan compliance with these standards, such as a mystery shopper survey, the state should enter "Yes" if the plan passed the survey and "No" if the plan failed the survey.	Text values (select one)																																				
C.10	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (checking done at the state) that support the assessments of the plan's compliance with the standards in 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 in the areas that the state defines the accessible. Net state, in the plan accessible in the analyses the state used to assess plan compliance with these standards.	Free text																																				
C.11	Plan deficiencies - 42 C.F.R. § 438.68 (Row 1)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards in all of areas as the state assesses for the plan during the reporting period indicated in 1.B.3 and 1.B.4, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state selected "Yes," the plan remains based on all using cell "<". If the state selected "Yes," the plan remains based on all using cell "<".	Free text																																				
C.12	Plan deficiencies - 42 C.F.R. § 438.68 (Row 2)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards in all of areas as the state assesses for the plan during the reporting period indicated in 1.B.3 and 1.B.4, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state selected "Yes," the plan remains based on all using cell "<". If the state selected "Yes," the plan remains based on all using cell "<".	Free text																																				
C.13	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state identified any plan deficiencies in C.11.C.2, indicate when the state will reassess the plan's accessibility of services to assess whether the plan has remedied those deficiencies.	Time (MM/DD/YYYY)																																				

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Header 1	Header 2	Header 3	Header 4	Header 5	Header 6	Header 7	Header 8	Header 9	Header 10	Header 11	Header 12	Header 13	Header 14	Header 15	Header 16	Header 17	Header 18	Header 19	Header 20

5. Program-level standards, monitoring methods, and plan compliance

Select or enter the program's standards, monitoring methods, and plan-compliance rules. Section A defines the program's standards; Section B records how the program monitors compliance with those standards; Section C records whether each plan met the standards.

Program summary	Program A
Program name (used in plan summaries)	Placeholder for plan name
Number space reserved for program standards	Placeholder for standards count
Analysis and results of required analyses	Placeholder for required analyses and results description
Rules of analysis and results extrapolation	Placeholder for extrapolation and results description
Rules of analysis and results truncation	Placeholder for truncation and results description

Context: Regulations at 40 C.F.R. § 98.464(b)(3) require states that contract with MRVA, RRVA, and RRVAs to submit to EPA an annual monitoring program report that includes a description of the monitoring methods and procedures that the MRVA, RRVA, and RRVAs use to comply with 40 C.F.R. § 98.464 and 40 C.F.R. § 98.466. The corresponding record-level documentation of an analysis that the states collect from or on support the assurance of completeness for each plan. The plan-level submit this information to EMM after receipt of documentation from MRVA, RRVA, and RRVAs and review of the information for completeness. This workbook provides a standardized format for states to collect this information for the program-level and the rest of the set.

A. Access and network adequacy standards required for plans participating in the program

Define the standards that apply to all the state's plans: standard number, a one-page plain-language description, required report values, and whether each standard is mandatory or optional.

Start assigning new data numbers for Standard 1 through Standard 500.

No.	Name	Data instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
[Std 1]	Standard no.	Enter the standard's up-to-two-part standard used in the program.	Text values (select one or use "Other" option)																																			
[Std 2]	Standard description	Enter the standard's one-page plain-language description used in the program.	Text box																																			
[Std 3]	Standard value	Enter the most-like-now than the standard satisfied by.	Text values (select one or use "Other" option)																																			
[Std 4]	Standard mandatory, optional	Enter the statement that the standard applies to.	Text values (select one or use "Other" option)																																			
[Std 5]	Applicable regulation	Enter the regulation that the standard applies to.	Text values (select one or use "Other" option)																																			

B. Analyses that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Define analyses that the operator of the state's report and the state use them to monitor plan compliance with the state's standards in Section A. Include analyses such as 40 C.F.R. § 438.68 (network adequacy) and 40 C.F.R. § 438.206 (availability of services).

Start assigning new analyses in future months without a specified in the next month/column >>

No.	Name	Data instructions	Acceptable Values	Name mapping	Plan-Provider Mapping Number	Name Mapped (Name's Participation)	Name Mapped (Name's Participation)	ATM Rate Analysis	Number of Standards Related To Analysis	Accounted Rate (Rate)	Other Reporting
[An 1]	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 40 C.F.R. § 438.68 and 40 C.F.R. § 438.206 (network adequacy and availability of services). If the state does not use any monthly report analyses for a. If the state does not use the monthly, select "Not used for any plans."	Text values (select one or use "Other" option)								
[An 2]	Analysis methods	For each analysis method in columns N+, indicate whether the state uses its own analysis or relies on a vendor's analysis. If the state uses its own analysis, select "Own analysis." If the state relies on a vendor's analysis, select "Vendor analysis." If the state uses both its own analysis and a vendor's analysis, select "Both." If the state does not use the analysis method, select "Not used."	Text values (select one or use "Other" option)								
[An 3]	Plan-specific analysis	If the state delivered in Item 1 N-3 Item 1 each an analysis method for some plans and a different method for others, enter the plan-specific method in each cell. Enter the name of the plan under the column.	Free text								
		Example: If the state uses Method 1 for most plans but uses Method 2 for Plan A and Method 3 for Plan B, enter "Method 2" in the cell for Plan A and "Method 3" in the cell for Plan B. If the state uses the same method for all plans, leave this column blank.									

C. Plan-level compliance data

Enter whether the operator of the state's report or plan compliance with the analysis. 40 C.F.R. § 438.68 and 40 C.F.R. § 438.206 (availability of services) and 40 C.F.R. § 438.206.

Start plan-level data in column N+1 (Plan 1 through Plan 40) >>

No.	Name	Data instructions	Acceptable Values	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]	[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]
[Plan 1]	Plan name	Enter the plan's name.	Free text																																								
[Plan 2]	Description of plan compliance with 40 C.F.R. § 438.68	Indicate whether the state accepts that the plan complies with the state's standards for network adequacy under 40 C.F.R. § 438.68. If the state is relying on the plan-submitted file that data during the reporting period indicated in C.1 B.3 and C.B.1. For example, if the state reviewed plan compliance using two quarterly geomapping and one annual plan-provider review as the analyses, select "Yes, the plan complied with the state's 40 C.F.R. § 438.68 standards in all of these analyses." If the state reviewed plan compliance using only one annual geomapping analysis, select "No, the plan did not comply based on all of these analyses." As another example, if the state reviewed plan compliance using two quarterly geomapping analyses and one annual provider review but the plan met the applicable standards in only two of the three analyses, select "No, the plan did not comply based on all of these analyses." If the state reviewed plan compliance using only one annual geomapping analysis and the plan met the applicable standards in that one analysis, select "Yes, the plan complied based on all of these analyses."	Text values (select one)																																									
[Plan 3]	Description of results - 40 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessment above of the plan's compliance with the state's 40 C.F.R. § 438.68 standards. If the state does not rely on any analyses for its conclusion, then write, in this plan and each of the analyses the state used to assess plan compliance with these standards.	Free text																																									
[Plan 4]	Plan deficiencies - 40 C.F.R. § 438.68 (Part 1)	If the state cannot assure plan compliance with the state's 40 C.F.R. § 438.68 standards, describe what the plan will do to enforce the reporting period indicated in A.4 and A.5. Describe what services described above the state is relying on to assure plan compliance with these standards. If the plan selected "Yes, the plan complies based on all using cost" in C.1 B.4, enter "N/A."	Free text																																									
[Plan 5]	Plan deficiencies - 40 C.F.R. § 438.68 (Part 2)	If the state cannot assure plan compliance with the state's 40 C.F.R. § 438.68 standards, describe what the plan will do to enforce the reporting period indicated in A.4 and A.5. Describe what the plan will do to enforce these standards and how the state will monitor the plan's progress. If the plan selected "Yes, the plan complies based on all using cost" in C.1 B.4, enter "N/A."	Free text																																									
[Plan 6]	Reassessment for plan deficiencies - 40 C.F.R. § 438.68	If the state described any plan deficiencies in C.1 C.5 or C.1 C.6 that the state will reassess the plan's availability of services to assure whether the plan has remediated those deficiencies.	Yes/No (MM/DD/YYYY)																																									
[Plan 7]	Acceptance granted under 40 C.F.R. § 438.68(e)	Describe any network adequacy standard exceptions that the Director granted for the plan under 40 C.F.R. § 438.68(e) or the state's decision.	Free text																																									
[Plan 8]	Acceptance granted under 40 C.F.R. § 438.68(f)	If the state granted any network adequacy standard exceptions granted to rural providers under 40 C.F.R. § 438.68(f), describe the exceptions granted. If the state has not granted any exceptions, enter "None."	Free text																																									
[Plan 9]	Description of compliance with 40 C.F.R. § 438.206	Indicate whether the state accepts that the plan complies with the state's standards for availability of services under 40 C.F.R. § 438.206. If the state is relying on the plan-submitted file that data during the reporting period indicated in C.1 B.3 and C.B.1. For example, if the state reviewed plan compliance using two quarterly geomapping and one annual plan-provider review as the analyses, select "Yes, the plan complied with the state's 40 C.F.R. § 438.206 standards in all of these analyses." If the state reviewed plan compliance using only one annual geomapping analysis, select "No, the plan did not comply based on all of these analyses." As another example, if the state reviewed plan compliance using two annual geomapping analyses and an annual provider analysis and the plan met the applicable standards in only two of the three analyses, select "No, the plan did not comply based on all of these analyses." If the state reviewed plan compliance using only one annual geomapping analysis and the plan met the applicable standards in that one analysis, select "Yes, the plan complied based on all using cost" in C.1 B.4, enter "N/A."	Text values (select one)																																									
[Plan 10]	Description of results - 40 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessment above of the plan's compliance with the state's 40 C.F.R. § 438.206 standards. If the state does not rely on any analyses for its conclusion, then write, in this plan and each of the analyses the state used to assess plan compliance with these standards.	Free text																																									
[Plan 11]	Plan deficiencies - 40 C.F.R. § 438.206 (Part 1)	If the state cannot assure plan compliance with the state's 40 C.F.R. § 438.206 standards, describe what the plan will do to enforce the reporting period indicated in A.4 and A.5. Describe what services described above the state is relying on to assure plan compliance with these standards. If the plan selected "Yes, the plan complies based on all using cost" in C.1 B.4, enter "N/A."	Free text																																									
[Plan 12]	Plan deficiencies - 40 C.F.R. § 438.206 (Part 2)	If the state cannot assure plan compliance with the state's 40 C.F.R. § 438.206 standards, describe what the plan will do to enforce the reporting period indicated in A.4 and A.5. Describe what the plan will do to enforce these standards and how the state will monitor the plan's progress. If the plan selected "Yes, the plan complies based on all using cost" in C.1 B.4, enter "N/A."	Free text																																									
[Plan 13]	Reassessment for plan deficiencies - 40 C.F.R. § 438.206	If the state described any plan deficiencies in C.1 C.5 or C.1 C.6 that the state will reassess the plan's availability of services to assure whether the plan has remediated those deficiencies.	Yes/No (MM/DD/YYYY)																																									

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Select or enter the program-level standards, monitoring methods, and plan compliance information that will be used for all plans in the program.

Program summary	Program 6
Program name (used in plan summaries)	Placeholder for plan name
Provider types covered by program standards	Placeholder for provider types
Analysis and results of opposite-sex monitoring	Placeholder for opposite-sex analysis and results description
Rules of analysis and results extrapolation	Placeholder for extrapolation rules and results description
Rules of analysis and results minimized	Placeholder for opposite-sex analysis and results description

Context: Regulations at 45 C.F.R. § 438.207(d) require states that contract with MCOs, PIHPs, and PAHPs to submit to CMS an annual assessment verifying that each of its contracted MCOs, PIHPs, and PAHPs has complied with the requirements of 42 C.F.R. § 438.206 and 45 C.F.R. § 438.68. The assessment must include documentation of an analysis that the data collected to support its assurance of compliance for each plan. The state must submit this information to CMS after receipt of documentation from each MCO, PIHP, and PAHP that the state has reviewed and validated. Section 5 of this workbook provides the necessary variables for states to submit this information for the program listed at the top of the tab.

A. Access and network adequacy standards required for plans participating in the program

Indicate how the program or its plans monitor network adequacy, including state program standards, reports and/or other methodology to use.

Input program-level data in columns I to J. Standards 1 through 10 begin in column K.

ID	Item	Item Instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
[Row 1]	Standard [x]	Enter the standard(s) as it/ each standard used in the program	See values (select one or more from "Other" separated by ";")																																			
[Row 2]	Standard description	Enter the description of the standard(s) as it/ each standard used in the program	Free text																																			
[Row 3]	Time rule to be exceeded for standard	Enter the time rule(s) less than the standard specified for	See values (select one or more from "Other" separated by ";")																																			
[Row 4]	Exception covered by standard	Enter the exception(s) that the standard applies to	See values (select one or more from "Other" separated by ";")																																			
[Row 5]	Applicable regulation	Enter the regulation that the standard applies to	See values (select one or more from "Other" separated by ";")																																			

B. Analysis that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Indicate whether and the extent to which the state uses or assesses plan compliance with the criteria in 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206? Indicate how the state monitors compliance in [Row 1].

Input program-level data in [Row 1] and [Row 2]. Input plan-level data in columns I to J.

ID	Item	Item Instructions	Acceptable Values	Rate Reporting	Plan Provider Directory Review	Secret Shopper (Network Participation)	Secret Shopper (Appointment Availability)	ATM Policy Analysis	Review of Grievances, Appeals, & Denials	Beneficiary Data Analysis	Other Reporting
[Row 1]	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206? Indicate "Other" if the state does not use any listed methods. Select all options that apply. If the state does not use the methods, select "Not used in any plans."	See values (select one or more from "Other" separated by ";")								
[Row 2]	Analysis methods	For each analysis method in columns N to V, indicate whether the state uses its own analysis or relies on assessments from its MCOs, PIHPs, and PAHPs. Select all options that apply. If the state does not use any of the listed methods, please explain how it assesses plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 in [Row 1]. Select "Not used in any plans" if the state does not perform this analysis for any plans.	See values (select one or more from "Other" separated by ";")								
[Row 3]	Time used for analysis	If the state indicated in [Row 1] that it uses an analysis method for some or all plans, indicate the time period that the analysis covers. For example, does the state use the data collected during the previous plan year? Does the state use data from more than one year? Indicate "Other" if the state uses a different time period. Select "Not used in any plans" if the state does not perform this analysis for any plans.	Free text								

C. Plan-level compliance data

Enter values for each plan in columns N to [Row 1 through Row 36] >>

ID	Item	Item Instructions	Acceptable Values	[Plan 1]	[Row 2]	[Row 3]	[Row 4]	[Row 5]	[Row 6]	[Row 7]	[Row 8]	[Row 9]	[Row 10]	[Row 11]	[Row 12]	[Row 13]	[Row 14]	[Row 15]	[Row 16]	[Row 17]	[Row 18]	[Row 19]	[Row 20]	[Row 21]	[Row 22]	[Row 23]	[Row 24]	[Row 25]	[Row 26]	[Row 27]	[Row 28]	[Row 29]	[Row 30]	[Row 31]	[Row 32]	[Row 33]	[Row 34]	[Row 35]	[Row 36]
[Row 1]	Plan name	Enter the plan name. Enter the names of Hospitals that contract with the state in the Hospitals tab. Enter the name of Hospitals that contract with the state in the Hospitals tab.	Free text																																			
[Row 2]	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accepts that the plan complies with the state's network adequacy standards established in 42 C.F.R. § 438.68. Indicate how the state determines this for the plan during the reporting period indicated in C.1.B (Lines 34-). For example, if the state assessed plan compliance using two quarterly geomapping and one annual site visit process, state so. Describe any deficiencies identified during the reporting period indicated in C.1.B (Lines 34-), and the process applied to each deficiency to ensure that the plan subsequently addressed the deficiency. As another example, if the state assessed plan compliance using two semi-annual geomapping processes and an annual secret shopper exercise, describe the reporting period that was covered in each of the two geomapping processes and the secret shopper exercise. Describe any deficiencies identified during the reporting period and the process applied to each deficiency to ensure that the plan subsequently addressed the deficiency. If the state does not contract with any of these entities, enter "No. the plan was not contract- based on all available data."	See values (select one)																																				
[Row 3]	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assurance above of the plan's compliance with the standards in 42 C.F.R. § 438.68(b)(1) through (4). Describe any deficiencies identified. For example, the state may have assessed plan compliance with the standards for timeliness, but found that the plan did not meet the standard for access (call Procedure Code) because	Free text																																				
[Row 4]	Plan deficiencies - 42 C.F.R. § 438.68 (b)(4) (Row 1)	If the state deemed plan non-compliance with the state's 42 C.F.R. § 438.68 network adequacy standards during the reporting period indicated in C.1.B (Lines 34-), describe what the plan will be or is required to do to address the deficiency and whether the plan has completed those deficiencies. If the state selected "Yes, the plan complies based on all analysis" in C.1.A, enter "N/A."	Free text																																				
[Row 5]	Plan deficiencies - 42 C.F.R. § 438.68 (b)(4) (Row 2)	If the state deemed plan non-compliance with the state's 42 C.F.R. § 438.68 network adequacy standards during the reporting period indicated in C.1.B (Lines 34-), describe what the plan will be or is required to do to address the deficiency and whether the plan has completed those deficiencies. If the state selected "Yes, the plan complies based on all analysis" in C.1.A, enter "N/A."	Free text																																				
[Row 6]	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state described any plan deficiencies in C.1.C.4 or C.1.C.5, indicate when the state will reassess the plan's compliance with the standards to determine whether the plan has remediated those deficiencies.	Date (MM/DD/YYYY);																																				
[Row 7]	Assessment planned when all in 42 C.F.R. § 438.68(b)	Describe any network adequacy standard exceptions that the state has granted to plans under 42 C.F.R. § 438.68(c) or the time limitations	Free text																																				
[Row 8]	Deficiencies in monitoring protocols - 42 C.F.R. § 438.68(b)(2)	If the state deemed its network adequacy compliance systems (protocols, reporting, and/or data) to be deficient during the reporting period indicated in C.1.B (Lines 34-), describe what the deficiencies were.	Free text																																				
[Row 9]	Description of compliance with 42 C.F.R. § 438.206	Indicate whether the state accepts that the plan complies with the state's standards in 42 C.F.R. § 438.206 (availability of services). Indicate how the state determines this for the plan during the reporting period indicated in C.1.B (Lines 34-). For example, if the state assessed plan compliance using two quarterly geomapping and one annual site visit process, state so. Describe any deficiencies identified during the reporting period indicated in C.1.B (Lines 34-), and the process applied to each deficiency to ensure that the plan subsequently addressed the deficiency. As another example, if the state assessed plan compliance using two semi-annual geomapping processes and an annual secret shopper exercise, describe the reporting period that was covered in each of the two geomapping processes and the secret shopper exercise. Describe any deficiencies identified during the reporting period and the process applied to each deficiency to ensure that the plan subsequently addressed the deficiency. If the state does not contract with any of these entities, enter "No. the plan was not contract- based on all available data."	See values (select one)																																				
[Row 10]	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assurance above of the plan's compliance with the standards in 42 C.F.R. § 438.206(b)(1) through (3). Describe any deficiencies identified. For example, the state may have assessed plan compliance with the standards for timeliness, but found that the plan did not meet the standard for access (call Procedure Code) because	Free text																																				
[Row 11]	Plan deficiencies - 42 C.F.R. § 438.68 (Row 1)	If the state deemed plan non-compliance with the state's 42 C.F.R. § 438.206 network adequacy standards during the reporting period indicated in C.1.B (Lines 34-), describe what the plan will be or is required to do to address the deficiency and whether the plan has completed those deficiencies. If the state selected "Yes, the plan complies based on all analysis" in C.1.A, enter "N/A."	Free text																																				
[Row 12]	Plan deficiencies - 42 C.F.R. § 438.68 (Row 2)	If the state deemed plan non-compliance with the state's 42 C.F.R. § 438.206 network adequacy standards during the reporting period indicated in C.1.B (Lines 34-), describe what the plan will be or is required to do to address the deficiency and whether the plan has completed those deficiencies. If the state selected "Yes, the plan complies based on all analysis" in C.1.A, enter "N/A."	Free text																																				
[Row 13]	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state described any plan deficiencies in C.1.C.4, indicate when the state will reassess the plan's availability of services to determine whether the plan has remediated those deficiencies.	Date (MM/DD/YYYY);																																				

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

II. Program-level standards, monitoring methods, and plan compliance

Select or enter the number of the item used to answer each question in the table below.

Program-summary	Program #1
Program-level standards and plan provisions	Provisions for plan type
Provider types reviewed in program oversight	Provisions for applicable providers
Analysis and results of required documentation	Provisions for capitation analysis and results determination
Scope of analysis and results determination	Provisions for network adequacy and results determination
Basis of analysis and results determination	Provisions for capitation analysis and results determination

Answer Regulations at 42 U.S.C. § 1396u-2(f)(3) require states that contract with MMCs, PIHPs, and PAHPs to submit an annual report to CMS that includes a description of the standards used to determine the adequacy of the MMC's, PIHP's, and PAHP's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. For purposes of such annual report, the state must describe how methods for monitoring network adequacy and the standards for adequacy are applied to each MMC, PIHP, and PAHP. Information from a managed care plan as specified in 42 C.F.R. § 438.66(c) and described in the instructions. The Table below lists the 4 variables for States to determine the information that the reviewer looks at to rate an MC plan.

A. Access and network adequacy standards required for plans participating in the program(s)

Select or enter the number of the item used to answer each question in the table below. Enter "yes" or "no" in the "Applicable to MC plan?" column.

#	Item	Item Instructions	Answer/Formula	Applicable to MC plan?
A.1	Network(s) in	Enter the state(s) (or the word 'statewide') used for this program.	Text values (select one or more from list "State")	
A.2	Provider/Specialties	Enter the provider types (or specialties) that the standards in Column C apply to.	Text values	
A.3	Time/Distance	Enter the time and distance standards for each provider type listed in Column A.	Text values (select one or more from list "Time/Distance")	
A.4	Exceptions process (Y, N/BLANK)	Enter 'Yes' if the standards allow for exceptions. Else, enter 'No'.	Text values (select one)	
A.5	Exceptions approval	Enter 'Yes' if the exceptions process requires approval. Else, enter 'No'.	Text values (select one)	

B. Analyses that the state used to monitor compliance with access and network adequacy standards reported in Section A

Select or enter the number of the item used to answer each question in the table below. Enter "yes" or "no" in the "Applicable to MC plan?" column.

#	Item	Item Instructions	Answer/Formula	Applicable to MC plan?
B.1	Frequency of analysis	Indicate how frequently the state analyzes plan compliance with 42 C.F.R. § 438.68(b)(1) and 42 C.F.R. § 438.206(b)(1). If the state analyzes plan compliance with the rules more frequently (such as monthly) than "at least every three years" as the "Annual" value, then select "More frequently than yearly"	Text values (select one) or use "Text box for Value" below	
B.2	Analysis methods	For each analysis method in Column B.1, indicate whether the state uses the method to analyze plan compliance with 42 C.F.R. § 438.68(b)(1) and 42 C.F.R. § 438.206(b)(1). If the state uses other methods, please explain them in column D in this row. If the state uses other methods, please explain them in column D in this row. For example, the state may use a "secret shopper" survey. Indicate if the state's analysis uses new methods in Year 3.	Text values (select one) or use "Text box for Value" below	
B.3a	Time-specific analysis	If the state indicated in Item 1.B.1 that it uses an analysis method for some or all of the plans that is "Annual" or "More frequently than yearly", then for each method in Item 1.B.2 that "Uses the method", indicate whether the state's analysis method is time-specific. For example, the state may use a "secret shopper" survey method in Item 1.B.2 that "Uses the method (if at all)" but does not base a "pre-review" check "Pre-review" on the date of the review. Indicate whether the state's analysis method is time-specific in Year 3.	Free text	

C. Plan-level compliance data

Select or enter the number of the item used to answer each question in the table below. Enter "yes" or "no" in the "Applicable to MC plan?" column.

#	Item	Item Instructions	Answer/Formula	Applicable to MC plan?
C.1	Plan name	For example, the state enters the names of the plans that contract with the state.	Free text	
C.2	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accurate that the plan complies with the state's network adequacy standards for each provider type listed in Column A. For example, the state could enter "Yes" in this column for the plan during the reporting period indicated in Y3 A and Y3 B. For example, if the state assessed plan compliance using two quarterly spot checks and the state found that plan provider rates do not meet the state's standards, then the state should enter "No" in this column for the plan during the reporting period indicated in Y3 A and Y3 B. (If the state assessed plan compliance using two quarterly spot checks and the state found that plan provider rates do not meet the state's standards, then the state should enter "No" in this column for the plan during the reporting period indicated in Y3 A and Y3 B.) Additionally, the state should describe in Column D of this row the results of the two spot checks. As another example, if the state assessed plan compliance using two semi-annual geomapping analyses and an annual survey analysis, then the state should enter "Yes" in this column for the plan during the reporting period indicated in Y3 A and Y3 B, only if the plan complied with the state's 42 C.F.R. § 438.68 standards in all of these analyses. Otherwise, the state should enter "No" in this column. In addition, the state should describe in Column D of this row the results of these three analyses.	Text values (select one)	
C.3	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including data of the state) that support the assessments of the plan's compliance with a network adequacy standard. For example, the state could describe the results of the analyses that support the assessments of the plan's compliance with the standards listed in Column A. For example, the state could describe how the state used its secret shopper survey to assess plan compliance with these standards.	Free text	
C.4a	Plan deficiencies - 42 C.F.R. § 438.68 (Rule 1)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 network adequacy standards for the plan during the reporting period in Y3 A and Y3 B, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state answered "Yes, the plan complies based on all analyses" in C.2 (i.e., write "Yes")	Free text	
C.4b	Plan deficiencies - 42 C.F.R. § 438.68 (Rule 2)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 network adequacy standards for the plan during the reporting period in Y3 A and Y3 B, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state answered "Yes, the plan complies based on all analyses" in C.2 (i.e., write "Yes")	Free text	
C.5	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state identified any plan deficiencies in C.4.1-C.4.2, indicate what the state will reassess the plan's compliance with the network adequacy standards to determine whether the plan has remediated those deficiencies.	Yes/No (BINOM(1,0.5,"FYI"))	
C.6	Exemptions granted under 42 C.F.R. § 438.68(e)	Describe any network adequacy standard exceptions that the state has granted to the plan under 42 C.F.R. § 438.68(e) or "N/A" if the state has not granted any exceptions. (see "Notes")	Free text	
C.7	Exemptions for rural areas granted under 42 C.F.R. § 438.68(f)	If the state granted any network adequacy standard exceptions granted to rural areas under 42 C.F.R. § 438.68(f) or "N/A" if the state has not granted any exceptions. (see "Notes")	Free text	
C.8	Description of compliance with 42 C.F.R. § 438.206	Indicate whether the state accurate that the plan complies with the state's standards for each provider type listed in Column A. For example, the state could enter "Yes" in this column for the plan during the reporting period indicated in Y3 A and Y3 B. For example, if the state assessed plan compliance using two quarterly spot checks and the state found that plan provider rates do not meet the state's standards, then the state should enter "No" in this column for the plan during the reporting period indicated in Y3 A and Y3 B. (If the state assessed plan compliance using two quarterly spot checks and the state found that plan provider rates do not meet the state's standards, then the state should enter "No" in this column for the plan during the reporting period indicated in Y3 A and Y3 B.) Additionally, the state should describe in Column D of this row the results of the two spot checks. As another example, if the state assessed plan compliance using two semi-annual geomapping analyses and an annual survey analysis and only within the plan's provider network, then the state should enter "Yes" in this column for the plan during the reporting period indicated in Y3 A and Y3 B, only if the plan complied with the state's 42 C.F.R. § 438.206 standards in all of these analyses. Otherwise, the state should enter "No" in this column. In addition, the state should describe in Column D of this row the results of these three analyses.	Text values (select one)	
C.9	Description of results - 42 C.F.R. § 438.206	Describe the results of each of the analyses (including data of the state) that support the assessments of the plan's compliance with a network adequacy standard. For example, the state could describe the results of the analyses that support the assessments of the plan's compliance with the standards listed in Column A. For example, the state could describe how the state used its secret shopper survey to assess plan compliance with these standards.	Free text	
C.10a	Plan deficiencies - 42 C.F.R. § 438.206 (Rule 1)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.206 network adequacy standards for the plan during the reporting period in Y3 A and Y3 B, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state answered "Yes, the plan complies based on all analyses" in C.2 (i.e., write "Yes")	Free text	
C.10b	Plan deficiencies - 42 C.F.R. § 438.206 (Rule 2)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.206 network adequacy standards for the plan during the reporting period in Y3 A and Y3 B, describe what the plan will do to ensure compliance and how the state will monitor the plan's progress. If the state answered "Yes, the plan complies based on all analyses" in C.2 (i.e., write "Yes")	Free text	
C.11	Reassessment for plan deficiencies - 42 C.F.R. § 438.206	If the state identified any plan deficiencies in C.10.1-C.10.2, indicate what the state will reassess the plan's availability of services to assess whether the plan has remediated those deficiencies.	Yes/No (BINOM(1,0.5,"FYI"))	

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Header 1	Header 2	Header 3	Header 4	Header 5	Header 6	Header 7	Header 8	Header 9	Header 10	Header 11	Header 12	Header 13	Header 14	Header 15	Header 16	Header 17	Header 18	Header 19	Header 20

5. Program-level standards, monitoring methods, and plan compliance

Select or enter the program name. Use the same program name in all sections of this workbook.

Program summary	Program 6
Program name (must match all sections)	Placeholder for plan name
Number plans reported in program network	Placeholder for plan count
Analysis and results of required processes	Placeholder for organizing analysis and results description
Rules of analysis and results processes	Placeholder for organizing analysis and results description
Rules of analysis and results processes	Placeholder for organizing analysis and results description

Context: Regulations at 45 C.F.R. § 146.68(c)(3) require plans that contract with MEWA, PMPM, and PEPM to submit to CMS an annual report containing information about the plan's compliance with the applicable requirements of 45 C.F.R. § 146.68 and 45 C.F.R. § 146.136. The regulations require submission of an analysis that the plans believe is necessary to support its assertions of compliance for each plan. The plans must submit this information to CMS after receipt of documentation from the plan's third party administrator (TPA) or service provider (SP) that is responsible for the plan's compliance. The regulations do not require plans to submit this information for the insurance plans at the issuer of the risk.

A. Access and network adequacy standards required for plans participating in the program

Select or enter the number of the row in which each standard includes a changed rate program, standard, report, and version (2021 reporting year).

Row	Item	Item instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
Row 1	Standard no.	Enter the standard no. for each standard used in the program	See values (select one or more from "Other")																																			
Row 2	Standard description	Enter the standard description for each standard used in the program	See values																																			
Row 3	Standard met	Enter the rule that must be met for standard satisfied by	See values (select one or more from "Other")																																			
Row 4	Exception created by standard	Enter the statement that the standard applies to	See values (select one or more from "Other")																																			
Row 5	Applicable regulation	Enter the regulation that the standard applies to	See values (select one or more from "Other")																																			

B. Analysis that the state used to monitor compliance with access and network adequacy standards reported in Section A

Select or enter the number of the row in which each of the rules was in force for plan considerations with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Insert additional rows as necessary. [1]

Enter program name unless it has a custom value or specified in the next instructions >>

Row	Item	Item instructions	Acceptable Values	Rate Oversight	Rate Provider Monitoring Review	Issuer Managed Network Participation	Service Managed Network Participation	ACA Rules Analysis	Review of Standards Related to Services	Accountant Rate Review	Other Reporting
Row 1	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Select "Other" and enter a value if the state did not use any of the listed values. Select multiple if the state has different frequencies for different plans. Select "Not applicable" if the state does not use the standard. Select "Not used for any plans."	See values (select one or more from "Other")								
Row 2	Analysis methods	For each analysis method in column A-J, indicate whether the state uses the method to analyze plan compliance with 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Select "Other" and enter a value if the state did not use any of the listed values. If the state uses other methods, please explain them in column K. Select multiple if the state has different methods for different plans. Select "Not applicable" if the state does not use the standard.	See values (select one or more from "Other")								
Row 3	Plan-specific analysis	If the state indicated in Item 1A-K that it uses an analysis method for some plans but not others, please explain in this row why the state uses the method in some cases. Enter the name of the plans under the column.	Free text								
		Select or enter the number of the row in which each of the rules was in force for plan considerations with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Insert additional rows as necessary. [1]									

C. Plan-level compliance data

Select or enter the number of the row in which plan compliance with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 was reported. [1]

Enter plan name unless it has a custom value or specified in the next instructions >>

Row	Item	Item instructions	Acceptable Values	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]
Row 1	Plan name	Enter the plan name. Enter the same as in Section A. Use the same plan name in all sections of this workbook.	Free text																																			
Row 2	Description of plan compliance with 45 C.F.R. § 146.68	Indicate whether the state accepts that the plan complies with the state's network adequacy standards under 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Select "Other" and enter a value if the state did not use any of the listed values. If the state has not yet made a determination, select "Not yet." For example, if the state reviewed plan compliance using two quarterly geomapping and one annual plan provider review as the plan was offered, select the reporting period (standard in 45 C.F.R. § 146.68) that includes data from the plan's first year of operation. If the plan was offered for less than a full year, select "Not applicable." As another example, if the state reviewed plan compliance using two semi-annual geomapping analyses and an annual review of provider wait times, select the reporting period that includes data from the plan's first year of operation. If the plan was offered for less than a full year, select "Not applicable." If the plan was offered for a full year or more, but the state has not yet reviewed data from the plan's third year of operation, select "No. the plan was not initially issued as of as of [date]."	See values (select one)																																				
Row 3	Description of results - 45 C.F.R. § 146.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessments of the state's compliance with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Describe the rationale for the state's decision to accept or reject the plan's compliance with the criteria. Describe any network adequacy violations and explain how the state took to ensure plan compliance with these standards.	Free text																																				
Row 4	Plan deficiencies - 45 C.F.R. § 146.68 (Row 1)	If the state deemed a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), describe what the plan will do to achieve compliance and how the state will monitor the plan's progress. If the state has not found a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), select "No. the plan complies with the criteria." If the state has not yet made a determination, select "No. the plan has not yet been issued as of as of [date]."	Free text																																				
Row 5	Plan deficiencies - 45 C.F.R. § 146.68 (Row 2)	If the state deemed a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), describe what the plan will do to achieve compliance and how the state will monitor the plan's progress. If the state has not found a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), select "No. the plan complies with the criteria." If the state has not yet made a determination, select "No. the plan has not yet been issued as of as of [date]."	Free text																																				
Row 6	Reassessment for plan deficiencies - 45 C.F.R. § 146.68	If the state described any plan deficiencies in 1-5 A-J, indicate when the state will reassess the plan's availability of services to determine whether the plan has remedied those deficiencies.	Free date/time (YYYY)																																				
Row 7	Exceptions granted under 45 C.F.R. § 146.68(d)	Describe any network adequacy standard exceptions that the Exchange granted to the plan under 45 C.F.R. § 146.68(d) or the state's decision. Select "None."	Free text																																				
Row 8	Enrollment in Exchange-produced plans - 45 C.F.R. § 146.68(d)	If the state deemed any network adequacy compliance exceptions granted to the plan under 45 C.F.R. § 146.68(d), describe the plan's enrollment in Exchange-produced plans (e.g., enrollment). If the state has not granted any exceptions, select "None."	Free text																																				
Row 9	Description of compliance with 45 C.F.R. § 146.68	Indicate whether the state accepts that the plan complies with the state's network adequacy standards under 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Select "Other" and enter a value if the state did not use any of the listed values. If the state has not yet made a determination, select "Not yet." For example, if the state reviewed plan compliance using two quarterly geomapping and one annual plan provider review as the plan was offered, select the reporting period (standard in 45 C.F.R. § 146.68) that includes data from the plan's first year of operation. If the plan was offered for less than a full year, select "Not applicable." As another example, if the state reviewed plan compliance using two semi-annual geomapping analyses and an annual review of provider wait times, select the reporting period that includes data from the plan's first year of operation. If the plan was offered for less than a full year, select "Not applicable." If the plan was offered for a full year or more, but the state has not yet reviewed data from the plan's third year of operation, select "No. the plan was not initially issued as of as of [date]."	See values (select one)																																				
Row 10	Description of results - 45 C.F.R. § 146.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessments of the state's compliance with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard). Describe the rationale for the state's decision to accept or reject the plan's compliance with the criteria. Describe any network adequacy violations and explain how the state took to ensure plan compliance with these standards.	Free text																																				
Row 11	Plan deficiencies - 45 C.F.R. § 146.68 (Row 1)	If the state deemed a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), describe what the plan will do to achieve compliance and how the state will monitor the plan's progress. If the state has not found a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), select "No. the plan complies with the criteria." If the state has not yet made a determination, select "No. the plan has not yet been issued as of as of [date]."	Free text																																				
Row 12	Plan deficiencies - 45 C.F.R. § 146.68 (Row 2)	If the state deemed a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), describe what the plan will do to achieve compliance and how the state will monitor the plan's progress. If the state has not found a plan deficiency with the criteria at 45 C.F.R. § 146.68 and 45 C.F.R. § 146.68 (Standard), select "No. the plan complies with the criteria." If the state has not yet made a determination, select "No. the plan has not yet been issued as of as of [date]."	Free text																																				
Row 13	Reassessment for plan deficiencies - 45 C.F.R. § 146.68	If the state described any plan deficiencies in 1-5 A-J, indicate when the state will reassess the plan's availability of services to determine whether the plan has remedied those deficiencies.	Free date/time (YYYY)																																				

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Select whether each program element is required by the standard, and describe how it is monitored.

Program summary	Program 6
Program name (from Section 1)	Placeholder for plan name
Provider types covered by program standards	Placeholder for provider types
Analysis and results of required processes	Placeholder for required analyses and results (electronic)
Rate of analysis and results submission	Placeholder for required analysis and results (electronic)
Rate of analysis and results reviewed	Placeholder for required analysis and results (electronic)

Context: Regulations at 42 C.F.R. § 438.68(b)(4) require states that contract with MCOs, PIHPs, and PAHPs to submit an annual report describing the analysis and evaluation of the network adequacy standards that the state has established under 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. The submission should include documentation of an analysis that the state undertakes to support its assurance of compliance for each plan. The state must submit this information to CMS after receipt of documentation from the MCO, PIHP, and PAHP and after the state has had sufficient time to review the information. The state may submit narratives to make its submitted information for the broadest view of the rest of the set.

A. Access and network adequacy standards required for plans participating in the program

Indicate how frequently the state collects and reviews network, coverage and capacity analytics, report each service area, and monitoring for gaps.

Start programs at data in column H in Section 1 through Section 20 >>

Item	Label	Data instructions	Acceptable Values	Section 1	Section 2	Section 3	Section 4	Section 5	Section 6	Section 7	Section 8	Section 9	Section 10	Section 11	Section 12	Section 13	Section 14	Section 15	Section 16	Section 17	Section 18	Section 19	Section 20	Section 21	Section 22	Section 23	Section 24	Section 25	Section 26	Section 27	Section 28	Section 29	Section 30	Section 31	Section 32	Section 33	Section 34	Section 35
5a(1)	Approach(es)	Select the standard(s) as to how each standard used to accomplish	Text values (select one or more from "Other")																																			
5a(2)	Standard description	Select the standard(s) as to how each standard used to accomplish	Text values																																			
5a(3)	Describe how standard	Select the state how more than the standard satisfied for	Text values (select one or more)																																			
5a(4)	Exception criteria (e.g., applicant	Select the exceptions that the standard applies to	Text values (select one or more)																																			
5a(5)	Applicable regulation	Select the region that the standard applies to	Text values (select one or more)																																			

B. Analyses that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Indicate whether the state uses the activities listed in the table below to monitor plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. Select "Other" and describe if applicable.

Start programs at data in column H in Section 1 through Section 20 >>

Item	Label	Data instructions	Acceptable Values	Rate Analysis	Plan Provider Directory Review	Secret Shopper Network Assessment	Secret Shopper Appointment Assessment	ATM Data Analysis	Review of Grievances, Appeals, & Denials	Assumed Data Analysis	Other Reporting
5b(1)	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. Select "Other" and describe if the state uses any other methods. Select "Annually" if the state does not use the methods listed. Select "Not applicable" if not applicable.	Text values (select one or more from "Other")								
5b(2)	Analysis methods	For each analysis method in columns B to I, indicate whether the state uses its own data, data reported by plans, or both. Select "Other" and describe if the state uses any other methods. Leave blank if the state does not perform the analysis listed. If the state uses other methods, please explain them in columns B to I. If the state does not perform the analysis listed, select "Not applicable".	Text values (select one or more from "Other")								
5b(3)	Time-specific analysis	The state's methods to ensure that sufficient data are collected to support the state's analysis of plan compliance with the standards. For example, if the state assesses plan compliance using two-week secret shopper assessments, the state must ensure that it collects sufficient data to support the validity of the assessment. If the state does not perform time-specific analysis, select "No."	Free text								
5b(4)	Data sufficiency	If the state assesses plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards using two-week secret shopper assessments, the state must ensure that it collects sufficient data to support the validity of the assessment. For example, if the state assesses plan compliance using two-week secret shopper assessments, the state must ensure that it collects sufficient data to support the validity of the assessment. If the state does not perform time-specific analysis, select "No."	Free text								
5b(5)	Plan sufficiency	If the state assesses plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards, describe what the plan will be enforce the standards and how the state will address the plan's obligations.	Free text								
5b(6)	Assessment for plan deficiencies	If the state identifies any plan deficiencies in 5-1-5-2-1, indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Yes/No (SELECT ONE)								
5b(7)	Assessment gathered when all 42 C.F.R. § 438.68(b)	Describe any network adequacy standard exceptions that the state has granted to plans under 42 C.F.R. § 438.68(c) or (d) and the rationale for those exceptions.	Free text								
5b(8)	Describe any standards produced in 42 C.F.R. § 438.68(d)	If the state enforces any network adequacy standard exceptions granted to plans under 42 C.F.R. § 438.68(c) or (d), indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Free text								
5b(9)	Describe all compliance with 42 C.F.R. § 438.206	Indicate whether the state assesses that the plan complies with the state's standards under 42 C.F.R. § 438.206 and 42 C.F.R. § 438.68 and describe how it does so. For example, if the state assesses that the plan complies with the state's standards using the plan submission for the plan during the reporting period indicated in C-1-B-3 and C-1-B-4. For example, if the state assesses plan compliance using two-quarterly secret shopping and one annual data process, state as the assessment when the plan complied with the state's 42 C.F.R. § 438.68 standards in all four quarters of the reporting period and when the plan complied with all state standards. As another example, if the state assesses plan compliance using two-quarterly secret shopping and one annual data process, state as the assessment when the plan complied with the state's 42 C.F.R. § 438.68 standards in at least three of four quarters of the reporting period and when the plan complied with at least two of three analyses, when "No, the plan does not comply based on all assessments."	Text values (select one)								
5b(10)	Description of results - list 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessments of the state's compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. For example, if the state assesses that quality, timely data accessed of the analyses the state used to assess plan compliance with these standards.	Free text								
5b(11)	Plan deficiencies - list 42 C.F.R. § 438.68 (Part 1)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards, describe what the plan will be enforcing period in B-4 and C-B-3, describe what the plan will be enforce the standards and how the state will address the plan's obligations. If the state selected "Yes, the plan complies based on all assessments" in C-1-5-a, write "N/A."	Free text								
5b(12)	Plan deficiencies - list 42 C.F.R. § 438.68 (Part 2)	If the state identified any plan deficiencies in C-1-5-2-1, indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Free text								
5b(13)	Assessment for plan deficiencies - list 42 C.F.R. § 438.68	If the state identified any plan deficiencies in C-1-5-2-1, indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Yes/No (SELECT ONE)								
5b(14)	Assessment gathered when all 42 C.F.R. § 438.68	Describe any network adequacy standard exceptions that the state has granted to plans under 42 C.F.R. § 438.68(c) or (d) and the rationale for those exceptions.	Free text								
5b(15)	Describe any standards produced in 42 C.F.R. § 438.68(d)	If the state enforces any network adequacy standard exceptions granted to plans under 42 C.F.R. § 438.68(c) or (d), indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Free text								
5b(16)	Describe all compliance with 42 C.F.R. § 438.206	Indicate whether the state assesses that the plan complies with the state's standards under 42 C.F.R. § 438.206 and 42 C.F.R. § 438.68 and describe how it does so. For example, if the state assesses that the plan complies with the state's standards using the plan submission for the plan during the reporting period indicated in C-1-B-3 and C-1-B-4. For example, if the state assesses plan compliance using two-quarterly secret shopping and one annual data process, state as the assessment when the plan complied with the state's 42 C.F.R. § 438.68 standards in all four quarters of the reporting period and when the plan complied with all state standards. As another example, if the state assesses plan compliance using two-quarterly secret shopping and one annual secret shopper assessment, state as the assessment when the plan complied with the state's 42 C.F.R. § 438.68 standards in at least three of four analyses, when "No, the plan does not comply based on all assessments."	Text values (select one)								
5b(17)	Description of results - list 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessments of the state's compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. For example, if the state assesses that quality, timely data accessed of the analyses the state used to assess plan compliance with these standards.	Free text								
5b(18)	Plan deficiencies - list 42 C.F.R. § 438.68 (Part 1)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards, describe what the plan will be enforcing period in B-4 and C-B-3, describe what the plan will be enforce the standards and how the state will address the plan's obligations. If the state selected "Yes, the plan complies based on all assessments" in C-1-5-a, write "N/A."	Free text								
5b(19)	Plan deficiencies - list 42 C.F.R. § 438.68 (Part 2)	If the state identified any plan deficiencies in C-1-5-2-1, indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Free text								
5b(20)	Assessment for plan deficiencies - list 42 C.F.R. § 438.68	If the state identified any plan deficiencies in C-1-5-2-1, indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Yes/No (SELECT ONE)								

C. Plan-level compliance data

Enter results and data in columns H to Y. >>

Start data entry in column H in Plan 1 through Plan 20 >>

Item	Label	Data instructions	Acceptable Values	Plan 1	Plan 2	Plan 3	Plan 4	Plan 5	Plan 6	Plan 7	Plan 8	Plan 9	Plan 10	Plan 11	Plan 12	Plan 13	Plan 14	Plan 15	Plan 16	Plan 17	Plan 18	Plan 19	Plan 20	Plan 21	Plan 22	Plan 23	Plan 24	Plan 25	Plan 26	Plan 27	Plan 28	Plan 29	Plan 30	Plan 31	Plan 32	Plan 33	Plan 34	Plan 35
5c(1)	Plan name	Enter the plan name.	Free text																																	
5c(2)	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state assesses that the plan complies with the state's standards under 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 and describe how it does so. For example, if the state assesses that the plan complies with the state's standards using the plan submission for the plan during the reporting period indicated in C-1-B-3 and C-1-B-4. For example, if the state assesses plan compliance using two-quarterly secret shopping and one annual data process, state as the assessment when the plan complied with the state's 42 C.F.R. § 438.68 standards in all four quarters of the reporting period and when the plan complied with all state standards. As another example, if the state assesses plan compliance using two-quarterly secret shopping and one annual secret shopper assessment, state as the assessment when the plan complied with the state's 42 C.F.R. § 438.68 standards in at least three of four analyses, when "No, the plan does not comply based on all assessments."	Text values (select one)																																			
5c(3)	Description of results - list 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessments of the state's compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. For example, if the state assesses that quality, timely data accessed of the analyses the state used to assess plan compliance with these standards.	Free text																																			
5c(4)	Plan deficiencies - list 42 C.F.R. § 438.68 (Part 1)	If the state cannot secure plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards, describe what the plan will be enforcing period in B-4 and C-B-3, describe what the plan will be enforce the standards and how the state will address the plan's obligations. If the state selected "Yes, the plan complies based on all assessments" in C-1-5-a, write "N/A."	Free text																																			
5c(5)	Plan deficiencies - list 42 C.F.R. § 438.68 (Part 2)	If the state identified any plan deficiencies in C-1-5-2-1, indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Free text																																			
5c(6)	Assessment for plan deficiencies - list 42 C.F.R. § 438.68	If the state identified any plan deficiencies in C-1-5-2-1, indicate what the state will measure the plan's availability of services to assess whether the plan has remediated those deficiencies.	Yes/No (SELECT ONE)																																			

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

9. Program-level standards, monitoring methods, and plan compliance

Applies to: Program 5

Program summary	Program 5
Program name (short)	Placeholder for plan name
Provider type covered by program standards	Placeholder for provider type
Analysis unit (county or supervisorial district)	Placeholder for reporting analysis unit (county, district)
Time of analysis and tracks addressed	Placeholder for reporting analysis unit (county, district)
Date of analysis and tracks addressed	Placeholder for reporting analysis unit (county, district)

Context: Regulations at 42 C.F.R. § 438.68(c)(2) require states that contract with MCOs, PIHPs, and PAHPs to submit to CMS an assessment of the adequacy of the standards used by the plans to ensure adequate access to covered services (42 C.F.R. § 438.68 and 42 C.F.R. § 438.206). The assessment must include documentation of an analysis that the state undertakes to support its assurance of compliance for each plan. The state must submit this information to CMS after receipt of documentation from the plans that they have implemented the standards and monitoring methods. The state may use the following tables to collect the information for the assessor (state or the rest of the UR).

A. Access and network adequacy standards required for plans participating in the program

Applies to: Program 5

Instructions: Use the section of the state's report and standards template to complete state program standards, report each service area, and monitoring of each.

Start program-level data in column F for Standard 1 through Standard 100+.

Row	Item	Item instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
[Row]	Standard no.	Enter the standard's up-to-last-part standard used in the program	Text values (select one or more from list)																																			
[Row]	Standard description	Enter the standard's description as used in the program	Text values (select one or more from list)																																			
[Row]	Describe how to exceed the standard	Enter the more-than-the-standard variation(s)	Text values (select one or more from list)																																			
[Row]	Exception covered by standard	Enter the exceptions that the standard applies to	Text values (select one or more from list)																																			
[Row]	Applicable regulation	Enter the regulation that the standard applies to	Text values (select one or more from list)																																			

B. Analysis that the state used to monitor compliance with access and network adequacy standards reported in Section A

Applies to: Program 5

Instructions: Use the section of the state's report and the state's plan monitoring tools to complete plan compliance with the criteria for 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard). Insert additional columns if necessary.

Start program-level values in base monitoring criteria (specified in the next instructions >>

Row	Item	Item instructions	Acceptable Values	Reporting/log	Plan Provider Directory Review	Secret Shopper (Network Participation)	Secret Shopper (Appointment Availability)	ATA Rules Analysis	Review of Grievances Related to Access	Accounted Ratio (Actual)	Other Reporting
[Row]	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard). Enter "Other" and explain if the state uses a frequency not listed. Insert columns if n. of the state's data not see the calendar. Select "Not used in any plans."	Text values (select one or more from list "Other" required								
[Row]	Analysis methods	For each analysis method in columns N+, indicate whether the state uses its plan monitoring tools to assess compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard). Enter "Other" and explain if the state uses a method not listed. If the state uses other methods, please explain them in columns N+. Select "Not used in any plans" if the state does not use the method in any plans.	Text values (select one or more from list "Other" required								
[Row]	Plan-specific analysis	Describe the plan-specific analysis the state conducts to determine compliance with the criteria for 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard). If the state does not conduct plan-specific analysis, enter "No."	Free text								

C. Plan-level compliance data

Applies to: Program 5

Instructions: Use the section of the state's report on plan compliance with the criteria, 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard). Insert additional columns if necessary.

Start plan-level data in column F for [Plan 1] through [Plan 99] >>

Row	Item	Item instructions	Acceptable Values	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]
[Row]	Plan name	Enter the plan name as used in the report or monitoring tools	Free text																																			
[Row]	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accurate that the plan complies with the state's standards for compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard) using the plan-level comments the the plan during the reporting period indicated in C.1.B (Lines 3+). For example, if the state assessed plan compliance using two quarterly spot-checking and one annual plan provider views on-time-delivery, enter the reporting period indicated in C.1.B (Lines 3+). Will the state determine that the plan complied with the state's 42 C.F.R. § 438.68 standards in all of these activities, enter "Yes." If the state determined that the plan did not comply with one or more activities, enter "No." Indicate "Other" if all else fails. As another example, if the state assessed plan compliance using two semi-annual geomapping analyses and an annual survey of plan enrollees, enter the reporting period indicated in C.1.B (Lines 3+). Will the state determine that the plan complied with the state's 42 C.F.R. § 438.68 standards in all of these activities, enter "Yes." If the state determined that the plan did not comply with one or more activities, enter "No." Indicate "Other" if all else fails.	Text values (select one)																																				
[Row]	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessed in columns of the state's compliance with the criteria for 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard). Indicate whether the deficiencies that apply, or only plan-accepted of the analyses that the state used to assess plan compliance with these standards.	Free text																																				
[Row]	Plan deficiencies - 42 C.F.R. § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard), describe what the plan will do to enforce reporting posed in C.1.B and C.1.B.1. describes what the plan will be enforce the deficiencies and how the state will monitor the plan's progress. If the state determined "Yes," the plan remedial based on all using cost" in C.1.C.a, enter "Yes."	Free text																																				
[Row]	Plan deficiencies - 42 C.F.R. § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard), describe what the plan will do to enforce reporting posed in C.1.B and C.1.B.1. describes what the plan will be enforce the deficiencies and how the state will monitor the plan's progress. If the state determined "Yes," the plan remedial based on all using cost" in C.1.C.a, enter "Yes."	Free text																																				
[Row]	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state described any plan deficiencies in C.1.C.1 or C.1.C.2, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remedied those deficiencies.	Date (MM/DD/YYYY)																																				
[Row]	Exceptions granted under 42 C.F.R. § 438.68(e)(2)	Describe any network adequacy standard exceptions that the Director granted to plans under 42 C.F.R. § 438.68(e)(2) in the time period indicated in C.1.B (Row 3). Enter "None" if the Director granted no exceptions.	Free text																																				
[Row]	Deficiencies in remedying previous plan deficiencies - 42 C.F.R. § 438.68(d)	If the state identified any violation(s) of plan compliance with the criteria for 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard) in the time period indicated in C.1.B (Row 3), indicate whether the plan remedied those deficiencies. If the state has not yet assessed any remedies, enter "None."	Free text																																				
[Row]	Description of compliance with 42 C.F.R. § 438.68	Indicate whether the state accurate that the plan complies with the state's standards for compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard) using the plan-level comments the the plan during the reporting period indicated in C.1.B (Lines 3+). For example, if the state assessed plan compliance using two quarterly spot-checking and one annual plan provider views on-time-delivery, enter the reporting period indicated in C.1.B (Lines 3+). Will the state determine that the plan complied with the state's 42 C.F.R. § 438.68 standards in all of these activities, enter "Yes." If the state determined that the plan did not comply with one or more activities, enter "No." Indicate "Other" if all else fails. As another example, if the state assessed plan compliance using two semi-annual geomapping analyses and an annual survey of plan enrollees, enter the reporting period indicated in C.1.B (Lines 3+). Will the state determine that the plan complied with the state's 42 C.F.R. § 438.68 standards in all of these activities, enter "Yes." If the state determined that the plan did not comply with one or more activities, enter "No." Indicate "Other" if all else fails.	Text values (select one)																																				
[Row]	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessed in columns of the state's compliance with the criteria for 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard). Indicate whether the deficiencies that apply, or only plan-accepted of the analyses that the state used to assess plan compliance with these standards.	Free text																																				
[Row]	Plan deficiencies - 42 C.F.R. § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard), describe what the plan will do to enforce reporting posed in C.1.B and C.1.B.1. describes what the plan will be enforce the deficiencies and how the state will monitor the plan's progress. If the state determined "Yes," the plan remedial based on all using cost" in C.1.C.a, enter "Yes."	Free text																																				
[Row]	Plan deficiencies - 42 C.F.R. § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (Standard), describe what the plan will do to enforce reporting posed in C.1.B and C.1.B.1. describes what the plan will be enforce the deficiencies and how the state will monitor the plan's progress. If the state determined "Yes," the plan remedial based on all using cost" in C.1.C.a, enter "Yes."	Free text																																				
[Row]	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state described any plan deficiencies in C.1.C.1 or C.1.C.2, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remedied those deficiencies.	Date (MM/DD/YYYY)																																				

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Select whether each program is subject to each standard, monitoring method, and plan compliance requirement. Leave blank if not applicable.

Program summary	Program K
Program meets Tier 1 plan requirements	Yes
Provider types covered by program standards	Prescribers (in-person)
Analysis and results of opportunity information	Prescribers (in-person), pharmacies (in-person)
Rules of analysis and results dissemination	Prescribers (in-person), pharmacies (in-person)
Rules of analysis and results dissemination	Prescribers (in-person), pharmacies (in-person)

Answer Regulations at 42 C.F.R. § 438.68(c)(2) require states that contract with MCOs, PIHPs, and PAHPs to submit to CMS an assessment of the adequacy of the standards used by the plans to ensure an adequate network of providers, as described in 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. The assessment must include documentation of all areas the state identifies as in need of improvement. The state must submit this information to CMS after receipt of documentation from the plans, but no later than the date specified in the CMS annual call letter. Use the following questions and variables to collect the information for the program listed at the top of the set.

A. Access and network adequacy standards required for plans participating in the program

Indicate whether the program of the state's MCO, PIHP, and PAHP contracts includes or leverages each program, monitoring, report, and network adequacy standard listed.

Select program(s) as listed in columns H1 through H50 (Standard 1 through Standard 50)

Item	Label	Value instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35	Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50
S1A1	Standard (x)	Enter the standard(s) as it or each standard used in the program	See values (select one or more)																																																	
S1A2	Standard description	Enter the description of the standard(s) as used in the program	Free text																																																
S1A3	Time limit to exceed the standard	Enter the more-than-less than the standard satisfied for	See values (select one or more)																																															
S1A4	Exception created by standard	Enter the statewide that the standard applies to	See values (select one or more)																																															
S1A5	Applicable regulation	Enter the regulation that the standard applies to	See values (select one or more)																																															

B. Analysis that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Indicate whether the state uses the activities listed in the table below to monitor plan compliance with the state's standards listed in Section A. Indicate yes or no for all activities listed, even if the state does not require the activity.

Select program(s) as listed in columns H1 through H50 (Standard 1 through Standard 50)

Item	Label	Value instructions	Acceptable Values	Rate reporting	Plan-Provider directory review	Secret Shopper (Network Adequacy)	Secret Shopper (Quality/Mystery Caller)	ATM Policy Analysis	Review of Grievances, Appeals, & Denials	Beneficiary Data Analysis	Other reporting
S1B1	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with and if the analysis is performed on an ad hoc basis. If the state does not use the same time method, select Ad hoc. If the state does not use the method, select "Not used in any plans."	See values (select one or more) Select text for "Other" response								
S1B2	Analysis methods	For each analysis method in columns B1–J, indicate whether the state uses its own analysis or requires plans to perform the analysis. If the state uses a combination of the two, complete all rows that apply. If the state uses other methods, please explain them in columns K1–K50. If the state does not perform analysis listed, select "Not used."	See values (select one or more) Select text for "Other" response								
S1B3	Time-specific analysis	Indicate whether the state uses the method listed in the table to perform each analysis. If the state does not perform the analysis listed, select "Not used."	Free text								

C. Plan-level compliance data

Enter values for each plan in columns C1–C50 (Plan 1 through Plan 50)

Item	Label	Value instructions	Acceptable Values	Plan 1	Plan 2	Plan 3	Plan 4	Plan 5	Plan 6	Plan 7	Plan 8	Plan 9	Plan 10	Plan 11	Plan 12	Plan 13	Plan 14	Plan 15	Plan 16	Plan 17	Plan 18	Plan 19	Plan 20	Plan 21	Plan 22	Plan 23	Plan 24	Plan 25	Plan 26	Plan 27	Plan 28	Plan 29	Plan 30	Plan 31	Plan 32	Plan 33	Plan 34	Plan 35	Plan 36	Plan 37	Plan 38	Plan 39	Plan 40	Plan 41	Plan 42	Plan 43	Plan 44	Plan 45	Plan 46	Plan 47	Plan 48	Plan 49	Plan 50
C1	Plan name	Enter the plan name.	Free text																																																
C2	Description of plan compliance with standard	Indicate whether the state accurate that the plan complies with the state's standard. If the state does not perform this analysis, select "Not used." If using the plan-submitted file the plan during the reporting period indicated in C1B (Lines 3–4). For example, if the state assessed plan compliance using two quarterly spot-checks and the semi-annual plan provider views as the analysis, select the reporting period indicated in C1B (Lines 3–4). Jan-Dec provide detailed results of the plan-submitted file, the state's MCO, PIHP, or PAHP provider directory, and other. Use "Provider directory" if the state uses the provider directory. As another example, if the state assessed plan compliance using two semi-annual secret shopper surveys and a semi-annual review of provider directories, the reporting period would be Jan-Dec. If the state assessed plan compliance using the plan-submitted file, the state's MCO, PIHP, or PAHP provider directory, and other, the state would select "Other" and specify "Based on all of these analyses, when" No, the plan does not comply "based on all of these analyses.	See values (select one)																																																	
C3	Description of results for C2 if "No, it does not comply"	Describe the results of each of the analyses (including dates of the analyses) that support the assessment above of the state's compliance with the standard listed in C2. If the state does not perform this analysis, select "Not used." If the state does not perform any of the analyses that the state used to assess plan compliance with these standards.	Free text																																																	
C4a	Plan deficiencies: list C, P, D, § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's list C, P, D, § 438.68 standards, indicate whether the plan corrects deficiencies during the reporting period in C1B and if so, describes how the plan corrects deficiencies. Use "Other" if the state uses a different method. If the plan submitted "Yes, the plan complies based on all using such" in C2, it is "Not Used."	Free text																																																	
C4b	Plan deficiencies: list C, P, D, § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's list C, P, D, § 438.68 standards, indicate whether the plan corrects deficiencies during the reporting period in C1B and if so, describes what the plan will be enforce the deficiencies and how the state will monitor the plan's progress. If the plan submitted "Yes, the plan complies based on all using such" in C2, it is "Not Used."	Free text																																																	
C4c	Reassessment for plan deficiencies: all C, P, D, § 438.68	If the state identified any plan deficiencies in C4 (1) or 2, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remediated those deficiencies.	Date (MM/DD/YYYY)																																																	
C4d	Acceptable general value all C, P, D, § 438.68(d)	Describe any overall adequacy standard exceptions that the state has established for some or all of C, P, D, § 438.68(c) or the time limit for exceptions. Use "None."	Free text																																																	
C4e	Acceptable for exceptions produced C, P, D, § 438.68(d)	If the state permits an overall adequacy standard exceptions granted in C4d, indicate whether the state monitors the plan's compliance with the exceptions during the reporting period indicated in C1B and if so, describes how the plan corrects for the plan during the reporting period indicated in C1B (Lines 3–4).	Free text																																																	
C5a	Description of compliance with list C, P, D, § 438.68	Indicate whether the state accurate that the plan complies with the state's standard. If the state does not perform this analysis, select "Not used." If using the plan-submitted file the plan during the reporting period indicated in C1B (Lines 3–4). For example, if the state assessed plan compliance using two quarterly spot-checks and the semi-annual plan provider views as the analysis, select the reporting period indicated in C1B (Lines 3–4). Jan-Dec provide detailed results of the plan-submitted file, the state's MCO, PIHP, or PAHP provider directory, and other. Use "Provider directory" if the state uses the provider directory. As another example, if the state assessed plan compliance using two semi-annual secret shopper surveys and a semi-annual review of provider directories, the reporting period would be Jan-Dec. If the state assessed plan compliance using the plan-submitted file, the state's MCO, PIHP, or PAHP provider directory, and other, the state would select "Other" and specify "Based on all of these analyses, when" No, the plan does not comply "based on all of these analyses.	See values (select one)																																																	
C5b	Description of results for C5 if "No, it does not comply"	Describe the results of each of the analyses (including dates of the analyses) that support the assessment above of the state's compliance with the standard listed in C5. If the state does not perform this analysis, select "Not used." If the state does not perform any of the analyses that the state used to assess plan compliance with these standards.	Free text																																																	
C6a	Plan deficiencies: list C, P, D, § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's list C, P, D, § 438.68 standards, indicate whether the plan corrects deficiencies during the reporting period in C1B and if so, describes how the plan corrects deficiencies. Use "Other" if the state uses a different method. If the plan submitted "Yes, the plan complies based on all using such" in C5, it is "Not Used."	Free text																																																	
C6b	Plan deficiencies: list C, P, D, § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's list C, P, D, § 438.68 standards, indicate whether the plan corrects deficiencies during the reporting period indicated in C1B and if so, describes what the plan will be enforce the deficiencies and how the state will monitor the plan's progress. If the plan submitted "Yes, the plan complies based on all using such" in C5, it is "Not Used."	Free text																																																	
C6c	Reassessment for plan deficiencies: all C, P, D, § 438.68	If the state identified any plan deficiencies in C6 (1) or 2, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remediated those deficiencies.	Date (MM/DD/YYYY)																																																	

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Program summary data

Program summary	Program 6
Program name (used in all sections)	Placeholder for plan name
Provider types covered by program standards	Placeholder for provider types
Analysis and results of required assessment	Placeholder for statistical analysis and results description
Rules of analysis and results dichotomy	Placeholder for statistical analysis and results description
Rules of analysis and results dichotomy	Placeholder for statistical analysis and results description

Context: Regulations at 42 C.F.R. § 438.68(c)(2) require states that contract with MCOs, PIHPs, and PAHPs to submit to CMS an assessment of the adequacy of the standards included in each network adequacy standard (e.g., time and distance, appointment wait time) (42 C.F.R. § 438.68 and 42 C.F.R. § 438.206). The assessment must be submitted for all areas (or for the state) subject to or covered by the standard. For example, if a state has established time and distance standards for adult and pediatric primary care, maternity care, and behavioral health care, the state must submit this information for the covered state or the rest of the state.

A. Access and network adequacy standards required for plans participating in the program

Instructions: Use the section of the data reporter with standard number 1 through last program standard to report each unique standard being used.

Start program-level data in column H for Standard 1 through Standard 500+

No.	Item	Item instructions	Auto-Fill	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35	Standard 36	Standard 37	Standard 38	Standard 39	Standard 40
1(a)	Standard no.	Enter the standard's up-to-last-year standard used in the analysis	Not editable, "Standard 1"																																								
1(b)	Standard description	Enter the standard's up-to-last-year standard used in the analysis	Not editable, "Standard 1"																																								
1(c)	Time rule to not exceed for standard	Enter the time rule to not exceed for the standard specified for	Not editable, [value] plus unit																																								
1(d)	Population covered by standard	Enter the population that the standard applies to	Not editable, [value] plus unit																																								
1(e)	Applicable regulation	Enter the regulation that the standard applies to	Not editable, [value] plus unit																																								

B. Analysis that the state used to monitor compliance with access and network adequacy standards reported in Section A

Instructions: Use the section of the data reporter with the state(s) that the state uses to assess plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. Insert additional columns if necessary.

Start program-level states in column H for Program 1 through Program 50 +

No.	Item	Item instructions	Auto-Fill	Rate Coupling	Plan-Provider Matching Rates	Spend Managed Network Participation	Spend Managed Network Participation	ACA Rate Analysis	Waiver of Geomedia Access to Services	Accounted Rate Model	Other Reporting
2(a)	Frequency of analysis	Indicate most frequently the state analyzes plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. If the state does not use any of the options listed, select "Other" and enter any other frequency that is not listed. If the state does not use the standard, select "Not used by any plans."	Not values (select one) or use free text for "Other" response								
2(b)	Analysis methods	For each analysis method in column H+, indicate whether the state uses it to assess plan compliance with standards listed in Section A. Select all that apply. If a method is not listed, select "Other" and enter it in the text. If the state uses other methods, please explain them in column [Other Reporting]. If the state does not use the standard, select "Not used by any plans."	Not values (select one) or use free text for "Other" response								
2(c)	Time-specific analysis	Indicate whether the state uses time-specific analysis in addition to the plans it submits in cases. Enter the name of the plans under the column. If the state does not use the standard, select "Not used by any plans." If the state has multiple QA or reform the state in the program, enter "Not	Free text								

C. Plan-level compliance data

Instructions: Use the section of the data reporter to plan compliance with the state's 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 standards. Insert additional columns if necessary. [1]

Start plan-level data in column H for Plan 1 through Plan 50 +

No.	Item	Item instructions	Auto-Fill	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]	[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]
3(a)	Plan name	Enter the plan name.	Free text																																								
3(b)	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accurate that the plan complies with the state's standards listed in Section A. Select all that apply. If the state does not use any of the options listed, select "Other" and enter it in the text. If the state does not use the standard, select "Not used by any plans." For example, if the state assessed plan compliance using two quarterly geomapping and one annual site visit, it would select those options. When the plan complied with the state's 42 C.F.R. § 438.68 standards in all of the assessments, it would select "Plan met standard in all assessments." If the plan met the standard in two of the three analyses, it would select "Plan met standard in majority of assessments." As another example, if the state assessed plan compliance using two users, geomapping and annual site visit, it would select those options. When the plan complied with the state's 42 C.F.R. § 438.68 standards in all of the assessments, it would select "Plan met standard in all assessments." If the plan met the standard in two of the three analyses, it would select "Plan met standard in majority of assessments." If the plan met the standard in one of the three analyses, it would select "Plan met standard in minority of assessments."	Not values (select one)																																									
3(c)	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessed outcome of the plan's compliance with the state's 42 C.F.R. § 438.68 standards. If the state does not use any of the options listed, select "Other" and enter it in the text. If the state does not use the standard, select "Not used by any plans."	Free text																																								
3(d)	Plan deficiencies - 42 C.F.R. § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 standards, describe what the plan will be required to do to achieve approving parent (in 42 C.F.R. § 438.68(c)(1)(i)). If the state does not accept any deficiencies, select "No." If the plan met the standard in all assessments, select "Yes." If the plan met the standard in majority of assessments, select "Yes." If the plan met the standard in minority of assessments, select "No." If the plan did not comply, based on all analyses, select "No."	Free text																																								
3(e)	Plan deficiencies - 42 C.F.R. § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 standards, describe what the plan will be required to do to achieve approving parent (in 42 C.F.R. § 438.68(c)(1)(i)). If the state does not accept any deficiencies, select "No." If the plan met the standard in all assessments, select "Yes." If the plan met the standard in majority of assessments, select "Yes." If the plan met the standard in minority of assessments, select "No." If the plan did not comply, based on all analyses, select "No."	Free text																																								
3(f)	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state determines any violation, describe what the state will reassess the plan's availability of services to assure that whether the plan has remediated those deficiencies.	Yes/No (SELECT ???)																																								
3(g)	Exceptions granted under 42 C.F.R. § 438.68(e)(2)	Describe any network adequacy standard exceptions that the state has granted to the plan under 42 C.F.R. § 438.68(e)(2) or the state's equivalent.	Free text																																								
3(h)	Deficiencies in remaining provisions - 42 C.F.R. § 438.68(f)	If the state identified any violations of the state's standards, describe what the plan will be required to do to achieve approving parent (in 42 C.F.R. § 438.68(c)(1)(i)). If the state has not identified any deficiencies, select "No."	Free text																																								
3(i)	Description of compliance with 42 C.F.R. § 438.206	Indicate whether the state accurate that the plan complies with the state's standards listed in Section A. Select all that apply. If the state does not use any of the options listed, select "Other" and enter it in the text. If the state does not use the standard, select "Not used by any plans." For example, if the state assessed plan compliance using two quarterly geomapping and one annual site visit, it would select those options. When the plan complied with the state's 42 C.F.R. § 438.68 standards in all of the assessments, it would select "Plan met standard in all assessments." As another example, if the state assessed plan compliance using two users, geomapping and annual site visit, it would select those options. When the plan complied with the state's 42 C.F.R. § 438.68 standards in all of the assessments, it would select "Plan met standard in all assessments." If the plan met the standard in two of the three analyses, it would select "Plan met standard in majority of assessments." If the plan met the standard in one of the three analyses, it would select "Plan met standard in minority of assessments."	Not values (select one)																																									
3(j)	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessed outcome of the plan's compliance with the state's 42 C.F.R. § 438.68 standards. If the state does not use any of the options listed, select "Other" and enter it in the text. If the state does not use the standard, select "Not used by any plans."	Free text																																								
3(k)	Plan deficiencies - 42 C.F.R. § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 standards, describe what the plan will be required to do to achieve approving parent (in 42 C.F.R. § 438.68(c)(1)(i)). If the state does not accept any deficiencies, select "No." If the plan met the standard in all assessments, select "Yes." If the plan met the standard in majority of assessments, select "Yes." If the plan met the standard in minority of assessments, select "No." If the plan did not comply, based on all analyses, select "No."	Free text																																								
3(l)	Plan deficiencies - 42 C.F.R. § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 standards, describe what the plan will be required to do to achieve approving parent (in 42 C.F.R. § 438.68(c)(1)(i)). If the state does not accept any deficiencies, select "No." If the plan met the standard in all assessments, select "Yes." If the plan met the standard in majority of assessments, select "Yes." If the plan met the standard in minority of assessments, select "No." If the plan did not comply, based on all analyses, select "No."	Free text																																								
3(m)	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state determines any violation, describe what the state will reassess the plan's availability of services to assure that whether the plan has remediated those deficiencies.	Yes/No (SELECT ???)																																								

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Select or enter the program name and the standards it manages (see program overview). Select each answer from the dropdown list.

Program summary	Program 16
Program name (from Program overview)	Prevention for plan type 1
Number (pins) covered by program standards	1
Analysis and results of separate monitoring	Prevention for organizing analysis and results description
Rules of analysis and results estimation	Prevention for organizing analysis and results description
Rules of analysis and results estimation	Prevention for organizing analysis and results description

Context: Regulations at 40 C.F.R. § 146.64(c)(3) require states that contract with WAVs, PWAs, and WAVs to submit to UIC-permitted underground injection control (UIC) wells to submit to the Director a plan and schedule for periodic monitoring and reporting under 40 C.F.R. § 146.64(c)(2) and 40 C.F.R. § 146.66. The owner/operator must submit documentation of an analysis that the data, procedures or support the adequacy of compliance for each plan. The data must submit this information to UIMP plan, assign all documentation and results to the Director. The owner/operator must submit documentation of an analysis that the data, procedures or support the adequacy of compliance for each plan. The data must submit this information to UIMP plan, assign all documentation and results to the Director. The owner/operator must submit documentation of an analysis that the data, procedures or variables to states to submit this information for the purposes listed at the top of the tab.

A. Access and network adequacy standards required for plans participating in the program

Select or enter the number of the state's plan(s) and standard(s) it manages (see program overview), report each answer from the dropdown list.

Each program has data in columns I to Standard 1 through Standard 100.

No.	Item	Item instructions	Auto-Fill List	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35	Standard 36	Standard 37	Standard 38	Standard 39	Standard 40
[1]	Standard no.	Enter the standard(s) to list each standard used in the program	See values (select one or more from "Other" below)																																								
[2]	Standard description	Enter the standard(s) to list each standard used in the program	See values																																								
[3]	Standard value	Enter the value that is used for the standard specified for	See values (select one or more from "Other" below)																																								
[4]	Calculation method (e.g., radius)	Enter the calculation that the standard applies to	See values (select one or more from "Other" below)																																								
[5]	Applicable region(s)	Enter the region that the standard applies to	See values (select one or more from "Other" below)																																								

B. Analyses that the state used to monitor compliance with access and network adequacy standards reported in Section A

Select or enter the number of the state's report on the analysis. Use the state value to associate plan compliance with the state's report. Each program has data in columns I to Standard 1 through Standard 100.

Each program has data in columns I to Standard 1 through Standard 100.

No.	Item	Item instructions	Auto-Fill List	Reimbursement	Plan Provider Directory Review	Secret Shopper (Network Participation)	Secret Shopper (Appointment Availability)	ATM Policy Analysis	Review of Grievances Related to Access	Accountant Data Analysis	Other Reporting
[1]	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 40 C.F.R. § 146.64(c)(3)(ii). For example, if the state reviewed plan compliance during last quarter using time-motion report accepted the... If the state does not use the method, select "Not used in any plans."	See values (select one or more from "Other" below)								
[2]	Analysis methods	For each analysis method in columns N to, indicate whether the state uses its analysis to monitor compliance with standards in 40 C.F.R. § 146.64(c)(3)(ii). For example, if the state reviewed plan compliance during last quarter using time-motion report accepted the... If the state does not use the method, select "Not used in any plans."	See values (select one or more from "Other" below)								
[3]	Time-specific analysis	If the state indicated in item 1 in N-1 that it uses an analysis method for some plans that is time-specific (e.g., time-motion report), describe how the state controls or uses time for the plans under the control.	Free text								
[4]	Other	If the state indicated in item 1 in N-1 that it uses an analysis method for some plans that is not listed in item 2 in N-2, describe the method. For example, if the state uses the time of the plans under the control...									

C. Plan-level compliance data

Select or enter the number of the state's report on plan compliance with the plan(s). 40 C.F.R. § 146.66 and 40 C.F.R. § 146.68 requirements apply to each plan. [1] [2]

Each plan has data in columns I to Plan 1 through Plan 40 [1]

No.	Item	Item instructions	Auto-Fill List	Plan 1	Plan 2	Plan 3	Plan 4	Plan 5	Plan 6	Plan 7	Plan 8	Plan 9	Plan 10	Plan 11	Plan 12	Plan 13	Plan 14	Plan 15	Plan 16	Plan 17	Plan 18	Plan 19	Plan 20	Plan 21	Plan 22	Plan 23	Plan 24	Plan 25	Plan 26	Plan 27	Plan 28	Plan 29	Plan 30	Plan 31	Plan 32	Plan 33	Plan 34	Plan 35	Plan 36	Plan 37	Plan 38	Plan 39	Plan 40
[1]	Plan name	Enter the plan name.	Free text																																								
[2]	Description of plan compliance with 40 C.F.R. § 146.64	Indicate whether the state accurate that the plan complies with the state's analysis of compliance with 40 C.F.R. § 146.64(c)(3)(ii). For example, if the state using the plan-compliance for the plan during the reporting period indicated in in 1B-3 and in 3A-1. For example, if the state reviewed plan compliance using two quarterly percentages and the semi-annual plan provided, state via those analyses, where the reporting period indicated in 1B-3 and in 3A-1, and the state determined in an another example, if the state reviewed plan compliance using two semi-annual percentages and the annual plan provided, state via those analyses, where Yes, the plan complied based on all using each. An another example, if the state reviewed plan compliance using two semi-annual percentages and the annual plan provided, state via those analyses, where the reporting period indicated in 1B-3 and in 3A-1, and the state determined in an another example, if the state reviewed plan compliance using two semi-annual percentages and the annual plan provided, state via those analyses, where Yes, the plan was not initially "based on all using each."	See values (select one)																																									
[3]	Description of results - 40 C.F.R. § 146.64	Describe the results of each of the analyses (including dates of the analyses) that support the associated actions of the state's compliance with the plan(s) in 40 C.F.R. § 146.64(c)(3)(ii). For example, if the state reviewed plan compliance using two quarterly percentages and the semi-annual plan provided, state via those analyses, where the results of each of those analyses, what Yes, the plan was not initially "based on all using each."	Free text																																								
[4]	Plan deficiencies - 40 C.F.R. § 146.64 (Part 1)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 146.64(c)(3)(ii) analysis, describe what the plan will do to enforce reporting period indicated in 1B-3 and in 3A-1, describe what the plan will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all using each" in 4-1 in, enter "N/A."	Free text																																								
[5]	Plan deficiencies - 40 C.F.R. § 146.64 (Part 2)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 146.64(c)(3)(ii) analysis, describe what the plan will do to enforce reporting period indicated in 1B-3 and in 3A-1, describe what the plan will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all using each" in 4-1 in, enter "N/A."	Free text																																								
[6]	Reassessment for plan deficiencies - 40 C.F.R. § 146.64	If the state determined any violation analysis, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remedied those deficiencies.	Date (MM/DD/YYYY)																																								
[7]	Completion guidance given at 40 C.F.R. § 146.66(d)	Describe any owner's adequacy violation exceptions that the Director determines, as required at 40 C.F.R. § 146.66(d) or 40 C.F.R. § 146.68(d).	Free text																																								
[8]	Deficiencies in monitoring guidance - 40 C.F.R. § 146.66(d)	If the state determined any violation adequacy violations/violations guidance, describe what the state will do to enforce compliance with the plan(s) and how the state will monitor the plan's progress.	Free text																																								
[9]	Description of compliance with 40 C.F.R. § 146.64	Indicate whether the state accurate that the plan complies with the state's analysis of compliance with 40 C.F.R. § 146.64(c)(3)(ii). For example, if the state using the plan-compliance for the plan during the reporting period indicated in in 1B-3 and in 3A-1. For example, if the state reviewed plan compliance using two quarterly percentages and the semi-annual plan provided, state via those analyses, where the reporting period indicated in 1B-3 and in 3A-1, and the state determined in an another example, if the state reviewed plan compliance using two semi-annual percentages and the annual plan provided, state via those analyses, where Yes, the plan complied based on all using each. An another example, if the state reviewed plan compliance using two semi-annual percentages and the annual plan provided, state via those analyses, where the reporting period indicated in 1B-3 and in 3A-1, and the state determined in an another example, if the state reviewed plan compliance using two semi-annual percentages and the annual plan provided, state via those analyses, where Yes, the plan was not initially "based on all using each."	See values (select one)																																									
[10]	Description of results - 40 C.F.R. § 146.64	Describe the results of each of the analyses (including dates of the analyses) that support the associated actions of the state's compliance with a plan(s) in 40 C.F.R. § 146.64(c)(3)(ii). For example, if the state reviewed plan compliance using two quarterly percentages and the semi-annual plan provided, state via those analyses, where the results of each of those analyses, what Yes, the plan was not initially "based on all using each."	Free text																																								
[11]	Plan deficiencies - 40 C.F.R. § 146.64 (Part 1)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 146.64(c)(3)(ii) analysis, describe what the plan will do to enforce reporting period indicated in 1B-3 and in 3A-1, describe what the plan will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all using each" in 4-1 in, enter "N/A."	Free text																																								
[12]	Plan deficiencies - 40 C.F.R. § 146.64 (Part 2)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 146.64(c)(3)(ii) analysis, describe what the plan will do to enforce reporting period indicated in 1B-3 and in 3A-1, describe what the plan will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all using each" in 4-1 in, enter "N/A."	Free text																																								
[13]	Reassessment for plan deficiencies - 40 C.F.R. § 146.64	If the state determined any violation adequacy violations/violations guidance, describe what the state will do to enforce compliance with the plan(s) and how the state will monitor the plan's progress.	Date (MM/DD/YYYY)																																								

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Select or enter the program's standards, monitoring methods, and plan-compliance thresholds. Section A's per-standard rows and Section C's per-plan rows reference these values.

Program-authority	Program 16
Program name (used in plan workbooks)	Placeholder for plan name
Provider types covered by program standards	Placeholder for provider types
Analysis unit (county or supervisorial district)	Placeholder for reporting analysis unit (county, district)
Time of analysis and tracks assessed	Placeholder for reporting analysis unit (county, district)
Date of analysis and tracks assessed	Placeholder for reporting analysis unit (county, district)

Context: Regulations at 42 C.F.R. § 438.68(b)(4) require states that contract with MCOs, PIHPs, and PAHPs to submit to CMS an assessment of the adequacy of the standards included in each network adequacy standard (NAS) listed in 42 C.F.R. § 438.68(b)(1) and 42 C.F.R. § 438.68(b)(2). The assessment must include documentation of an analysis that the state conducted to support its assurance of compliance for each plan. The state must submit this information to CMS after receipt of documentation from each MCO, PIHP, and PAHP that the state has reviewed and approved. The state must also submit any updates or revisions it makes to standards that affect the information that the assessor relies on the most in the rule.

A. Access and network adequacy standards required for plans participating in the program

Update annually when the number of NAS, NAS' underlying standards, or managed care program authorities, expand each annual CMS reporting cycle.

Each program/service area is numbered 1 through however many.

No.	NAS	NAS Underlying Standard	Value Provided	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
1.1	Standard (x)	Enter the standard(s) as it/ each standard used in the program	Text values (select one) or free text for "Other" response																																			
1.2	Standard description	Enter the standard(s) as it/ each standard used in the program	Free text																																			
1.3.1	One-way-to-a-provider-by-standard	Enter the more-than-one-way-to-a-provider-by-standard	Text values (select one) or free text for "Other" response																																			
1.3.2	Population covered by standard	Enter the population that the standard applies to	Text values (select one) or free text for "Other" response																																			
1.3.3	Applicable regulatory	Enter the regulation that the standard applies to	Text values (select one) or free text for "Other" response																																			

B. Analysis that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Update annually when the number of NAS, NAS' underlying standards, or managed care program authorities, expand each annual CMS reporting cycle.

Each program/service area is numbered 1 through however many.

No.	NAS	NAS Underlying Standard	Value Provided	Reimbursing	Plan Provider Directory Review	Secret Shopper (Network Participation)	Secret Shopper (Appointment Availability)	ATM Policy Analysis	Review of Grievances Related to Access	Accountant Visits (Audit)	Other Reporting
2.1.1	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 (for example, annually, quarterly, monthly). If the state does not use any listed methods, select "Other" and enter "Not used."	Text values (select one) or free text for "Other" response								
2.1.2	Analysis methods	For each analysis method in columns R+, indicate whether the state uses its analysis to monitor compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 and enter "Yes" if it does. If the state uses other methods, please explain them in columns R+ and enter "Yes" in the corresponding cell. If the state does not use a method, enter "No."	Text values (select one) or free text for "Other" response								
2.1.3	Time-specific analysis	Indicate whether the state's analysis of plan compliance with the standards listed in Section A uses time-specific data. If the state does not use time-specific data, enter "No." If the state does use time-specific data, enter "Yes" and describe the methods (if all methods the state uses are the same) or the analysis that differs (if methods vary).	Free text								

C. Plan-level compliance data

Update annually when the number of NAS, NAS' underlying standards, or managed care program authorities, expand each annual CMS reporting cycle. Add columns as needed.

Each plan and data's column is 1 Plan 1 through Plan 99 +.

No.	Data	Data Collection Instructions	Value Provided	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]	[Plan 36]	[Plan 37]	[Plan 38]
3.1.1	Plan name	Enter the plan name as it appears in the plan's contract with the state (42 C.F.R. § 438.3(b)(1)).	Free text																																			
3.1.2	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accurate has the plan complies with the state's network adequacy standards listed in Section A. If the state does not use the listed standards, leave blank. If the state did not use any of the standards listed in Section A, enter "No." For example, if the state assessed plan compliance using two quarterly spot-checking and one annual site visit and found that the plan met the standards listed in Section A, enter "Yes." If the state assessed plan compliance using two quarterly spot-checking and one annual site visit and found that the plan met the standards listed in Section A for three-quarters, enter "No, the plan met the standards listed in all but one assessment." As another example, if the state assessed plan compliance using two quarterly spot-checking and one annual site visit and found that the plan met the standards listed in Section A for the annual site visit and one quarterly spot-check but not the other quarterly spot-check, enter "No, the plan met the standards listed in all but one of three analyses, when 'No, the plan was not initially' based on all assessments."	Text values (select one)																																				
3.1.3	Description of results for 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assurance above of the state's compliance with the standards listed in Section A. If the state does not perform one of the analyses listed, enter "N/A." If the state performed all of the analyses, this is the result to review (such the plan's "Yes" or "No" answers).	Free text																																				
3.1.4	Plan deficiencies: 42 C.F.R. § 438.68 (Part 1)	If the state cannot accurate plan compliance with the state's 42 C.F.R. § 438.68 standards listed in Section A, describe what the plan will be enforce reporting posed on A-A and A-B-A. describe plan deficiencies described above. If the state did not find any deficiencies, enter "N/A." If the state selected "Yes, the plan complies based on all using such" in 3.1.2 in, enter "N/A."	Free text																																				
3.1.5	Plan deficiencies: 42 C.F.R. § 438.68 (Part 2)	If the state cannot accurate plan compliance with the state's 42 C.F.R. § 438.68 standards listed in Section A, describe what the plan will be enforce reporting posed on A-A and A-B-A. describe plan deficiencies described above. If the state did not find any deficiencies, enter "N/A." If the state selected "Yes, the plan complies based on all using such" in 3.1.2 in, enter "N/A."	Free text																																				
3.1.6	Reassessment for plan deficiencies: 42 C.F.R. § 438.68	If the state identified any plan deficiencies in 3.1.5 or 3.1.4, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remedied those deficiencies.	Yes/No (MM/DD/YYYY)																																				
3.1.7	Assessment gateway value at 42 C.F.R. § 438.68(b)(1)	Describe any network adequacy standard exceptions that the state has granted (e.g., under 42 C.F.R. § 438.68(c)) or that the plan has requested. Enter "None."	Free text																																				
3.1.8	Exceptions or exemptions granted: 42 C.F.R. § 438.68(b)(2)	If the state granted any network adequacy compliance exceptions granted to a plan (e.g., under 42 C.F.R. § 438.68(c)), describe the exception and the justification (e.g., rural area, low population density). If the state has not granted any exceptions, enter "None."	Free text																																				
3.1.9	Description of compliance with 42 C.F.R. § 438.206	Indicate whether the state accurate has the plan complies with the state's network adequacy standards listed in Section A. If the state does not use the listed standards, leave blank. If the state did not use any of the standards listed in Section A, enter "No." For example, if the state assessed plan compliance using two quarterly spot-checking and one annual site visit and found that the plan met the standards listed in Section A, enter "Yes." If the state assessed plan compliance using two quarterly spot-checking and one annual site visit and found that the plan met the standards listed in Section A for three-quarters, enter "No, the plan met the standards listed in all but one assessment." As another example, if the state assessed plan compliance using two quarterly spot-checking and one annual site visit and found that the plan met the standards listed in Section A for the annual site visit and one quarterly spot-check but not the other quarterly spot-check, enter "No, the plan was not initially' based on all assessments."	Text values (select one)																																				
3.1.10	Description of results: 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assurance above of the state's compliance with the standards listed in Section A. If the state does not perform one of the analyses listed, enter "N/A." If the state performed all of the analyses, this is the result to review (such the plan's "Yes" or "No" answers).	Free text																																				
3.1.11	Plan deficiencies: 42 C.F.R. § 438.68 (Part 1)	If the state cannot accurate plan compliance with the state's 42 C.F.R. § 438.68 standards listed in Section A, describe what the plan will be enforce reporting posed on A-A and A-B-A. describe plan deficiencies described above. If the state did not find any deficiencies, enter "N/A." If the state selected "Yes, the plan complies based on all using such" in 3.1.2 in, enter "N/A."	Free text																																				
3.1.12	Plan deficiencies: 42 C.F.R. § 438.68 (Part 2)	If the state cannot accurate plan compliance with the state's 42 C.F.R. § 438.68 standards listed in Section A, describe what the plan will be enforce reporting posed on A-A and A-B-A. describe plan deficiencies described above. If the state did not find any deficiencies, enter "N/A." If the state selected "Yes, the plan complies based on all using such" in 3.1.2 in, enter "N/A."	Free text																																				
3.1.13	Reassessment for plan deficiencies: 42 C.F.R. § 438.68	If the state identified any plan deficiencies in 3.1.5 or 3.1.4, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remedied those deficiencies.	Yes/No (MM/DD/YYYY)																																				

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

0. Program-level standards, monitoring methods, and plan compliance

Select or enter the program-level information that governs the analyses in this workbook. Section A, B, and C rows reference these values.

Program-summary	Program 16
Program name (used in plan summaries)	Preventive HIV care (oral)
Provider types covered by program standards	Physicians
Analysis unit (counts of organizations reviewed)	Physicians (for organizational analyses with clinics described)
Name of analysis unit (counts reviewed)	Physicians (for organizational analyses with clinics described)
Name of analysis unit (counts reviewed)	Physicians (for organizational analyses with clinics described)

Context: Regulations at 45 C.F.R. § 438.68(c)(2) require states that contract with MCOs, PIHPs, and PAHPs to submit to CMS an assessment of the adequacy of the standards used by the plans to ensure an adequate network of providers (42 C.F.R. § 438.68 and 42 C.F.R. § 438.206). The assessment must include documentation of (1) analyses that the state conducted to support its assurance of compliance for each plan. The state must submit this information to CMS after receipt of documentation from the plans that demonstrates the plans' compliance with the standards. The state must also submit this information to CMS if it revises its rules to submit this information for the broader base of the rest of the set.

A. Access and network adequacy standards required for plans participating in the program

Indicate how frequently the state collects and reviews network adequacy data (plan compliance, reports each month, every 3 months, every 6 months, etc.).

Each program-level standard is one row. Use the Standard 1 through Standard 100+ columns for the standards themselves.

No.	Item	Item instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
A.1	Standard no.	Enter the standard's no (or sub-) number used in the program	Any value (text)																																			
A.2	Standard description	Enter the standard's description (as used in the program)	Any value (text)																																			
A.3.1	Time-to-time standard	Enter the time-to-time from the standard (enter)	Any values (select one or all)																																			
A.3.2	Population covered by standard	Enter the population that the standard applies to	Any values (select one or all)																																			
A.3.3	Applicable regulation	Enter the regulation that the standard applies to	Any values (select one or all)																																			

B. Analyses that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Indicate how frequently the state collects and reviews network adequacy data (plan compliance, reports each month, every 3 months, every 6 months, etc.).

Each program-level standard is one row. Use the Standard 1 through Standard 100+ columns for the standards themselves.

No.	Item	Item instructions	Acceptable Values	Reimbursement	Plan Provider Directory Review	Secret Shopper (Network Participation)	Secret Shopper (Appointment Availability)	ATM Data Analysis	Review of Grievances, Appeals, & Denials	Beneficiary Data Analysis	Other Reporting
B.1	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. If the state does not use any of the listed methods, select "Other" and enter any other frequency that is used. If the state does not use the methods listed, select "Not used for any plans."	Any values (select one or all) Use text for "Other" response								
B.2	Analysis methods	For each analysis method in columns R+, indicate whether the state uses it to analyze plan compliance with standards in 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. If "Other" is selected, enter a brief description of the method in the text. If the state uses other methods, please explain them in columns R+ and indicate whether they are used for all plans or only for some plans. If the state does not use any of the listed methods, select "Not used."	Any values (select one or all) Use text for "Other" response								
B.3.a	Time-specific analysis	Is the state's analysis time-specific (i.e., does it only look at data from a certain period)? If the state responds "Yes," the plan compliance data submitted to CMS must include the timeframe (if all or sampled) the state is the analyzed. Select "Yes, the plan compliance data submitted to CMS includes the timeframe (if all or sampled) the state is the analyzed." Select "Yes, the plan compliance data submitted to CMS includes the timeframe (if all or sampled) the state is the analyzed." Select "No, the state does not time-specific."	Free text								

C. Plan-level compliance data

Enter values and select a column for Plan 1 through Plan 30 +.

Enter values and select a column for Plan 1 through Plan 30 +.

No.	Item	Item instructions	Acceptable Values	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]	[Plan 36]	[Plan 37]	[Plan 38]
C.1	Plan name	Enter the plan name as it appears in the program standards (e.g., "Plan A," "Plan B").	Free text																																			
C.2.a	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accepts that the plan complies with the state's network adequacy standards for each plan. If the state does not accept the plan's compliance for the plan during the reporting period indicated in C.1.B (cell A1), describe how deficient each plan is. For example, if the state assessed plan compliance using two quarterly percentages and the contracted plan provider ratios as the two analyses, where the reporting period indicated in C.1.B (cell A1), did the plan meet both of the two analyses, or only one of the two analyses, or neither of the two analyses. As another example, if the state assessed plan compliance using two years of annual percentages and annual provider ratios as the two analyses, where the reporting period indicated in C.1.B (cell A1) is 2024, did the plan meet both of the two analyses for 2024, or only one of the two analyses for 2024, or neither of the two analyses for 2024? Select "Yes, the plan complies based on all analyses" if the plan met all of these analyses, select "No, the plan does not comply based on all analyses."	Text values (select one)																																				
C.2.b	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assurance/denial of the plan's compliance with the standards in 42 C.F.R. § 438.68(b)(1). If the state does not accept the plan's compliance for the plan during the reporting period indicated in C.1.B (cell A1), describe how deficient each plan is. For example, if the state assessed plan compliance using two years of annual percentages and annual provider ratios as the two analyses, where the reporting period indicated in C.1.B (cell A1) is 2024, did the plan meet both of the two analyses for 2024, or only one of the two analyses for 2024, or neither of the two analyses for 2024? Select "Yes, the plan complies based on all analyses" if the plan met all of these analyses, select "No, the plan does not comply based on all analyses."	Free text																																				
C.2.c	Plan deficiencies - 42 C.F.R. § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 network adequacy standards for each plan, describe what the plan will do to achieve compliance with these standards for the plan's subsequent reporting period (if all or sampled) the state is the analyzed. Select "Yes, the plan complies based on all analyses" if the plan met all of these analyses, select "No, the plan does not comply based on all analyses."	Free text																																				
C.2.d	Plan deficiencies - 42 C.F.R. § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.68 network adequacy standards for each plan, describe what the plan will do to achieve compliance with these standards for the plan's subsequent reporting period (if all or sampled) the state is the analyzed. Select "Yes, the plan complies based on all analyses" if the plan met all of these analyses, select "No, the plan does not comply based on all analyses."	Free text																																				
C.2.e	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state determines any network adequacy compliance issues, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remediated those deficiencies.	Time (date/time if YYYY)																																			
C.3.a	Exceptions granted under 42 C.F.R. § 438.68(e)	Describe any network adequacy standard exceptions that the state has granted to plans under 42 C.F.R. § 438.68(e) or the state's equivalent.	Free text																																			
C.3.b	Exceptions for remaining provisions under 42 C.F.R. § 438.68(f)	If the state granted any network adequacy compliance exceptions granted to plans under 42 C.F.R. § 438.68(f) or the state's equivalent, describe the conditions under which the state granted any of the exceptions.	Free text																																			
C.4.a	Description of compliance with 42 C.F.R. § 438.206	Indicate whether the state accepts that the plan complies with the state's network adequacy standards for each plan. If the state does not accept the plan's compliance for the plan during the reporting period indicated in C.1.B (cell A1), describe how deficient each plan is. For example, if the state assessed plan compliance using two quarterly percentages and the contracted plan provider ratios as the two analyses, where the reporting period indicated in C.1.B (cell A1), did the plan meet both of the two analyses for 2024, or only one of the two analyses for 2024, or neither of the two analyses for 2024? As another example, if the state assessed plan compliance using two years of annual percentages and annual provider ratios as the two analyses, where the reporting period indicated in C.1.B (cell A1) is 2024, did the plan meet both of the two analyses for 2024, or only one of the two analyses for 2024, or neither of the two analyses for 2024? Select "Yes, the plan complies based on all analyses" if the plan met all of these analyses, select "No, the plan does not comply based on all analyses."	Text values (select one)																																				
C.4.b	Description of results - 42 C.F.R. § 438.206	Describe the results of each of the analyses (including dates of the analyses) that support the assurance/denial of the plan's compliance with the standards in 42 C.F.R. § 438.206(b)(1). If the state does not accept the plan's compliance for the plan during the reporting period indicated in C.1.B (cell A1), describe how deficient each plan is.	Free text																																				
C.4.c	Plan deficiencies - 42 C.F.R. § 438.206 (Part 1)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.206 network adequacy standards for each plan, describe what the plan will do to achieve compliance with these standards for the plan's subsequent reporting period (if all or sampled) the state is the analyzed. Select "Yes, the plan complies based on all analyses" if the plan met all of these analyses, select "No, the plan does not comply based on all analyses."	Free text																																				
C.4.d	Plan deficiencies - 42 C.F.R. § 438.206 (Part 2)	If the state cannot accept plan compliance with the state's 42 C.F.R. § 438.206 network adequacy standards for each plan, describe what the plan will do to achieve compliance with these standards for the plan's subsequent reporting period (if all or sampled) the state is the analyzed. Select "Yes, the plan complies based on all analyses" if the plan met all of these analyses, select "No, the plan does not comply based on all analyses."	Free text																																				
C.4.e	Reassessment for plan deficiencies - 42 C.F.R. § 438.206	If the state determines any network adequacy compliance issues, indicate when the state will reassess the plan's acceptability of services to determine whether the plan has remediated those deficiencies.	Time (date/time if YYYY)																																			

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Select or enter the program name. Program-level standards, monitoring methods, and plan compliance will be reported for this program.

Program summary	Program 18
Program name (must match plan submission)	Placeholder for plan review
Provider types covered by program standards	Placeholder for plan review
Analysis unit (county or regional) reviewed	Placeholder for statewide analysis unit (county description)
Time of analysis and tracks reviewed	Placeholder for statewide analysis unit (county description)
Date of analysis and results reviewed	Placeholder for statewide analysis unit (county description)

Context: Regulations at 42 C.F.R. § 438.68(c)(2) require states that contract with MCOs, PIHPs, and PAHPs to submit to CMS an assessment of the adequacy of the standards used by the plans to ensure access to covered services (see 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206). The assessment must include documentation of an analysis that the state undertakes to support its assurance of compliance for each plan. The state must submit this information to CMS after receipt of documentation from the plans that the plans have implemented the standards required by 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206. The state has flexibility to determine the information it will require from the plans to submit this information for the purposes listed at the start of the cell.

A. Access and network adequacy standards required for plans participating in the program

Indicate how frequently the state collects and reviews network adequacy data (e.g., monthly, quarterly, annually) for each service category listed.

Input program name in Section 5 to populate this field.

Row	Item	Data Instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
A-1	Standard no.	Enter the standard's ID for each standard used in the program	Text values (enter one per row)																																			
A-2	Standard description	Enter the standard's description for each standard used in the program	Text values (enter one per row)																																			
A-3	Time-to-time standard	Enter the time-to-time from the standard (enter N/A if no time-to-time standard applies)	Text values (enter one per row)																																			
A-4	Population covered by standard	Enter the population that the standard applies to	Text values (enter one per row)																																			
A-5	Applicable regulation	Enter the regulation that the standard applies to	Text values (enter one per row)																																			

B. Analysis that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Indicate what data the state collects and reviews to monitor compliance with the standards reported in Section A. Include data such as 42 C.F.R. § 438.68(b)(1)(i)–(iii) and 42 C.F.R. § 438.206(b)(1)(i)–(iii) and 42 C.F.R. § 438.68(b)(1)(iv)–(v) and 42 C.F.R. § 438.206(b)(1)(iv)–(v).

Input program name in Section 5 to populate this field.

Row	Item	Data Instructions	Acceptable Values	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8
B-1	Frequency of analysis	Indicate how frequently the state analyzes plan compliance with 42 C.F.R. § 438.68 and 42 C.F.R. § 438.206 for the standard listed in Section A. For example, the state may use a key to indicate values in columns B-1 – B-8 as follows: M = Monthly; Q = Quarterly; A = Annually; O = Other. If "O" is selected, explain the frequency in column B-2.	Text values (select one) or see Standard 1 for "Other" response								
B-2	Analysis methods	For each analysis method in columns B-1 – B-8, indicate whether the state uses its own data, plan-submitted data, or both. For example, the state may use a key to indicate values in columns B-1 – B-8 as follows: S = State; P = Plan; B = Both. If the state uses other methods, please explain them in columns B-1 – B-8. If "Other" is selected, explain the "Other" methods in columns B-1 – B-8.	Text values (select one) or see Standard 1 for "Other" response								
B-3	Plan-specific analysis	Indicate whether the state conducts plan-specific analysis. For example, the state may use a key to indicate values in columns B-1 – B-8 as follows: Y = Yes; N = No. If the state does not conduct plan-specific analysis, explain how it ensures that the plans meet the standards listed in Section A.	Free text								

C. Plan-level compliance data

Enter whether the state reviewed plan compliance using the quarterly, semi-annual, or annual data listed in Section B-1 of Worksheet 5. For example, the state may use a key to indicate values in columns C-1 – C-48 as follows: Q = Quarterly; S = Semi-annual; A = Annual; O = Other. If "O" is selected, explain the "Other" methods in columns C-1 – C-48.

Input plan name in Section 5 to populate this field.

Row	Item	Data Instructions	Acceptable Values	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]	[Plan 36]
C-1	Plan name	Enter the name of the plan that the review of compliance was conducted with the state standards listed in Section A.	Free text																																			
C-2	Description of plan compliance with 42 C.F.R. § 438.68	Indicate whether the state accepts that the plan complies with the state's network adequacy standards listed in Section A. For example, the state may use a key to indicate values in columns C-1 – C-48 as follows: Y = Yes; N = No. If the state does not conduct plan-specific analysis, explain how it ensures that the plans meet the standards listed in Section A. For example, if the state reviewed plan compliance using two quarterly spot-checking and one annual plan-provided data analysis, enter Y in the quarterly columns for the spot-checked plan (provider data) and the plan-provided data (network adequacy analysis) and annual columns for the plan-provided data (network adequacy analysis). Enter N in the quarterly columns for the plan that was not spot-checked and the annual column for the plan that was not reviewed. If there is a mixture of Y and N, enter Y in the annual column. As another example, if the state reviewed plan compliance using two semi-annual reporting periods and one annual network adequacy analysis, enter Y in the semi-annual columns for the plans that were reviewed during the reporting period and the annual column for the plan that was reviewed in the annual network adequacy analysis. Enter N in the semi-annual columns for the plans that were not reviewed during the reporting period and the annual column for the plans that were not reviewed in the annual network adequacy analysis. If the state uses different methods for different plans, enter Y in the columns for plans that were reviewed using the state's standards listed in Section A and N in the columns for plans that were not reviewed using the state's standards listed in Section A.	Text values (select one)																																				
C-3	Description of results - 42 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assurance above of the state's compliance with the standards listed in Section A. For example, the state may use a key to indicate values for columns C-1 – C-48 as follows: Y = Yes; N = No. If the state does not conduct plan-specific analysis, explain how it ensures that the plans meet the standards listed in Section A. Please note if "Yes" is selected.	Free text																																				
C-4	Plan deficiencies - 42 C.F.R. § 438.68 (See C-1)	If the state identified in C-2 that a plan is not compliant with the state's 42 C.F.R. § 438.68 standards listed in Section A, describe what the plan will do to enforce the standards and how the state will monitor the plan's progress. If the state selected "Yes," the plan complies based on all analysis listed in C-2 (i.e. enter "Yes").	Free text																																				
C-5	Plan deficiencies - 42 C.F.R. § 438.68 (See C-1)	If the state identified in C-2 that a plan is not compliant with the state's 42 C.F.R. § 438.68 standards listed in Section A, describe what the plan will do to enforce the standards and how the state will monitor the plan's progress. If the state selected "Yes," the plan complies based on all analysis listed in C-2 (i.e. enter "Yes").	Free text																																				
C-6	Reassessment for plan deficiencies - 42 C.F.R. § 438.68	If the state identified any plan deficiencies in C-3, C-4, C-5, indicate when the state will reassess the plan's compliance with the standards listed in Section A to determine whether the plan has remediated those deficiencies.	Date (MM/DD/YYYY)																																				
C-7	Assessment gathered under 42 C.F.R. § 438.68(d)	Describe any network adequacy standard exceptions that the Secretary approved for the state under 42 C.F.R. § 438.68(d) or for the plan (if known). (See Memo)	Free text																																				
C-8	Assessment gathered for proposed exceptions under 42 C.F.R. § 438.68(d)	If the state identified any network adequacy compliance exceptions granted to the plan under 42 C.F.R. § 438.68(d) in C-7, describe the reasons why the state granted the exceptions (e.g., low enrollment). If no, enter N/A.	Free text																																				
C-9	Description of compliance with 42 C.F.R. § 438.206	Indicate whether the state accepts that the plan complies with the state's network adequacy standards listed in Section A. For example, the state may use a key to indicate values in columns C-1 – C-48 as follows: Y = Yes; N = No. If the state does not conduct plan-specific analysis, explain how it ensures that the plans meet the standards listed in Section A. For example, if the state reviewed plan compliance using two quarterly spot-checking and one annual plan-provided data analysis, enter Y in the quarterly columns for the spot-checked plan (provider data) and the plan-provided data (network adequacy analysis) and annual columns for the plan-provided data (network adequacy analysis). Enter N in the quarterly columns for the plan that was not spot-checked and the annual column for the plan that was not reviewed. If there is a mixture of Y and N, enter Y in the annual column. As another example, if the state reviewed plan compliance using two semi-annual reporting periods and one annual network adequacy analysis, enter Y in the semi-annual columns for the plans that were reviewed during the reporting period and the annual column for the plan that was reviewed in the annual network adequacy analysis. Enter N in the semi-annual columns for the plans that were not reviewed during the reporting period and the annual column for the plans that were not reviewed in the annual network adequacy analysis. If the state uses different methods for different plans, enter Y in the columns for plans that were reviewed using the state's standards listed in Section A and N in the columns for plans that were not reviewed using the state's standards listed in Section A.	Text values (select one)																																				
C-10	Description of results - 42 C.F.R. § 438.206	Describe the results of each of the analyses (including dates of the analyses) that support the assurance above of the state's compliance with the standards listed in Section A. For example, the state may use a key to indicate values for columns C-1 – C-48 as follows: Y = Yes; N = No. If the state does not conduct plan-specific analysis, explain how it ensures that the plans meet the standards listed in Section A. Please note if "Yes" is selected.	Free text																																				
C-11	Plan deficiencies - 42 C.F.R. § 438.206 (See C-1)	If the state identified in C-9 that a plan is not compliant with the state's 42 C.F.R. § 438.206 standards listed in Section A, describe what the plan will do to enforce the standards and how the state will monitor the plan's progress. If the state selected "Yes," the plan complies based on all analysis listed in C-9 (i.e. enter "Yes").	Free text																																				
C-12	Plan deficiencies - 42 C.F.R. § 438.206 (See C-1)	If the state identified in C-9 that a plan is not compliant with the state's 42 C.F.R. § 438.206 standards listed in Section A, describe what the plan will do to enforce the standards and how the state will monitor the plan's progress. If the state selected "Yes," the plan complies based on all analysis listed in C-9 (i.e. enter "Yes").	Free text																																				
C-13	Reassessment for plan deficiencies - 42 C.F.R. § 438.206	If the state identified any plan deficiencies in C-10, C-11, C-12, indicate when the state will reassess the plan's compliance with the standards listed in Section A to determine whether the plan has remediated those deficiencies.	Date (MM/DD/YYYY)																																				

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Section should use the section of the rule's regard on the analysis. Note this table value to express plan compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. Insert additional rows as necessary.

Program summary	Program 14
Program name (short) and area (state/tribe)	[Placeholder for plan name]
Number specs reported in program standards	[Placeholder for standards count]
Analysis and results of required pre-monitoring	[Placeholder for required pre-monitoring analysis and results description]
Rules on analysis and results submission	[Placeholder for submission procedures and results description]
Rules of analysis and results monitored	[Placeholder for required analysis and results description]

Context: Regulations at 40 C.F.R. § 63.8(f)(4) require states that contract with MACT, RACT, and NSPS to submit to EPA an analysis demonstrating that the state has adequate procedures and resources to implement the standards. Regulations at 40 C.F.R. § 63.8(f)(6) and 40 C.F.R. § 63.8(f)(7) require the state to submit this information for the program level at the time of the rule.

A. Access and network adequacy standards required for plans participating in the program

Section should use the section of the rule's regard with standards including, if available, plan program, standards, regard, and version (2021 Standards, 2.0, etc.)

Insert program-level data in columns I-V. Standard 1 through Standard 100 >>

Item	Item	Item Instructions	Acute Provider	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35	Standard 36	Standard 37	Standard 38	Standard 39	Standard 40
[Item]	Standard (s)	Enter the standard(s) as text upon standard used in the program	Text values (select one or more from "Other" option)																																								
[Item]	Standard description	Enter the description of the standard used in the program	Text value																																								
[Item]	Time time to a result for standard	Enter the time time from that the standard satisfied for	Text values (select one or more from "Other" option)																																								
[Item]	Exception covered by standard	Enter the standards that the standard applies to	Text values (select one or more from "Other" option)																																								
[Item]	Applicable regulator	Enter the regulator that the standard applies to	Text values (select one or more from "Other" option)																																								

B. Analysis that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Section should use the section of the rule's regard on the analysis. Note this table value to express plan compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. Insert additional rows as necessary. >>

Insert program-level values in these columns unless a specified in the next instructions >>

Item	Item	Item Instructions	Acute Provider	Reimbursing	Plan Provider Directory Review	Secret Shopper Network Participation	Some Shopper Appointment Availability	ATM Data Analysis	Denial of Service Data Analysis	Accounted Rate Analysis	Other Reporting
[Item]	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not analyze plan compliance with using time methods, select Acceptable No. If the state does not use the method, select "Not used for any plans."	Text values (select one or more from "Other" option)								
[Item]	Analysis methods	For each analysis method in columns N-V, indicate whether the state uses its analysis to monitor plan compliance with 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state uses an analysis method, select Yes. If the state does not use the method, select No. If the state does other methods, please explain them in columns W-X. If the state does not use any methods, select "Not used for any plans."	Text values (select one or more from "Other" option)								
[Item]	Plan-specific analysis	Indicate whether the state conducts plan-specific analysis to monitor plan compliance with 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not conduct plan-specific analysis, select No. If the state conducts plan-specific analysis, select Yes.	Free text								

C. Plan-level compliance data

Section should use the section of the rule's regard on plan compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. Insert additional rows as necessary. >>

Insert plan-level data in columns F-CNN >> through FNA-NN >>

Item	Item	Item Instructions	Acute Provider	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]	[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]
[Item]	Plan name	Enter the plan name as used in the program or standard (if applicable)	Free text																																								
[Item]	Description of plan compliance with 40 C.F.R. § 63.8(f)(4)	Indicate whether the state accepts that the plan complies with the state's analysis to monitor plan compliance with 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not accept that the plan complies with the standards, select No. If the state accepts that the plan complies with the standards, select Yes. For example, if the state assessed plan compliance using two quarterly spot-testing and one annual plan provider views on-line employee alerts, the reporting period indicated in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards is one year, and the plan complied with the state's 40 C.F.R. § 63.8(f)(4) standards in all three instances, enter Yes. The plan complied based on all data sets. As another example, if the state assessed plan compliance using two user-surveys and one annual spot-testing and one annual provider views on-line employee alerts, the reporting period indicated in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards is one year, and the plan complied with the state's 40 C.F.R. § 63.8(f)(4) standards in all three instances, enter Yes. The plan was not initially flawed on all data sets.	Text values (select one)																																									
[Item]	Description of results - 40 C.F.R. § 63.8(f)(4)	Describe the results of each of the analyses (including dates of the analyses) that support the associated actions of the state's compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not describe the results, write a brief description of the analyses that the state used to assess plan compliance with these standards.	Free text																																									
[Item]	Plan deficiencies - 40 C.F.R. § 63.8(f)(4)(ii)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards, describe what the plan can do to achieve reporting period indicated in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not describe deficiencies, enter Yes. The plan complied based on all data sets. If the state selected "Yes," the plan complied based on all data sets. If the state selected "No," the plan did not comply based on all data sets.	Free text																																									
[Item]	Plan deficiencies - 40 C.F.R. § 63.8(f)(4)(ii)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards, describe what the plan can do to achieve reporting period in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not describe deficiencies, enter Yes. The plan complied based on all data sets. If the state selected "Yes," the plan complied based on all data sets.	Free text																																									
[Item]	Reassessment for plan deficiencies - 40 C.F.R. § 63.8(f)(4)(ii)	If the state describes any plan deficiencies in [Item], describe when the state will reassess the plan's acceptability of services to determine whether the plan has remediated those deficiencies.	Time (MM/DD/YYYY)																																								
[Item]	Acceptance guidance plan at 40 C.F.R. § 63.8(f)(4)(ii)	Describe any network adequacy standard exceptions that the state has granted to the plan under 40 C.F.R. § 63.8(f)(4)(ii) or the state's discretion. Select "None."	Free text																																									
[Item]	Acceptance for remaining provisions - 40 C.F.R. § 63.8(f)(4)(ii)	If the state exercised its network adequacy compliance exception granted to the plan under 40 C.F.R. § 63.8(f)(4)(ii), describe what the plan can do to achieve full compliance during the remaining period. If the state has not granted any exceptions, enter "None."	Free text																																									
[Item]	Description of compliance with 40 C.F.R. § 63.8(f)(6)	Indicate whether the state accepts that the plan complies with the state's analysis to monitor plan compliance with 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not accept that the plan complies with the standards, select No. If the state accepts that the plan complies with the standards, select Yes. For example, if the state assessed plan compliance using two quarterly spot-testing and one annual plan provider views on-line employee alerts, the reporting period indicated in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards is one year, and the plan complied with the state's 40 C.F.R. § 63.8(f)(4) standards in all three instances, enter Yes. The plan complied based on all data sets. As another example, if the state assessed plan compliance using two user-surveys and one annual spot-testing and one annual provider views on-line employee alerts, the reporting period indicated in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards is one year, and the plan complied with the state's 40 C.F.R. § 63.8(f)(4) standards in all three instances, enter Yes. The plan was not initially flawed on all data sets.	Text values (select one)																																									
[Item]	Description of results - 40 C.F.R. § 63.8(f)(6)	Describe the results of each of the analyses (including dates of the analyses) that support the associated actions of the state's compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not describe the results, write a brief description of the analyses that the state used to assess plan compliance with these standards.	Free text																																									
[Item]	Plan deficiencies - 40 C.F.R. § 63.8(f)(6)(ii)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards, describe what the plan can do to achieve reporting period indicated in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not describe deficiencies, enter Yes. The plan complied based on all data sets. If the state selected "Yes," the plan complied based on all data sets in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state selected "No," the plan did not comply based on all data sets.	Free text																																									
[Item]	Plan deficiencies - 40 C.F.R. § 63.8(f)(6)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards, describe what the plan can do to achieve reporting period indicated in 40 C.F.R. § 63.8(f)(4) and 40 C.F.R. § 63.8(f)(6) standards. If the state does not describe deficiencies, enter Yes. The plan complied based on all data sets. If the state selected "Yes," the plan complied based on all data sets.	Free text																																									
[Item]	Reassessment for plan deficiencies - 40 C.F.R. § 63.8(f)(6)(ii)	If the state describes any plan deficiencies in [Item], describe when the state will reassess the plan's acceptability of services to determine whether the plan has remediated those deficiencies.	Time (MM/DD/YYYY)																																									

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U

5. Program-level standards, monitoring methods, and plan compliance

Select or enter the program-level standards, monitoring methods, and plan compliance details that apply to this program.

Program summary	Program 16
Program name (from Part 1 of your submission)	Placeholder for plan name
Number types reported in program standards	Placeholder for reported numbers
Analysis and results of separate processes	Placeholder for separate analysis and results description
Rate of analysis and results estimated	Placeholder for separate analysis and results description
Rate of analysis and results forecasted	Placeholder for separate analysis and results description

Context: Regulations at 40 C.F.R. § 98.464(b)(3) require states that contract with MAAs, PAAs, and RAAs to submit to EPA an annual monitoring plan and annual report that describes the monitoring methods and results of the analyses required by 40 C.F.R. § 98.464(b)(1) and 40 C.F.R. § 98.464. The corrections should include documentation of an analysis that the state undertakes to support its assurance of completeness for each gas. The state must submit this information to EPA after receipt of documentation from the MAA, PAA, and RAA that the state has received all of the information that the MAA, PAA, and RAA are required by regulation to collect to submit this information for the inventory data of the rest of the set.

A. Access and network adequacy standards required for plans participating in the program

Indicate how frequently the state collects and reviews complete, accurate data (plan compliance, report, and annual data) from reporting facilities.

Item	Item	Item instructions	Autofill Data	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9	Standard 10	Standard 11	Standard 12	Standard 13	Standard 14	Standard 15	Standard 16	Standard 17	Standard 18	Standard 19	Standard 20	Standard 21	Standard 22	Standard 23	Standard 24	Standard 25	Standard 26	Standard 27	Standard 28	Standard 29	Standard 30	Standard 31	Standard 32	Standard 33	Standard 34	Standard 35
A.1	Standard no.	Enter the standard no. for each standard provided.	Text values (select one or more from "Standard 1" through "Standard 100")																																			
A.2	Standard description	Enter the standard no. for each standard provided.	Text values (select one or more from "Standard 1" through "Standard 100")																																			
A.3	Standard description	Enter the standard no. for each standard provided.	Text values (select one or more from "Standard 1" through "Standard 100")																																			
A.4	Standard description	Enter the standard no. for each standard provided.	Text values (select one or more from "Standard 1" through "Standard 100")																																			
A.5	Standard description	Enter the standard no. for each standard provided.	Text values (select one or more from "Standard 1" through "Standard 100")																																			

B. Analyses that the state uses to monitor compliance with access and network adequacy standards reported in Section A

Indicate how frequently the state collects and reviews complete, accurate data (plan compliance, report, and annual data) from reporting facilities.

Item	Item	Item instructions	Autofill Data	Reimbursement	Plan Provider Directory Review	Secret Shopper (Network Participation)	Secret Shopper (Appointment Availability)	ATM Policy Analysis	Review of Grievances Related to Access	Accountant Data Analysis	Other Reporting
B.1	Frequency of analysis	Indicate each frequency the state analyzes plan compliance with 40 C.F.R. § 438.68 and 40 C.F.R. § 438.206 for each standard listed in Section A. If the state does not use any listed method, select Annually (i.e., if the state does not use the method, select "Not applicable" and skip to B.2).	Text values (select one or more from "Annually" through "Not applicable")								
B.2	Analysis methods	For each analysis method in columns B.1–J, indicate whether the state uses the method to analyze plan compliance with the standard listed in Section A. If the state does not use the method, select "No" and skip to B.3. If the state uses other methods, please explain them in columns B.1–J. If the state uses multiple methods, please explain how it combines the results to determine plan compliance with the standard listed in Section A.	Text values (select one or more from "Yes" through "No")								
B.3	Time-specific analysis	Is the state's analysis time-specific? If the state responded to item 3.B.1 that it uses an analysis method for some but not all standards listed in Section A, please explain why it does not use the method in those standards listed in Section A. If the state responded to item 3.B.1 that it uses an analysis method for all standards listed in Section A, please explain how it uses the method (if all or nearly all plans in the analysis meet the standard, what is the state's process for addressing plans that do not meet the standard?).	Free text								

C. Plan-level compliance data

Enter compliance data for each plan in columns C.1 and higher.

Item	Item	Item instructions	Autofill Data	[Plan 1]	[Plan 2]	[Plan 3]	[Plan 4]	[Plan 5]	[Plan 6]	[Plan 7]	[Plan 8]	[Plan 9]	[Plan 10]	[Plan 11]	[Plan 12]	[Plan 13]	[Plan 14]	[Plan 15]	[Plan 16]	[Plan 17]	[Plan 18]	[Plan 19]	[Plan 20]	[Plan 21]	[Plan 22]	[Plan 23]	[Plan 24]	[Plan 25]	[Plan 26]	[Plan 27]	[Plan 28]	[Plan 29]	[Plan 30]	[Plan 31]	[Plan 32]	[Plan 33]	[Plan 34]	[Plan 35]	[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]
C.1	Plan name	Enter the plan name as it appears in the plan's contract with the state.	Free text																																								
C.2	Description of plan compliance with 40 C.F.R. § 438.68	Indicate whether the state accurate that the plan complies with the state's network adequacy standards established in 40 C.F.R. § 438.68 by analyzing the plan submission for the plan during the reporting period indicated in C.1.B (cell A1). For example, if the state reviewed plan compliance using two quarterly geomapping and one annual data provided, state so. Specify whether the plan complied with the state's 40 C.F.R. § 438.68 standards in all of the reviewed analyses, or only in some. If the plan complied based on all analyses, select "Yes, the plan complied based on all analyses." As another example, if the state reviewed plan compliance using two quarterly geomapping analyses and an annual secret shopper analysis, specify whether the plan complied with the state's 40 C.F.R. § 438.68 standards in all of the reviewed analyses, or only in some. If the plan complied based on all of the reviewed analyses, select "Yes, the plan complied based on all analyses."	Text values (select one)																																									
C.3	Description of results for 40 C.F.R. § 438.68	Describe the results of each of the analyses (including dates of the analyses) that support the assessment above of the plan's compliance with the state's 40 C.F.R. § 438.68 standards. If the state does not perform any of the analyses listed in C.2, indicate that the state does not perform that analysis. For example, if the state does not perform any geomapping analyses, state so.	Free text																																									
C.4	Plan deficiencies: 40 C.F.R. § 438.68 (Part 1)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 438.68 standards, describe what the plan will do to achieve compliance during the reporting period indicated in C.1.B (cell A1). Describe what the state will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all analyses" in C.2 (i.e., cell "Yes").	Free text																																									
C.5	Plan deficiencies: 40 C.F.R. § 438.68 (Part 2)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 438.68 standards, describe what the plan will do to achieve compliance during the reporting period indicated in C.1.B (cell A1). Describe what the state will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all analyses" in C.2 (i.e., cell "Yes").	Free text																																									
C.6	Reassurance for plan deficiencies: 40 C.F.R. § 438.68	If the state identified any plan deficiencies in C.4–C.5, indicate when the state will reassure the plan's availability of services to assure that deficiencies identified above are corrected.	Yes/No (select one)																																									
C.7	Assurances gained under 42 C.F.R. § 438.66(d)	Describe any network adequacy standard exceptions that the Secretary approved for the plan under 42 C.F.R. § 438.66(d) or for the plan's service area.	Free text																																									
C.8	Identified or remaining problems under 42 C.F.R. § 438.66(d)	If the state identified any network adequacy compliance problems (problems that the plan is not meeting the state's 40 C.F.R. § 438.68 standards) or if the state has not yet tested any standards, state them.	Free text																																									
C.9	Description of compliance with 40 C.F.R. § 438.206	Indicate whether the state accurate that the plan complies with the state's network adequacy standards established in 40 C.F.R. § 438.206 by analyzing the plan submission for the plan during the reporting period indicated in C.1.B (cell A1). For example, if the state reviewed plan compliance using two quarterly geomapping and one annual data provided, state so. Specify whether the plan complied with the state's 40 C.F.R. § 438.206 standards in all of the reviewed analyses, or only in some. If the plan complied based on all analyses, select "Yes, the plan complied based on all analyses." As another example, if the state reviewed plan compliance using two annual geomapping analyses and an annual secret shopper analysis, specify whether the plan complied with the state's 40 C.F.R. § 438.206 standards in all of the plan service areas, with the results for all 3 analyses, or only in some. If the plan complied based on all of the reviewed analyses, select "Yes, the plan was not missing based on all analyses."	Text values (select one)																																									
C.10	Description of results: 40 C.F.R. § 438.206	Describe the results of each of the analyses (including dates of the analyses) that support the assessment above of the plan's compliance with the state's 40 C.F.R. § 438.206 standards. If the state does not perform any of the analyses listed in C.9, indicate that the state does not perform that analysis. For example, if the state does not perform any secret shopper analyses, state so.	Free text																																									
C.11	Plan deficiencies: 40 C.F.R. § 438.206 (Part 1)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 438.206 standards, describe what the plan will do to achieve compliance during the reporting period indicated in C.1.B (cell A1). Describe what the state will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all analyses" in C.9 (i.e., cell "Yes").	Free text																																									
C.12	Plan deficiencies: 40 C.F.R. § 438.206 (Part 2)	If the state cannot accept plan compliance with the state's 40 C.F.R. § 438.206 standards, describe what the plan will do to achieve compliance during the reporting period indicated in C.1.B (cell A1). Describe what the state will do to enforce compliance and how the state will monitor the plan's progress. If the state selected "Yes, the plan complied based on all analyses" in C.9 (i.e., cell "Yes").	Free text																																									
C.13	Reassurance for plan deficiencies: 40 C.F.R. § 438.206	If the state identified any plan deficiencies in C.11–C.12, indicate when the state will reassure the plan's availability of services to assure that deficiencies identified above are corrected.	Yes/No (select one)																																									

Standard 36	Standard 37	Standard 38	Standard 39	Standard 40	Standard 41	Standard 42	Standard 43	Standard 44	Standard 45	Standard 46	Standard 47	Standard 48	Standard 49	Standard 50	Standard 51	Standard 52	Standard 53	Standard 54	Standard 55	Standard 56	Standard 57	Standard 58	Standard 59	Standard 60	Standard 61	Standard 62	Standard 63	Standard 64	Standard 65	Standard 66	Standard 67	Standard 68	Standard 69	Standard 70	Standard 71	Standard 72	Standard 73	Standard 74	Standard 75	Standard 76	Standard 77	Standard 78

[Plan 36]	[Plan 37]	[Plan 38]	[Plan 39]	[Plan 40]

Structure 1A	Structure 1B	Structure 1C	Structure 1D	Structure 1E	Structure 1F	Structure 1G	Structure 1H	Structure 1I	Structure 1J	Structure 1K	Structure 1L	Structure 1M	Structure 1N	Structure 1O	Structure 1P	Structure 1Q	Structure 1R	Structure 1S	Structure 1T	Structure 1U