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TITLE 8 SOCIAL SERVICES
CHAPTER 307 COORDINATED LONG-TERM SERVICES
PART 12 MEMBER GRIEVANCE RESOLUTION

8.307.12.1 ISSUING AGENCY: Human Services Department
[8.307.12.1 NMAC - N, 8-1-08]

8.307.12.2 SCOPE: This rule applies to the general public.
[8.307.12.2 NMAC - N, 8-1-08]

8.307.12.3 STATUTORY AUTHORITY: The New Mexico medicaid program is administered pursuant to regulations promulgated by the federal department of health and human services under Title XIX of the Social Security Act, as amended, and by the state human services department pursuant to state statute. See NMSA 1978 Section 27-2-12 et. seq.
[8.307.12.3 NMAC — N, 8-1-08]

8.307.12.4 DURATION: Permanent
[8.307.12.4 NMAC - N, 8-1-08]

8.307.12.5 EFFECTIVE DATE: August 1, 2008, unless a later date is cited at the end of a section.
[8.307.12.5 NMAC - N, 8-1-08]

8.307.12.6 OBJECTIVE: The objective of these rules is to provide policies for the service portion of the New Mexico medicaid coordination of long-term services program.
[8.307.12.6 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.7 DEFINITIONS: See 8.307.1.7 NMAC.
[8.307.12.7 NMAC - N, 8-1-08]

8.307.12.8 MISSION STATEMENT: The mission of the medical assistance division is to reduce the impact of poverty on people living in New Mexico and to assure low income and disabled individuals in New Mexico equal participation in the life of their communities.
[8.307.12.8 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.9 GENERAL REQUIREMENTS FOR GRIEVANCES AND APPEALS:

A. The coordination of long-term services managed care organization (CoLTS MCO) and single statewide entity (SE) shall have a grievance system in place for members that includes a grievance process related to dissatisfaction and an appeals process related to a CoLTS MCO/SE action, including the opportunity to request a human services department (HSD) fair hearing.

B. The CoLTS MCO/SE shall implement written policies and procedures describing how the member may submit a request for a grievance or an appeal with the CoLTS MCO/SE, or submit a request for a fair hearing with HSD. The policy shall include a description of how the CoLTS MCO/SE resolves the grievance or appeal.

C. The CoLTS MCO/SE shall provide to all service providers in the CoLTS MCO's/SE's network a written description of its grievance and appeal process and how providers can submit a grievance or appeal for a member or on their own behalf.

D. The CoLTS MCO/SE shall make available reasonable assistance in completing forms and taking other procedural steps. This includes, but is not limited to, providing interpreter services and toll-free numbers that have adequate TTY/TTD and interpreter capability.

E. The CoLTS MCO/SE shall name a specific individual(s) designated as the CoLTS MCO's/SE's medicaid member grievances or appeals coordinator with the authority to administer the policies and procedures for resolution of a grievance or appeal, to review patterns/trends in grievances or appeals, and to initiate corrective action.

F. The CoLTS MCO/SE shall ensure that the individuals who make decisions on grievances or appeals are not involved in any previous level of review or decision-making. The CoLTS MCO/SE shall also ensure that health care professionals with appropriate clinical expertise shall make decisions for the following:

- (1) an appeal of a CoLTS MCO/SE denial that is based on lack of medical necessity;
- (2) a CoLTS MCO/SE denial that is upheld in an expedited resolution; and
- (3) a grievance or appeal that involves clinical issues.

G. Upon enrollment, the CoLTS MCO/SE shall provide members, at no cost, with a member information sheet or handbook that provides information on how they or their representative(s) can file a grievance or an appeal, and the resolution process. The member information shall also advise members of their right to file a request for an administrative hearing with the HSD fair hearings bureau, upon notification of a CoLTS MCO/SE action, or concurrent with, subsequent to or in lieu of an appeal of the CoLTS MCO/SE action. The information shall meet the standards specified in Paragraph (12) of Subsection A of 8.307.8.15 NMAC, *members' rights*.

H. The CoLTS MCO/SE shall ensure that punitive or retaliatory action is not taken against a member or service provider that files a grievance or an appeal, or a provider that supports a member's grievance or appeal. [8.307.12.9 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.10 GRIEVANCE: A grievance is an expression of dissatisfaction about any matter or aspect of the CoLTS MCO/SE or its operation, other than a CoLTS MCO/SE action.

A. A member may file a grievance either orally or in writing with the CoLTS MCO/SE within 90 calendar days of the date of the event causing the dissatisfaction. The legal guardian of the member for a minor or an incapacitated adult, a representative of the member as designated in writing to the CoLTS MCO/SE, or a service provider acting on behalf of the member and with the member's written consent, have the right to file a grievance on behalf of the member.

B. Within five working days of receipt of the grievance, the CoLTS MCO/SE shall provide the grievant with written notice that the grievance has been received and the expected date of its resolution.

C. The investigation and final CoLTS MCO/SE resolution process for grievances shall be completed within 30 calendar days of the date the grievance is received by the CoLTS MCO/SE and shall include a resolution letter to the grievant.

D. The CoLTS MCO/SE may request an extension from HSD or its designee of up to 14 calendar days if the member requests the extension, or the CoLTS MCO/SE demonstrates to HSD that there is need for additional information and the extension is in the member's interest. For any extension not requested by the member, the CoLTS MCO/SE shall give the member written notice of the reason for the extension within two working days of the decision to extend the timeframe.

E. Upon resolution of the grievance, the CoLTS MCO/SE shall mail a resolution letter to the member. This resolution letter may not take the place of the acknowledgment letter referred to in Section B of 8.307.12.10 NMAC above. The resolution letter shall include, but not be limited to, the following:

- (1) all information considered in investigating the grievance;
- (2) findings and conclusions based on the investigation; and
- (3) the disposition of the grievance.

[8.307.12.10 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.11 APPEALS: An appeal is a request for review by the CoLTS MCO/SE of a CoLTS MCO/SE action.

A. An action is defined as:

- (1) the denial or limited authorization of a requested service, including the type or level of service;
- (2) the reduction, suspension, or termination of a previously authorized service;
- (3) the denial, in whole or in part, of payment for a service;
- (4) the failure of the CoLTS MCO/SE to provide services in a timely manner, as defined by HSD or its designee; or
- (5) the failure of the CoLTS MCO/SE to complete the authorization request in a timely manner as defined in 42 CFR 438.408.

B. **Notice of CoLTS MCO/SE action:** The CoLTS MCO/SE shall mail a notice of action to the member or service provider within 10 days of the date of the action for previously authorized services as permitted under 42 CFR 431.213 and 431.214, and within 14 days of the date of the action for newly requested services. Denials of claims that may result in member financial liability require immediate notification. The notice shall contain, but not be limited to, the following:

- (1) the action the CoLTS MCO/SE has taken or intends to take;
- (2) the reasons for the action;
- (3) the member's or the service provider's right, as applicable, to file an appeal of the CoLTS

MCO/SE action through the CoLTS MCO/SE;

- (4) the member's right to request an HSD fair hearing and what the process would be;
- (5) the procedures for exercising the rights specified;
- (6) the circumstances under which expedited resolution of an appeal is available and how to request

it; and

(7) the member's right to have benefits continue pending resolution of an appeal or fair hearing, how to request the continuation of benefits, and the circumstances under which the member may be required to pay the costs of continuing these benefits.

C. A member may file an appeal of a CoLTS MCO/SE action within 90 calendar days of receiving the CoLTS MCO's/SE's notice of action. The legal guardian of the member for a minor or an incapacitated adult, a representative of the member as designated in writing to the CoLTS MCO/SE, or a service provider acting on behalf of the member with the member's written consent, have the right to file an appeal of an action on behalf of the member. The CoLTS MCO/SE shall consider the member, representative, or estate representative of a deceased member as parties to the appeal.

D. The CoLTS MCO/SE has 30 calendar days from the date the initial oral or written appeal is received by the CoLTS MCO/SE to resolve the appeal. The CoLTS MCO/SE shall appoint at least one person to review the appeal who was not involved in the initial decision and who is not the subordinate of any person involved in the initial decision.

E. The CoLTS MCO/SE shall have a process in place that ensures that an oral or written inquiry from a member seeking to appeal an action is treated as an appeal (to establish the earliest possible filing date for the appeal). An oral appeal shall be followed by a written appeal that is signed by the member within 10 calendar days. The CoLTS MCO/SE shall use its best efforts to assist members as needed with the written appeal and may continue to process the appeal.

F. Within five working days of receipt of the appeal, the CoLTS MCO/SE shall provide the grievant with written notice that the appeal has been received and the expected date of its resolution. The CoLTS MCO/SE shall confirm in writing receipt of oral appeals, unless the member or the service provider requests an expedited resolution.

G. The CoLTS MCO/SE may extend the 30-day timeframe by 14 calendar days if the member requests the extension, or the CoLTS MCO/SE demonstrates to HSD that there is need for additional information, and the extension is in the member's interest. For any extension not requested by the member, the CoLTS MCO/SE shall give the member written notice of the extension and the reason for the extension within two working days of the decision to extend the timeframe.

H. The CoLTS MCO/SE shall provide the member or the member's representative a reasonable opportunity to present evidence of the facts or law, in person as well as in writing.

I. The CoLTS MCO/SE shall provide the member or the representative the opportunity, before and during the appeals process, to examine the member's case file, including medical or clinical records (subject to HIPAA requirements), and any other documents and records considered during the appeals process. The CoLTS MCO/SE shall include as parties to the appeal the member and his or her representative, or the legal representative of a deceased member's estate.

J. For all appeals, the CoLTS MCO/SE shall provide written notice within the 30-calendar-day timeframe for resolutions to the member or the service provider, if the provider filed the appeal.

(1) The written notice of the appeal resolution shall include, but not be limited to, the following information:

- (a) the results and reasoning behind the appeal resolution; and
- (b) the date it was completed.

(2) The written notice of the appeal resolution for appeals not resolved wholly in favor of the member shall include, but not be limited to, the following information:

- (a) the right to request an HSD fair hearing and how to do so;
- (b) the right to request receipt of benefits while the hearing is pending, and how to make the

request; and

(c) that the member may be held liable for the cost of continuing benefits if the hearing decision upholds the CoLTS MCO's/SE's action.

K. The CoLTS MCO/SE may continue benefits while the appeal or the HSD fair hearing process is pending.

(1) The CoLTS MCO/SE shall continue the member's benefits if all of the following are met:

- (a) the member or the service provider files a timely appeal of the CoLTS MCO/SE action or

the member asks for a fair hearing within 13 days from the date on the CoLTS MCO/SE notice of action;

(b) the appeal involves the termination, suspension, or reduction of a previously authorized course of treatment;

(c) the services were ordered by an authorized service provider;

(d) the time period covered by the original authorization has not expired; and

(e) the member requests extension of the benefits.

(2) The CoLTS MCO/SE shall provide benefits until one of the following occurs:

(a) the member withdraws the appeal;

(b) 13 days have passed since the date of the resolution letter, provided the resolution of the appeal was against the member and the member has taken no further action;

(c) HSD issues a hearing decision adverse to the member; and

(d) the time period or service limits of a previously authorized service has expired.

(3) If the final resolution of the appeal is adverse to the member, that is, the CoLTS MCO's/SE's action is upheld, the CoLTS MCO/SE may recover the cost of the services furnished to the member while the appeal was pending, to the extent that services were furnished solely because of the requirements of this section and in accordance with the policy in 42 CFR 431.230(b).

(4) If the CoLTS MCO/SE or HSD reverses a decision to deny, limit, or delay services, and these services were not furnished while the appeal was pending, the CoLTS MCO/SE shall authorize or provide the disputed services promptly and as expeditiously as the member's health condition requires.

(5) If the CoLTS MCO/SE or HSD reverses a decision to deny, limit or delay services and the member received the disputed services while the appeal was pending, the CoLTS MCO/SE shall pay for these services.

[8.307.12.11 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.12 EXPEDITED RESOLUTION OF APPEALS: An expedited resolution of an appeal is an expedited review by the CoLTS MCO/SE of a CoLTS MCO/SE action.

A. The CoLTS MCO/SE shall establish and maintain an expedited review process for appeals when the CoLTS MCO/SE determines that allowing the time for a standard resolution could seriously jeopardize the member's life or health or ability to attain, maintain, or regain maximum function. Such a determination is based on:

(1) a request from the member;

(2) a service provider's support of the member's request;

(3) a service provider's request on behalf of the member; or

(4) the CoLTS MCO's/SE's independent determination.

B. The CoLTS MCO/SE shall ensure that the expedited review process is convenient and efficient for the member.

C. The CoLTS MCO/SE shall resolve the appeal within three working days of receipt of the request for an expedited appeal, if the request meets the definition of expedited in 8.307.12.13 NMAC, *expedited resolution of appeals*. In addition to written resolution notice, the CoLTS MCO/SE shall also make reasonable efforts to provide and document oral notice.

D. The CoLTS MCO/SE may extend the timeframe by up to 14-calendar days if the member requests the extension, or the CoLTS MCO/SE demonstrates to HSD that there is need for additional information and the extension is in the member's interest. For any extension not requested by the member, the CoLTS MCO/SE shall give the member written notice of the reason for the delay.

E. The CoLTS MCO/SE shall ensure that punitive action is not taken against a member or a service provider who requests an expedited resolution or supports a member's expedited appeal.

F. The CoLTS MCO/SE shall provide an expedited resolution, if the request meets the definition of an expedited appeal, in response to an oral or written request from the member or service provider on behalf of the member.

G. The CoLTS MCO/SE shall inform the member of the limited time available to present evidence and allegations in fact or law.

H. If the CoLTS MCO/SE denies a request for an expedited resolution of an appeal, it shall:

(1) transfer the appeal to the 30-day timeframe for standard resolution, in which the 30-day period begins on the date the CoLTS MCO/SE received the original request for appeal; and

(2) make reasonable efforts to give the member prompt oral notice of the denial, and follow up with a written notice within two-calendar days.

I. The CoLTS MCO/SE shall document in writing all oral requests for expedited resolution and shall maintain the documentation in the case file.
[8.307.12.12 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.13 SPECIAL RULE FOR CERTAIN EXPEDITED SERVICE AUTHORIZATION

DECISIONS: In the case of expedited service authorization decisions that deny or limit services, the CoLTS MCO/SE shall, within 72 hours of receipt of the request for service, automatically file an appeal on behalf of the member, use its best effort, to give the member oral notice of the decision on the automatic appeal and to resolve the appeal.

[8.307.12.13 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.14 OTHER RELATED PROCESSES:

A. **Information about grievance system to providers and subcontractors:** The CoLTS MCO/SE shall provide information specified in 42 CFR 438.10(g)(1) about the grievance system to all service providers and subcontractors at the time they enter into a contract.

B. **Grievance or appeal files:**

(1) All grievance or appeal files shall be maintained in a secure and designated area and be accessible to HSD or its designee, upon request, for review. Grievance or appeal files shall be retained for 10 years following the final decision by the CoLTS MCO/SE, HSD, an administrative law judge, judicial appeal, or closure of a file, whichever occurs later.

(2) The CoLTS MCO/SE shall have procedures for assuring that files contain sufficient information to identify the grievance or appeal, the date it was received, the nature of the grievance or appeal, notice to the member of receipt of the grievance or appeal, all correspondence between the CoLTS MCO/SE and the member, the date the grievance or appeal is resolved, the resolution, the notices of final decision to the member, and all other pertinent information.

(3) Documentation regarding the grievance shall be made available to the member, if requested.

[8.307.12.14 NMAC - N, 8-1-08; A, 9-1-09]

8.307.12.15 PROVIDER GRIEVANCE AND APPEAL PROCESS: The CoLTS MCO/SE shall establish and maintain written policies and procedures for the filing of provider grievances and appeals. A service provider shall have the right to file a grievance or an appeal with the CoLTS MCO/SE. Provider grievances or appeals shall be resolved within 30-calendar days. If the grievance or appeal is not resolved within 30 days, the CoLTS MCO/SE shall request a 14-day extension from the service provider. If the service provider requests the extension, the extension shall be approved by the CoLTS MCO/SE. A service provider may not file a grievance or an appeal on behalf of a member without written designation by the member as the member's representative. A service provider shall have the right to file an appeal with the CoLTS MCO/SE regarding provider payment or contractual issues. See 8.307.12.13 NMAC for special rules for certain expedited service authorizations.

[8.307.12.15 NMAC - N, 8-1-08; A, 9-1-09]

HISTORY OF 8.307.12 NMAC: [RESERVED]