



Section 5: Transitions of Care

Revision dates: August 15, 2014;
March 3, 2015; January 1, 2019

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5. Transitions of Care

5.1. General Information

In managed care, HSD will continue its commitment to providing the necessary supports to assist members as they transition under various circumstances.

The MCOs must identify and facilitate coordination of care for all members during various transitions including but not limited to:

- Transition from an NF to the community;
- Transition for member(s) with special circumstances;
- Transition for member(s) moving from a higher LOC to a lower LOC;
- Transition for member(s) turning 21 years of age;
- Transition for member(s) changing MCOs while hospitalized;
- Transition for member(s) changing MCOs during major organ and tissue transplantation services;
- Transition for member(s) changing MCOs while receiving outpatient treatment for significant medical conditions;
- Transition for member(s) changing MCOs;
- Transition for member(s) previously in FFS;
- Transition for member(s) moving from a residential placement or institutional facility (including psychiatric hospitals) to a community placement;
- Transition for children entering or returning home from a foster care placement;
- Transition for member(s) released from incarceration or detention facilities;
- Transition for member(s) moving from an out-of-state placement to an in-state placement;
- Transition from RTC to TFC, group home or foster care.
- Transition for member(s) discharging from a hospital;

	Section 5: Transitions of Care	Revision dates: August 15, 2014; March 3, 2015; January 1, 2019 Effective dates: January 1, 2014
---	---------------------------------------	--

- Transition for member(s) discharging from out-of-home placements (ARTC, RTC, Group Home, Therapeutic Foster Care [TFC]) and crisis centers related to BH treatment; and/or
- Transition for member(s) who are preparing to receive out-of-state treatment.

5.2. Transitions of Care

The MCOs shall develop and implement methods for identifying and facilitating care coordination for all members involved in various transition scenarios. Such methods shall include, at a minimum:

- The CNA;
- Preadmission Screening and Resident Review (PASRR);
- MDS;
- Provider referrals to or from hospitals and RTCs;
- Ombudsman;
- Family member;
- Change in medical status;
- Member self-referral;
- Community Reintegration Allocation received;
- State Agency Referral; and/or
- Incarceration or detention facility referral.

If a member is a candidate for transitioning to the community, the Care Coordinator shall facilitate the development of and implementation of a transition plan which must be labeled “Transition of Care Plan” and may be a stand-alone document or included in the CCP. If included as a part of the CCP, the “Transition of Care Plan” must be clearly labeled for MCO tracking and HSD auditing. The transition of care plan shall remain in place for a minimum of 60 calendar days from the date of the decision to

	Section 5: Transitions of Care	Revision dates: August 15, 2014; March 3, 2015; January 1, 2019 Effective dates: January 1, 2014
---	---------------------------------------	--

pursue transition or until the transition has occurred and a new CCP is in place. The transition of care plan shall address the member’s transitional needs including but not limited to:

- PH and BH needs;
- CB needs;
- Continuation of Medicaid eligibility;
- Selection of providers in the community;
- Housing needs;
- Financial needs;
- Interpersonal skills (the social skills people use to interact effectively with other people, including the ability to convey one’s needs); and
- Safety.

The Care Coordinator shall conduct an additional assessment within 75 calendar days after the transition to determine if the transition was successful and to identify any remaining needs resulting in a new CCP or modifications to an existing CCP.

If the member has an existing full Medicaid category of assistance, other than Institutional Care, an allocation is not needed to reintegrate into the community. The reintegration process can be completed and CBs can be provided with the full Medicaid category.

If the member is Not Otherwise Medicaid Eligible (NOME), and in an NF and wishes to receive services in the community, a Community Reintegration (CRI) allocation must be requested by contacting the Aging and Long-Term Services Department, Aging and Disability Resource Center (ALTSD/ADRC), prior to discharge (see Section 7: Community Benefits). The Care Coordinator must assist the member in gaining eligibility for a CB category of assistance, and ensure services are authorized and in place for a safe and seamless discharge.

	Section 5: Transitions of Care	Revision dates: August 15, 2014; March 3, 2015; January 1, 2019 Effective dates: January 1, 2014
---	---------------------------------------	--

5.3. Transitions of Care Requirements

The MCO shall establish policies and procedures to ensure all members are contacted in a timely manner and are appropriately assessed using HSD prescribed time frames, processes and tools, to identify needs.

The MCO shall coordinate with the discharge planning teams at hospitals and institutions (e.g., NFs, jails/prisons, juvenile detention centers and CYFD secure facilities, RTCs, psychiatric hospitals, behavioral health facilities) to address at a minimum:

- Need for HCBS;
- Follow up appointments;
- Therapies and treatments;
- Medications; and/or
- DME.

The MCO shall notify the assigned CYFD ~~lead worker~~ (permanency placement worker (PPW) for protective services (PS) involved children and youth and ~~Juvenile Probation Worker~~ juvenile probation officer (JPO) for juvenile justice-involved youth, and community behavioral health clinician (CBHC) within 30 ~~business days~~ Business Days prior to transition in care for CYFD-involved children/youth. Precipitous discharge from these placements is prohibited.

The MCO shall perform an in-home assessment for members who are transitioning from an inpatient hospital or NF stay within three calendar days after the transition. The assessment will address at a minimum:

- Safety in home environment;
- PH needs;
- BH needs;
- Housing needs;
- Continuation of Medicaid eligibility;



Section 5: Transitions of Care

Revision dates: August 15, 2014;
March 3, 2015; January 1, 2019

Effective dates: January 1, 2014

- Financial needs;
- CNA if one is not in place; and
- CB needs and services in place.

The MCO shall contact the member monthly for three months to ensure continuity of care has occurred and the member's needs are met. The MCO shall not transition members to another provider for continuing services unless the current provider is not a contract provider. The MCO shall facilitate a seamless transition to new services and/or providers, without any disruption in services as outlined in the CCP.

For members who are preparing to receive out-of-state treatment, the MCO shall ensure daily updates are provided to the member and/or AR about the status of the out-of-state provider agreement and authorized treatment plan until treatment begins.

The MCO shall maintain active communication with the member and/or AR once out-of-state treatment begins, including weekends and holidays, for the duration of the treatment. The MCO shall resume care coordination activities pursuant to 4.4 of the Agreement following treatment completion and member's return to New Mexico.

5.4. Transition of Care Requirements for Pregnant Women

In the event a member enrolling with an MCO is in her second or third trimester of pregnancy and is receiving medically necessary covered prenatal care services prior to enrollment in the MCO, the MCO shall be responsible for providing continued access to the prenatal care provider (whether contract or non-contract provider) through the postpartum period, without any form of prior approval.

In the event a member enrolled with an MCO is in her first trimester of pregnancy and is receiving medically necessary covered prenatal care services prior to enrollment, the MCO shall be responsible for the costs related to the continuation of such medically necessary prenatal care services. This includes the delivery, without any form of prior approval and without regard to whether such services are being provided by a contract or non-contract provider. This coverage is required for up to 60 calendar days



Section 5: Transitions of Care

Revision dates: August 15, 2014;
March 3, 2015; January 1, 2019

Effective dates: January 1, 2014

from the member's enrollment or until the member may be reasonably transferred to a contract provider without disruption in care, whichever is less.

If the member is receiving services from a contract provider, the MCO shall be responsible for the costs of continuation of medically necessary covered prenatal services from that provider, without any form of prior approval, through the postpartum period.

If the member is receiving services from a non-contract provider, the MCO shall be responsible for the costs of continuation of medically necessary covered prenatal services, without any form of prior approval, until such time as the MCO can reasonably transfer the member to a contract provider without impeding service delivery that might be harmful to the member's health in accordance with Section 4.4.16.3 of the Agreement.

5.5. Transfer from the Health Insurance Exchange

The MCO must minimize disruption of care and ensure uninterrupted access to medically necessary services for individuals transitioning between Medicaid and qualified MCO coverage on the Health Insurance Exchange.

At a minimum, the MCO shall establish transition guidelines for the following individuals:

- Pregnant women;
- Individuals with significant health care needs or complex medical conditions;
- Individuals receiving ongoing services or who are hospitalized at the time of transition; and
- Individuals who received prior authorization for services from its qualified MCO.

The MCO is expected to coordinate services and provide phase-in and phase-out time periods for each of these individuals, and to maintain written policies, procedures, and documentation to address coverage transitions.

 <p>HUMAN SERVICES DEPARTMENT</p>	<p>Section 5: Transitions of Care</p>	<p>Revision dates: August 15, 2014; March 3, 2015; January 1, 2019</p> <p>Effective dates: January 1, 2014</p>
--	--	--

5.6. Transitions of Care for Members Moving from a Higher LOC to a Lower LOC

The MCO shall develop and implement policies and procedures for ensuring that members transition successfully from higher levels of care (e.g., acute inpatient, residential treatment centers, social detoxification programs, treatment foster care, etc.) to the most appropriate lower LOC. Transitions from inpatient and BH residential treatment facilities for both children and adults must be addressed. At a minimum, the following must be addressed:

- Maintain on-going communication, enlist the involvement of and coordinate with state-run facilities to monitor and support their participation in the member’s care.
- Care Coordinators must be knowledgeable of non-Medicaid BH and PH programs/services, statewide, available to its members in order to facilitate referrals, coordinate care, and ensure transition to community based services.
- Ensure members receive follow-up care within seven calendar days of discharge from a higher LOC to a lower LOC but receive follow up care no longer than 30 calendar days following other discharges.

5.7. Transitions of Members Turning 21 Years of Age

All members, including those who are under the care of EPSDT, must be transitioned to other services on their 21st birthday. The Care Coordinator must initiate a transition plan by the age of 20 years, which is ongoing until the member leaves the EPSDT program. The transition plan must be labeled “Transition of Care Plan” and may be a stand-alone document or included in the CCP. If included as part of the CCP, the “Transition of Care Plan” must be clearly labeled for MCO tracking and HSD auditing. The transition plan must:

- Establish a plan that is age appropriate and addresses the transition needs of the member:
 - Health condition management;
 - Developmental and functional independence;
 - Education;

 <p>HUMAN SERVICES DEPARTMENT</p>	<p>Section 5: Transitions of Care</p>	<p>Revision dates: August 15, 2014; March 3, 2015; January 1, 2019</p> <p>Effective dates: January 1, 2014</p>
--	--	--

- Social and emotional health;
- Guardianship; and
- Transportation.
- Ensure members and, when authorized, family members, guardians and PCPs are part of the development and implementation of the transition plan. The MCO shall also ensure that the assigned CYFD permanency placement worker (PPW) and/or youth transition specialist for Protective Services (PS) involved children and youth, juvenile probation officer (JPO) or transition coordinator for juvenile justice involved youth, and community behavioral health clinician (CBHC) for CYFD involved children/youth are part of the development and implementation of the transition plan for CYFD involved children/youth.
- Document the transition plan in the medical record.
- Provide the member, and when authorized, family members and guardian with a copy of the transition plan.
- Establish a timeline for completing all services the member should receive through EPSDT prior to his or her 21st birthday.
- Review and update the plan and timeline with the member, and when authorized, the guardian and family prior to official transition to adult provider.
- Advise the member’s PCP of the discharge and ensure coordination of the services with the adult PCP.

5.8. Transition for Members changing MCOs while Hospitalized

The MCO will make provisions for the smooth transition of care for members who are hospitalized on the day of an enrollment change. The provisions must include policies for the following:

- Authorization of treatment by the receiving MCO on an individualized basis. The receiving MCO must address contracting for continued treatment with the institution on a negotiated fee basis, as appropriate.

	Section 5: Transitions of Care	Revision dates: August 15, 2014; March 3, 2015; January 1, 2019 Effective dates: January 1, 2014
---	---------------------------------------	--

- Notification to the hospital and attending physician of the transition by the relinquishing MCO. The relinquishing MCO must notify the hospital and attending physician of the pending transition prior to the date of the transition and instruct the providers to contact the receiving MCO for authorization of continued services. If the relinquishing MCO fails to provide notification to the hospital and the attending physician relative to the transitioning member, the relinquishing MCO will be responsible for coverage of services rendered to the hospitalized member for up to 30 calendar days. This includes, but is not limited to, elective surgeries for which the relinquishing MCO issued prior authorization.
- Coordination with providers regarding activities relevant to concurrent review and discharge planning must be addressed by the receiving MCO, along with the mechanism for notification regarding pending discharge.
- Transfer of care to a physician and/or hospital affiliated with the receiving MCO. Transfers from an out-of-network provider to one of the receiving MCO providers cannot be made if harmful to the member's health and must be determined medically appropriate. The transfer may not be initiated without approval from the relinquishing MCO PCP, or the receiving MCO Medical Director.

Note: Members in Critical Care Units, Intensive Care Units, and Neonatal Intensive Care Units require close consultation between the attending physician and the receiving MCO physician. If a member is admitted to an inpatient facility while still assigned to the relinquishing MCO, and discharged after transition to the receiving MCO, both must work together to coordinate discharge activities.

The relinquishing MCO will be responsible for coordination with the receiving MCO regarding each specific prior authorized service. For members known to be transitioning, the relinquishing MCO will not authorize hospital services such as elective surgeries scheduled less than 15 calendar days prior to enrollment with the receiving MCO. If authorized to be provided during this time frame, the service for the transitioning member will be the financial responsibility of the MCO who authorized the service.

5.9. Transition for Members Changing MCOs during Major Organ and Tissue Transplantation Services

If there is a change in MCO enrollment, both the relinquishing and receiving MCOs will be responsible for coordination of care and coverage for members awaiting major organ or tissue transplantation from

 <p>HUMAN SERVICES DEPARTMENT</p>	<p>Section 5: Transitions of Care</p>	<p>Revision dates: August 15, 2014; March 3, 2015; January 1, 2019</p> <p>Effective dates: January 1, 2014</p>
--	--	--

the time of transplantation evaluation and determination through follow-up care after the transplantation surgery. If a member changes MCO enrollment while undergoing transplantation at a contracted transplant center, the relinquishing MCO is responsible for contracted components or modules of the service up to and including completion of the service modules that the member is receiving at the time of the change. The receiving MCO is responsible for the remainder of the module components of the transplantation service.

If a member changes to a different MCO while undergoing transplantation at a transplant center that is not a contracted provider, each MCO is responsible for its respective dates of service (DOS). If the relinquishing MCO has negotiated a special rate, it is the responsibility of the receiving MCO to coordinate the continuation of the special rate with the respective transplant center.

 <p>HUMAN SERVICES DEPARTMENT</p>	<p>Section 5: Transitions of Care</p>	<p>Revision dates: August 15, 2014; March 3, 2015; January 1, 2019</p> <p>Effective dates: January 1, 2014</p>
--	--	--

5.10. Transition for Members Changing MCOs while receiving Outpatient Treatment for Significant Medical Conditions

MCOs must have protocols for ongoing care of active and/or chronic "high risk" (e.g., outpatient chemotherapy, home dialysis, etc.) members and pregnant members during the transition period. The receiving MCO must have protocols to address the timely transition of the member from the relinquishing PCP to the receiving PCP, in order to maintain continuity of care.

The receiving MCO must address methods to continue the member's care, such as contracting on a negotiated rate basis with the member's current provider(s) and/or assisting members and providing instructions regarding their transfer to providers affiliated with the receiving MCO.

Receiving MCOs are also responsible for coordinating the transition of pregnant women to maintain continuity of care. Pregnant women who transition to a new MCO within the last trimester of their expected date of delivery must be allowed the option of continuing to receive services from their established physician and anticipated delivery site.

5.11. MCO Requirements for Members Transitioning between MCOs

For any member transitioning from one MCO to another the following must occur.

- The relinquishing MCO must provide relevant information regarding members who transition to a receiving MCO.
- The MCO must also provide protocols for the transfer of pertinent medical records, as discussed in this policy, and the timely notification of members, subcontractors, or other providers, as appropriate during times of transition.
- The receiving MCO must provide new members with their handbook and emergency numbers within 10 calendar days of transition for acute care members and within 12 calendar days of transition for all other members (allows for care coordination on-site visit).
- If a member is referred to and approved for enrollment, the relinquishing MCO must coordinate the transition with the receiving MCO to ensure applicable protocols are followed for any special

 <p>HUMAN SERVICES DEPARTMENT</p>	<p>Section 5: Transitions of Care</p>	<p>Revision dates: August 15, 2014; March 3, 2015; January 1, 2019</p> <p>Effective dates: January 1, 2014</p>
--	--	--

circumstances of the member, and that continuity and quality of care is maintained during and after the transition.

- The relinquishing MCO that fails to notify the receiving MCO of transitioning members with special circumstances, or fails to send the transition notification, will be responsible for covering the member's care resulting from the lack of notification, for up to 30 calendar days.
- The MCO shall ensure that any member entering the MCO has access to services consistent with the access they previously had and is permitted to retain their current provider for a period of time, if that provider is not contracted with the MCO.

5.12 Transitions of Care for Justice Involved Members

The MCO shall develop and implement policies and procedures for ensuring that members released from incarceration or detention facilities transition successfully back into the community. At a minimum, MCOs must:

- Initiate an HSD approved Transition of Care (TOC) assessment with the member prior to member's release or within three (3) business days of notification of member's release.
- Develop a TOC plan, derived from the TOC assessment, with member and/or member's representative's participation, that addresses, at a minimum:
 - Physical and Behavioral Health needs;
 - Community Benefit needs;
 - Selection of Providers in the community;
 - Housing needs;
 - Financial needs;
 - Continuation of Medicaid eligibility
 - Interpersonal skills; and
 - Safety

The Transition of Care plan shall remain in place for a minimum of sixty (60) calendar days from the member's release or sixty (60) calendar days from notification of member's release.



Section 5: Transitions of Care

Revision dates: August 15, 2014;
March 3, 2015; January 1, 2019

Effective dates: January 1, 2014

- Conduct a Health Risk Assessment (HRA) within days three (3) business day of member's release or three (3) business days of notification of member's release unless the member has had one within the past thirty (30) calendar days.
- Complete a Comprehensive Needs Assessment (CNA), within thirty (30) business days of member's release or within thirty (30) business days of notification of member's release, if warranted by the completed HRA, to determine if the member should be assigned to Care Coordination level two (2) or level three (3).
- If the member is leveled at CCL2 or CCL3, follow all contract requirements for ongoing care coordination including development of a Comprehensive Care Plan and required touchpoints pursuant to the Medicaid Managed Care Services Agreement 4.4.
- Contact the member monthly for three (3) months after member's release to ensure continuity of care has occurred and that the member's needs have been met.
- Conduct an additional assessment within seventy-five (75) calendar days of member's release to determine if the transition was successful and identify any remaining or ongoing needs.

5.13 Transitions of Care for Substance Exposed infants

The MCO shall develop and implement policies and procedures to ensure care coordinators assist in addressing the needs of pregnant mothers and fathers with opioid use disorders and their infants. The MCO care coordinator will be responsible for assessing, referring, and coordinating support services identified in the Plan of Care. MCO care coordinators are responsible for collaborating and coordinating care for the infant, affected mother/father and family and caregivers in accordance with the Children, Youth and Families Department (CYFD).

At a minimum, MCOs are responsible for:

- Providing annual training for care coordination staff on the Comprehensive Addiction and Recovery Act (CARA) Plan of Care (POC) to address the needs of both the pregnant women with opioid use disorders and their substance-exposed newborns. Training to include the difference between CYFD notification and CYFD referral or report;



Section 5: Transitions of Care

Revision dates: August 15, 2014;
March 3, 2015; January 1, 2019

Effective dates: January 1, 2014

- Coordinating care with the CYFD case worker, in cases where a child protective services case is determined necessary;
- Ensuring care coordination staff communicate and collaborate with hospital staff on implementation of the POC;
- Obtaining a copy of the POC from the hospital discharge planner;
- Ensuring MCO care coordination staff introduce support service providers identified in the POC to the infant and mothers including family and caregivers;
- Conducting a Health Risk Assessment (HRA) with the substance abuse-exposed infant, parent or caregiver within three (3) Business Days of referral to the MCO;
- Completing a Comprehensive Needs Assessment (CNA), within thirty (30) Business Days of HRA completion to determine if the member(s) should be assigned to Care Coordination level two (CCL2) or level three (CCL3);
- Following all contract requirements for ongoing care coordination for member(s) leveled at CCL2 or CCL3, including development of a Comprehensive Care Plan (CCP) and required touchpoints pursuant to section 4.4 of the Medicaid Managed Care Services Agreement and sections 5.2 and 5.3 of the Managed Care Policy Manual; including but not limited to home visitation programs, early intervention services and recovery supports. MCOs should refer to contract requirements detailed in sections 4.4.6 and 4.4.7 that include, but are not limited to, high risk pregnancy and co-morbid health conditions as CCL2 and medically complex and/or untreated substance abuse dependency as CCL3; and
- Notifying CYFD if the mother and/or family/caregiver(s) are Unable to be Reached, Difficult to Engage, Refuse Care Coordination, or are non-compliant with the POC and the CCP.